



Confidential Financial Questionnaire

Client: _____ Date: _____
 Home Address _____
 Telephone Number: (h) _____ (bus) _____ (cell) _____
 Email: _____

PERSONAL AND FAMILY DATA

	Name	Date of Birth	Social Security Number
Husband			
Wife			
Children			

Business Name and Address

Husband _____

Wife _____

Do You Have a Will? Yes () No () Date of Will _____ **Please provide copy**

RISK TOLERANCE

<i>1 = Strongly Agree, 5 = Strongly Disagree</i>	
1. Expected Return. Given historical returns on different kinds of investments, my desired level of investment return is above average.	
2. Risk Tolerance. I am willing to bear an above average level of investment risk (volatility). I can accept occasional years with negative investment returns.	
3. Holding Period. I am willing to maintain investment positions over a reasonably long period of time (generally considered 10 years or more).	
4. Liquidity. I do not need to be able to readily convert my investments into cash. Aside from my portfolio, I have adequate liquid net worth to meet major near-term expenses.	
5. Ease of Management. I want to be very actively involved in the monitoring and decision-making required to manage my investments.	
6. Dependents. There are none or only a few dependents that rely on my income and my investment portfolio for support.	
7. Income Coverage. I have an adequate amount of insurance coverage. You: Life Insurance \$ _____ Spouse Life Insurance \$ _____ You: Disability Insurance monthly benefit \$ _____, Spouse \$ _____	
8. Investment Experience. I have prior investment experience with stocks, bonds, and international investments. I understand the concept of investment risk.	
9. Debt/Credit. My debt level is low and my credit history is excellent.	
10. Income Source. My major source of income is adequate, predictable and steadily growing.	
TOTAL	

INCOME

	Husband	Wife	Joint
Salary			
Bonuses			
Retirement Income Sources			
Additional Income Sources:			
Dividends			
Interest			
Rental Income			
Other:			
TOTAL			

ASSETS

	Husband	Wife	Joint	Details and Comments
Home				
Tangible Personal Property (vehicles, jewelry, art, etc.)				
*Savings				
*Bonds				
*Stocks				
*Mutual Funds				
*Non-Qualified fixed /variable annuities				
*IRA \401 (k)				
*Life Insurance cash value				
*College Savings				
Second home, boat, etc				
Other:				
TOTAL				

**Please Provide Statements*

LIABILITIES AND EXPENSES

	Monthly Payment	Current Balance
Home Mortgage		
Second Mortgage, home equity		
Automobile		
Education		
Installment Loans		
Credit Card Balances		
Other:		
IRA \ 401(K) Investments		
Other Systematic Investments (life premiums, mutual funds, etc)		
TOTAL		

CHANGES (+/-) TO THIS YEAR'S INCOME AND EXPENSES

	Husband	Wife
Increase/decrease in salary		
Increase/decrease in bonus		
Significant purchase		
Other:		

GOALS

Retirement		_____ years until retirement
Education tuitions	\$ _____	in _____ years
Home (vacation)	\$ _____	in _____ years
Care for aging parents	\$ _____	in _____ years
Wedding or family event	\$ _____	in _____ years
Automobile/boat	\$ _____	in _____ years
Substantial trip or vacation	\$ _____	in _____ years
New business venture	\$ _____	in _____ years
Home addition/improvement	\$ _____	in _____ years
Other	\$ _____	in _____ years

Signature: _____

Date: _____

Signature: _____

Date: _____