

Confidential

Client Financial Profile Data Gathering Book

Client Name: _____

Date: _____



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Requested Documents Checklist

The **highlighted** items are the documents that you will need in order to complete the Confidential Questionnaire with me. The task is easiest if you assemble all of your documents before we start to work. You may not have all the items listed, and there may be some items not highlighted that may be applicable.

Investment Statements

- Stocks
- Bonds
- Mutual Funds
- Real Estate
- Limited Partners
- Saving / CD's Statements
- Other _____

Insurance Policies

- Life
- Disability
- Medical & Hospitalization
- Automobile & Homeowners
- Annuities
- Long Term Care

Employee Benefits

- Pension
- Employee Stock Ownership
- Insurance Benefits
- Employee Benefit Book
- Deferred Comp. Plan

Retirement Plan

- IRA, Keogh
- 401(k) /Profit Sharing
- Social Security Verification or Estimate
- Annual Benefits Statements
- Company Plans
- Other _____

Income Tax Returns

- Most Recent tax Return

Expenses

- Checkbook & Cash Receipts
- Credit Card Statements
- Mortgage Records
- Auto Loans
- Personal/Family Budget
- Other _____

Estate Items

- Will/Codicils
- Trust/Agreements
- Trust Tax Return
- Gift/Estate Tax Return
- Power of Attorney Agreements
- Other _____

Miscellaneous Documents

- Divorce Settlement
- Including Alimony & Child Support
- Prenuptial Agreements
- Appraisals of Personal Property
- Notes Payable
- Purchase/Sale/Lease
- Last two Pay stubs
- Advisors
- Other _____

Business Documents

- Valuations
- Buy-sell Agreements
- Partnership Agreement & Tax Return
- Employment Agreement
- Deferred Comp. Agreement
- Financial Statements
- Incorporation Papers
- By-Laws
- Other _____



Personal Information

1. Client #1 Personal Information

First Name:	Last Name:	Date of Birth:	<input type="checkbox"/> M <input type="checkbox"/> F Gender:
Home Phone #:	Business Phone #:	Cell Phone #:	
Email Address:			
Address			
Street:	City:	State:	Zip Code:

Client #1 Employer Info

Employer Name	:	Salary
Occupation:	Bonus	
Address		
Street:	City	State: Zip Code

2. Client #2 Personal Information

First Name:	Last Name:	Date of Birth:	<input type="checkbox"/> M <input type="checkbox"/> F Gender:
Home Phone #:	Business Phone #:	Cell Phone #:	
Email Address:			
Address			
Street:	City:	State:	Zip Code:

Client #2 Employer Info

Employer Name	Salary
Occupation:	Bonus
Address	
Street:	City State: Zip Code:

If you receive social security or a pension, how much? _____



Dependents

1. Dependent

First Name: Last Name: Date of Birth: Relationship:

2. Dependent

First Name: Last Name: Date of Birth: Relationship:

3. Dependent

First Name: Last Name: Date of Birth: Relationship:

4. Dependent

First Name: Last Name: Date of Birth: Relationship:

Other Professional Advisors that you work with

1. Professional Advisor **CPA**

Name: Practice Name:

Email Address: Business Phone #

Street Address:

State: Zip Code:

2. Professional Advisor **Attorney**

Name: Practice Name:

Email Address: Business Phone #

Street Address:

State: Zip Code

Estate Planning

Do you have a:

- Will
- Trust
- Living Will
- Power Of Attorney

Last Updated ___/___/___ Location of Estate Documents _____

Advanced Estate Issues:

Please note any special details that we should know about your estate or beneficiaries.



Objectives and Risk

The questions in this section aid us in defining your investment objectives and risk tolerance. Remember that risk tolerance is largely subjective, so there is no right or wrong answer.

Rank in order of importance the following financial planning goals (1=most important 6=least important):

- _____ Retire comfortably
- _____ Provide for my children's education
- _____ Save on income taxes
- _____ Provide for survivors in the event of my death
- _____ Structure my estate to minimize estate taxes
- _____ Other: _____

How important are the following investment objectives? (1=most important 5=least important):

- _____ Increase current income
- _____ Diversify (i.e., spread risks among investments)
- _____ Have cash available for emergencies or investment opportunities
- _____ Accumulate funds that will keep pace with inflation or do better than inflation
- _____ Minimize the time I have to spend managing my investments

Check the response that best describes you

When do you expect to need to withdraw cash from your investment portfolio?

- In less than 1 year.
- Within 1 to 2 years.
- Within 2 to 5 years.
- Within 5 to 10 years.
- Not for at least 10 years

How many months of current living expenses could you cover with your present savings and liquid, short-term investments, before you would have to draw on your investment portfolio?

- Less than 3 months.
- 3 to 6 months.
- 6 to 12 months.
- More than 12 months.

Over the next few years, what do you expect will happen to your income?

- It will probably decrease substantially.
- It will probably decrease slightly.
- It will probably stay the same.
- It will probably increase slightly.
- It will probably increase substantially.

What percentage of your gross annual income have you been able to save in recent years (include your 401k)?

- None.
- 1 to 5%.
- 5 to 10%
- 10 to 15%
- more than 15%



Over the next few years, what do you expect will happen to your rate of savings?

- It will probably decrease substantially.
- It will probably decrease slightly.
- It will probably stay the same.
- It will probably increase slightly.
- It will probably increase substantially

What are your return expectations for your portfolio?

- I don't care if my portfolio keeps pace with inflation; I just want to preserve my capital.
- My return should keep pace with inflation, with minimum volatility.
- My return should be slightly more than inflation, with only moderate volatility.
- My return should significantly exceed inflation, even if this could mean significant volatility.

How would you characterize your personality?

- I'm a pessimist. I always expect the worst.
- I'm anxious. No matter what you say, I'll worry.
- I'm cautious but open to new ideas. Convince me.
- I'm objective. Show me the pros and cons and I can make a decision and live with it.
- I'm optimistic. Things always work out in the end.

When monitoring your investments over time, what do you think you will tend to focus on?

- Individual investments that are doing poorly.
- Individual investments that are doing very well.
- The recent results of my overall portfolio.
- The long-term performance of my overall portfolio.

Suppose you had \$10,000 to invest and the choice of 5 different portfolios with a range of possible outcomes after a single year. Which of the following portfolios would you feel most comfortable investing in?

- Portfolio A, which could have a balance ranging from \$9,900 to \$10,300 at the end of the year.
- Portfolio B, which could have a balance ranging from \$9,800 to \$10,600 at the end of the year.
- Portfolio C, which could have a balance ranging from \$9,400 to \$11,600 at the end of the year.
- Portfolio D, which could have a balance ranging from \$8,700 to \$12,500 at the end of the year.
- Portfolio E, which could have a balance ranging from \$8,000 to \$14,000 at the end of the year.

If the value of your investment portfolio dropped by 20% in one year, what would you do?

- Fire my investment advisor.
- Move my money to conservative investments immediately to reduce the potential for future losses.
- Monitor the situation, and if it looks like things could continue to deteriorate, move some of my money to more conservative investments.
- Consult with my investment advisor to ensure that my asset allocation is correct, and then ride it out.
- Consider investing more because prices are so low.

Do you expect any inheritances, legal settlements or gifts that may affect your financial plan?

If so, please explain: _____

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