## Investing Questionnaire

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| CLIENT INFORMATION |
| INFORMATION | CLIENT | SPOUSE/2ND PARTY |
| **Name:** |  |  |
| Date of Birth: |  |  |
| **Employment status:** |  |  |
| Annual earned income (before taxes): | $ | $ |
| Annual income from investments: | $ | $ |
| Annual income from other sources: | $ | $ |
| DEPENDENT INFORMATION |
| NAME | DOB | GENDER |
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| ASSETS & LIABILITIES |
| **CASH ASSETS (emergency funds, money markets, checking, savings, etc.):** |
| DESCRIPTION: | OWNER: | CURRENT VALUE: |
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| *INVESTMENT ASSETS (stocks, bonds, non-retirement mutual funds, etc.):* |
| DESCRIPTION (tax free or tax deferred): | OWNER: | CURRENT VALUE: |
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| *BUSINESS/REAL ESTATE ASSETS (business building, rental property, etc.):* |
| DESCRIPTION: | OWNER: | CURRENT VALUE: |
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| *PERSONAL ASSETS (home, 2nd home, jewelry, art, etc.):* |
| DESCRIPTION: | OWNER: | CURRENT VALUE: |
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| *STOCK OPTIONS of a publicly traded company:* |
| DESCRIPTION: | OWNER: | CURRENT VALUE: |
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| *RETIREMENT ASSETS OF CLIENT (401-k, 403-b, SEP, Roth IRA, Traditional IRA, etc.):* |
| TYPE: | CURRENT VALUE: | ANNUAL CONTRIBUTION: | ANNUAL EMPLOYER CONTRIBUTION: |
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| *RETIREMENT ASSETS OF SPOUSE/2ND PARTY (401-k, 403-b, SEP, Roth IRA, Traditional IRA, etc.):* |
| TYPE: | VALUE: | ANNUAL CONTRIBUTION: | ANNUAL EMPLOYER CONTRIBUTION: |
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| *Liabilities/Debt Obligation (consumer loans, automobile loans, mortgages, home equity loan, etc.):* |
| TYPE: | RESPONSIBLE PARTY: | CURRENT BALANCE: | MONTH PMNT: | % RATE | TAX DEDUTCTIBLE? |
|  |  | $ | $ |  | Yes: | No: |
|  |  | $ | $ |  | Yes: | No: |
|  |  | $ | $ |  | Yes: | No: |
|  |  | $ | $ |  | Yes: | No: |
|  |  | $ | $ |  | Yes: | No: |
| INCOME PROTECTION |
| *Life Insurance - CLIENT:* |
| TYPE: | OWNER: | BENEFICIARY: | DEATH BENEFIT: | CASH VALUE: | ANNUAL PREMIUM: |
|  |  |  | $ | $ | $ |
|  |  |  | $ | $ | $ |
| *Life Insurance – SPOUSE/2ND PARTY:* |
| TYPE: | OWNER: | BENEFICIARY: | DEATH BENEFIT: | CASH VALUE: | ANNUAL PREMIUM? |
|  |  |  | $ | $ | $ |
|  |  |  | $ | $ | $ |
| How important is it to provide financial resources for your spouse, dependents, or others, in the case of your death? | Very | Somewhat | Neutral | Somewhatunimportant | Unimportant |
|  | CLIENT: | SPOUSE/2ND PARTY: |
| Do you have a plan, at work, or individually, which provides continuing income if you are unable to work due to accident or illness? | YES:       NO:       | YES:       NO:       |
| **What %age of your income will be replaced by this plan?** | **\_\_\_\_\_\_\_\_\_\_%** | **\_\_\_\_\_\_\_\_\_\_%** |
| **How many years of coverage does this plan provide?** | **\_\_\_\_\_\_\_\_\_\_Years** | **\_\_\_\_\_\_\_\_\_\_\_Years** |
|  | **CLIENT:** | **SPOUSE/2ND PARTY:** |
| **How long could you live on your current assets in the event you become disabled or suffer a prolonged illness?** | **< 8 weeks       2-6 months****6-12 months       > 1 year** | **< 8 weeks       2-6 months****6-12 months       > 1 year** |
| **How important is it to replace your earned income in the event you become disabled or suffer a prolonged illness?** | **Very       Somewhat       Neutral** **Unimportant** |
| **Are you financially prepared for high costs associated with long life in retirement, such as long-term care?** | **Yes       No** |
| Do you have any parents, siblings, etc., that may become your financial dependent? |       Yes       No |
| How important is it to provide long-term care funding for you, your spouse, or our dependents? |      Very       Somewhat       Neutral       Unimportant  |
| FINANCIAL CONCERNS |
|  | CLIENT: | SPOUSE/2ND PARTY: |
|  When did you last review your will? |       No will       < 3 Years       3-7 Years       > 5 Years |       No will       < 3 Years       3-7 Years       > 5 Years |
| How important is it to reduce or eliminate your debt? |      Very      Somewhat      Neutral      Unimportant |
| How important is it to consolidate your debt? |      Very      Somewhat      Neutral      Unimportant |
| How important is it to accumulate funds for future goals besides retirement and education goals? |      Very      Somewhat      Neutral      Unimportant |
| How important is it for you to have assistance in reviewing your different IRA choices, i.e., Roth vs Traditional, etc.? |      Very      Somewhat      Neutral      Unimportant |
| How important is it for you to have assistance in moving retirement funds from a previous employer? |      Very      Somewhat      Neutral      Unimportant |
| How important is it for you to have assistance in reviewing your investments? |      Very      Somewhat      Neutral      Unimportant |
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| RETIRMENT PREPARATION |
| **What age do you want to retire?** | CLIENT: \_\_\_\_\_\_\_\_\_\_\_\_ | SPOUSE/2ND PARTY: \_\_\_\_\_\_\_\_\_\_\_\_ |
| On average, what percentage of your combined income (after tax) do you feel you will need when you retire to live comfortably? | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_% |
| How much impact do you feel inflation will have on your retirement? |       Major       Some      Not sure  |
|  | CLIENT | SPOUSE/2ND PARTY |
| If you are employed, does your employer provide a defined benefit pension plan? |       Yes       No  |       Yes       No  |
| EDUCATION PLANNING & LIFE EVENTS |
| Do you plan to (help) fund the educational needs of your children, etc.? |       Yes       No  |
| Approximately what amount of money do you anticipate needing to fund these college/graduate school needs? | $\_\_\_\_\_\_\_\_\_\_\_\_\_College $\_\_\_\_\_\_\_\_\_\_\_\_\_Graduate School |
| Do you feel you are adequately prepared to fund these needs? |       Yes       No  |
| Do you anticipate any of these life changing events in the next year? | Please circle:Change of employment Starting a new businessBirth of a child Dependent entering collegeMajor (home, etc.) purchase Retirement |
| RISK TOLERANCE |
| Do you agree with the statement “reducing losses is more important than receiving high returns?” |       Strongly agree       Agree       Somewhat disagree       Disagree   |
| How comfortable are you with risk? |       Lower risk/lower return       Moderate risk/moderate return       High risk/higher return  |
| How would you describe your investment philosophy? |       I want my investments to consistently generate a steady return. (This usually translates to a low level of risk tolerance.)       I am not concerned about periodic fluctuations and understand that this could mean some large losses. (This usually translates to a medium level of risk tolerance.)       I am comfortable with a portfolio that will lose and regain value, over time, with an understanding that, overall, the rate of return will be higher than average. (This usually translates to a high level of risk tolerance.) |
| If the value of your investments fell 20% in one year, what would your reaction be? |       I would be inclined to move my money in to a different investment.      I would be concerned and consider moving my money in to a different investment.      I would leave my money alone and continue to invest according to my long-term plan.      I would leave my money alone and probably invest more.  |
| What life stage of investing are you currently in? |       Early years      Middle years      High income & savings years      Early retirement years      Retirement |