



# Financial Planning Questionnaire



**Personal Information:**

Please skip any section of this questionnaire if it doesn't apply to you.

	Client 1	Client 2
<b>Name</b>		
<b>Date of Birth</b>	/ /	/ /
<b>State of Residence</b>		

List your financial plan-related questions or concerns, as well as any long-term financial goals.

**Retirement Age:**

	Client 1	Client 2
<b>Already Retired?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
<b>Intended Retirement Age</b>		<input type="checkbox"/> We want to retire in the same year

**Wages:**

	Client 1	Client 2
<b>Pre-Tax Salary</b>	\$	\$
<b>Avg Bonus/Commission</b>	\$	\$
<b>Self-Employed?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes

**Will You Receive Any Pension Income?**

Name: \_\_\_\_\_  Client 1  Client 2  
 Monthly income: \$ \_\_\_\_\_ Starting year/Age: \_\_\_\_\_  
 Do the benefits have a cost of living adjustment for inflation? \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
 Monthly income: \$ \_\_\_\_\_ Starting year/Age: \_\_\_\_\_  
 Do the benefits have a cost of living adjustment for inflation? \_\_\_\_\_



Name: \_\_\_\_\_  Client 1  Client 2  
Monthly income: \$ \_\_\_\_\_ Starting year/Age: \_\_\_\_\_  
Do the benefits have a cost of living adjustment for inflation? \_\_\_\_\_

**Other Income:**

Examples: Rental property income, deferred compensation, annuity income, business distributions, and expected inheritances.

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_

Name: \_\_\_\_\_  Client 1  Client 2  
Annual amount: \$ \_\_\_\_\_ Is this amount post-tax?  Yes Start year: \_\_\_\_\_  
End year: \_\_\_\_\_ Comments: \_\_\_\_\_



## Social Security:

We prefer that you provide us with a Social Security statement. You can obtain an up-to-date statement at [www.ssa.gov](http://www.ssa.gov). **If you aren't providing one**, please complete the questions below.

	Client 1	Client 2
I'm currently taking Social Security and my benefit is:	\$ <input type="checkbox"/> Pre-Tax <input type="checkbox"/> After-Tax	\$ <input type="checkbox"/> Pre-Tax <input type="checkbox"/> After-Tax
I've reviewed my Social Security statement and my estimated benefit at full retirement age is:	\$	\$
Instead of the above, please estimate my Social Security benefits from my current income:	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes

## Investments Outside of Mayflower:

We strongly recommend connecting all your accounts to our Mayflower portal (also called Black Diamond). The accounts that we manage are already connected for you. External accounts including savings, investment accounts and 401k's can be linked through this easy process.

There are multiple benefits to connecting your accounts:

Allows us to view updated details for all your accounts. This will save you time and eliminate the need to provide new statements when we make future updates to your plan.

Provides you with one centralized location to view your external and internal account performance.

Helps us implement better investment suggestions when we're able to view your entire financial picture at once.

**If you prefer not to use this accounting linking tool**—or if you have assets such as private investments that cannot be linked—please utilize the following page or send us account statements.



**Your Accounts:**

Name: (Banks, brokerage firms, etc)	Account Type: (Checking, Savings, 401k, IRA, Taxable, Annuity, etc)	Current Value:	Annual Contribution to This Account	Client 1	Client 2	Joint	% Stock	% Bonds
Example: Fidelity Investment Account	Taxable	\$541,000	\$2,000		X		60%	40%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%
		\$	\$	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	%	%



If you have additional information about your accounts, please let us know below:

Does your employer provide a company match to your retirement plan?

Client 1:  Yes  No

Client 2:  Yes  No

If yes, please indicate the annual employer match.

Client 1 Account: \_\_\_\_\_ ; \_\_\_\_\_ % of salary or \$ \_\_\_\_\_  
 Client 1 Account: \_\_\_\_\_ ; \_\_\_\_\_ % of salary or \$ \_\_\_\_\_  
 Client 2 Account: \_\_\_\_\_ ; \_\_\_\_\_ % of salary or \$ \_\_\_\_\_  
 Client 2 Account: \_\_\_\_\_ ; \_\_\_\_\_ % of salary or \$ \_\_\_\_\_

**Other Assets:**

Please list your other assets such as your home or business interests – things that would be able to be sold in the future (if necessary). Cars, jewelry, and artwork in most cases don't need to be included here.

Description	Owner			Current Value	Planning to sell this asset?	Year to Sell
	C1	C2	Joint			
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	
				\$	<input type="checkbox"/> Yes	



If you have additional information about your other assets, please let us know below:

**Stock Options and Grants:**

The best way to provide this information is to send us a stock option statement that includes the full vesting schedule of past and future shares (this is usually a few pages), or you can fill out the below.

Ticker Symbol	Exercise Price	Shares Granted	Date Received	Vesting Schedule
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			
	\$			

Any other details, such as if you've already exercised/sold any of the shares:

**Restricted Stock:**

Ticker Symbol	Shares Granted	Date Received	Vesting Schedule



If you have additional information about your restricted stock, please let us know below:

**Education:**

Please provide information on your children that will be attending college in the future. If you're planning to have more children in the future, please provide an estimated dated of birth.

Name	Date of Birth
	/ /
	/ /
	/ /
	/ /
	/ /
	/ /

**529 and Coverdell Accounts:**

If you haven't linked your child's 529 or Coverdell accounts through the Mayflower portal, please provide the following information:

Account	Child's Name	Current Value	% Stock	% Fixed Income
		\$		
		\$		
		\$		
		\$		
		\$		
		\$		

If you already know what college you want to plan for or have any other information, let us know here:



**Liabilities:**

Include your mortgage, loans, student debt, and other liabilities here.

Description	Original Loan Amount	Original Date Loan was Taken	Loan Term (Years)	Current Balance	Interest Rate	Monthly Payment
	\$			\$	%	\$
	\$			\$	%	\$
	\$			\$	%	\$
	\$			\$	%	\$
	\$			\$	%	\$
	\$			\$	%	\$
	\$			\$	%	\$
	\$			\$	%	\$
	\$			\$	%	\$

**Expenses:**

It's important for us to understand your current annual expenses in order to create your financial plan.

Expenses can be broken up into three categories:

- Base living expenses, which don't change much year-to-year (food, entertainment, clothes, rent)
- One-time expenses and recurring expenses that will eventually stop (mortgage, travel, and one-time expenses such as planned home renovations)
- Taxes

Our software can estimate your taxes, but we need your input for the first two bullet points.

1. I currently don't track my expenses. I will use the next page to provide a breakdown of my expenses.

2. I spend \$\_\_\_\_\_ per month, or \$\_\_\_\_\_ per year.  
 This number includes my mortgage.

I'm still unsure, please work with me to determine my expenses.



Personal & Family Expenses	Amount
Alimony and Child Support	\$
Business Expenses	\$
Cash and ATM Withdrawals	\$
Phone Bill	\$
Charitable Donations	\$
Child Expenses	\$
Clothing	\$
Club Dues	\$
Entertainment and Dining Out	\$
Gifts	\$
Groceries	\$
Healthcare	\$
Hobbies	\$
Household Items	\$
Personal Care	\$
Pet Care	\$
Travel	\$
Other	\$

Vehicle Expenses	Amount
Loan or Lease	\$
Insurance	\$
Fuel	\$
Parking	\$
Other	\$

Home Expenses	Amount
Mortgage or Rent	\$
Real Estate Tax	\$
Maintenance	\$
Insurance	\$
Association Fees	\$
Equity Line	\$
Utilities, Cable TV, Internet	\$
Housekeeper	\$
Lawn Care	\$
Other	\$

Miscellaneous	Amount
	\$
	\$
	\$
	\$

<b>Total Expenses:</b>	\$
------------------------	----



If you have additional information about your expenses, please let us know below:

--

**Life Insurance:**

Insured Name	Policy Type/ Name <small>(whole life, universal, variable, or term)</small>	Death Benefit Amount	Policy Owner	Annual Premium	Cash Value <small>(for whole life, variable, or universal policies only)</small>
		\$		\$	\$
		\$		\$	\$
		\$		\$	\$
		\$		\$	\$
		\$		\$	\$
		\$		\$	\$
		\$		\$	\$

Please select below if you have the following:

Insurance Type	Yes	Comments
Long Term Care	<input type="checkbox"/>	
Umbrella	<input type="checkbox"/>	

If you have any final comments or questions, please list them below:

--

**Final Step:**

**Thank you!** We'll begin creating your financial plan very soon and will be in touch once we're ready to discuss it with you.

Mayflower Financial Advisors, LLC (dba Mayflower Advisors, "Mayflower") is an SEC registered investment advisor with its principal place of business in Boston, MA. Securities offered by Registered Representatives through Private Client Services, Member FINRA/SIPC. Advisory products and services offered by Investment Advisory Representatives of Mayflower Advisors, a Registered Investment Advisor. Private Client Services and Mayflower Advisors are unaffiliated entities. All information is provided solely for convenience purposes and all users thereof should be guided accordingly.