Financial Planning Questionnaire

Answering this questionnaire as completely as possible in advance of your meeting will ensure the time spent with your advisor will be efficient and productive. This information will be treated confidentially.

Personal Information

Client Last Name	First Name	MI	Date of Birth	State of Birth/Citizenship	SSN
Home Address Street		City		State	Zip
Home Phone Preferred? ☐	Mobile Phone Preferred? ☐	Personal Email			
Occupation			Employer		
Work Address Street		City		State	Zip
Spouse/Partner Last Name	First Name	MI	Date of Birth	State of Birth/Citizenship	SSN
Home Address Street (if different)		City		State	Zip
Home Phone (if different) Preferred? ☐	Mobile Phone Preferred? ☐	Personal Email			
Occupation			Employer		
Work Address Street		City		State	Zip

Dependents (please include adult dependents)

Dependent Last Name	First Name	MI	Date of Birth	State of Birth	SSN	From Previous Marriage? (Y or N)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	SSN	From Previous Marriage? (Y or N)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	SSN	From Previous Marriage? (Y or N)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	SSN	From Previous Marriage? (Y or N)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	SSN	From Previous Marriage? (Y or N)

Financial Position 1=Low, 5=High	Level of Importance of this Area 1	2	3	4	5	Level of Satisfaction with Current Results 1	2	3	4	5
Budgeting (living wihtin your means)										
Amount of emergency cash reserves										
Safety or rate of return on cash reserves										
Liquity of cash reserves										
Cost of debt										
Other:										

Risk Management 1=Low, 5=High	Level of Importance of this Area 1	2	3	4	5	Level of Satisfaction with Current Results 1	2	3	4	5
Your family's lifestyle in event of death or disability										
Payment of medical expenses										
Personal or business liability coverage										
Replacement of auto, home, or other property in event of loss										
The level of volatility of your investments										
Unforseen costs of caring for an aging or disabled relative										
Other:										

Wealth Accumulation 1=Low, 5=High	Level of Importance of this Area 1	2	3	4	5	Level of Satisfaction with Current Results 1	2	3	4	5
Education for children or grandchildren										
New or second home										
Special vacation										
Weddings, Bar/Bat Mitzvahs, Other special life events										
Purchase of a business										
Other:										

Tax Planning 1=Low, 5=High	Level of Importance of this Area 1	2	3	4	5	Level of Satisfaction with Current Results 1	2	3	4	5
Taking advantage of all available tax reduction strategies										
Reducing federal and state income taxes on earned income										
Reducing federal and state income taxes on investment income										
Reducing federal and state income taxes on future income										
Alternative Minimum Tax										
Sale of a highly appreciated or low cost basis asset or real estate										
Other:										

Retirement Planning	Level of Importance of this Area						Level of Satisfaction with Current Results				
1=Low, 5=High	1	2	3	4	5		1	2	3	4	5
Level of retirement income											
Duration of retirement											
Continuation of retirement income at death											
Taxation of retirement income (including Social Security)											
Maintaining purchasing power during retirement											
Preparation for nursing home or other care costs											
Other:											

Estate Planning	Level of Importance of this Area						Level of Satisfaction with Current Results				
1=Low, 5=High	1	2	3	4	5		1	2	3	4	5
Care of dependents at premature death											
Disposition of assets at death											
Reducing estate transfer costs (probate, taxes, etc.)											
Legacy for heirs or charity											
Ease of administration for your executors											
Financial assistance to your dependent's guardians in event of death											
Other:											

Other:	Level of Importance of this Area						Level of Satisfaction with Current Results				
1=Low, 5=High	1	2	3	4	5		1	2	3	4	5
Charitable giving											
Consolidated inventory of assets, accounts and property											
Understanding your employee benefits package											
Understanding if your current plan will achieve your goals											
Coordination and communicaiton between advisors (attorney, CPA, etc.)											
Having a step by step plan to accomplish your goals											
Other:											

Notes:

Anticipated Changes

Please check all that are likely to occur wihtin the next 12 months.

☐	Marriage	☐	Make an investment	☐	Retire
☐	Have a child	☐	Receive an inheritance	☐	Increase savings
☐	Graduation	☐	Buy or Sell a home	☐	Dependent parent
☐	Divorce	☐	Job change or promotion	☐	Obtain a loan
☐	Buy a business	☐	Sell a business	☐	Death of a family member
☐	Pay off a loan	☐	Bonus or salary increase	☐	Return to work

Other / Notes:

Household Income

☐	Under $50,000	☐	$150,000 - $250,000
☐	$50,000 - $75,000	☐	$250,000 - $500,000
☐	$75,000 - $100,000	☐	$500,000 - $1,000,000
☐	$100,000 - $150,000	☐	Over $1,000,000

Risk Tolerance

How much of a financial risk taker are you?

Low Risk	1	2	3	4	5	6	7	8	9	10	High Risk
	○	○	○	○	○	○	○	○	○	○	

Types of Assets Owned

☐	Home	☐	Business / Practice
☐	Second Home	☐	IRA / SEP IRA
☐	Other Residential Real Estate	☐	Other Retirement Plans
☐	Savings Accounts / CDs	☐	Tax-Free Funds
☐	Money Market Account	☐	Limited Partnerships
☐	Commercial Real Estate	☐	Commercial Notes / Trust Deeds
☐	Stocks / Bonds	☐	Stock Options
☐	Term Life Insurance	☐	Annuities
☐	Cash Value Life Insurance	☐	Unit Investment Trusts
☐	Mutual Funds	☐	Separate Accounts

Other:

What is the best investment you ever made?

What is the worst investment you ever made?

Assets and Liabilities

	Total Assets		**Total Liabilities**
☐	Under $100,000	☐	Under $100,000
☐	$100,000 - $250,000	☐	$100,000 - $250,000
☐	$250,000 - $500,000	☐	$250,000 - $500,000
☐	$500,000 - $1,000,000	☐	$500,000 - $1,000,000
☐	$1,000,000 - $2,500,000	☐	$1,000,000 - $2,500,000
☐	$2,500,000 - $5,000,000	☐	$2,500,000 - $5,000,000
☐	$5,000,000 - $10,000,000	☐	$5,000,000 - $10,000,000
☐	Over $10,000,000	☐	Over $10,000,000

Documents Needed for the Next Meeting

The following documents will be needed for review and analysis as we work together to create a financial plan and strategy for you. This information and these documents will be treated confidentially and returned to you when the plan is completed, or earlier if requested.

	Most Recent Payroll Stubs		**Insurance Policies and/or Statements**
☐	Client	☐	Life Insurance
☐	Co-Client	☐	Medical
		☐	Disability
	Income Tax Returns	☐	Long-Term Care
☐	Client	☐	Auto and Home Owners Insurance
☐	Co-Client	☐	Liability
☐	Business	☐	Group Insurance
	Investment Statement and/or Plan Documents		**Employee Benefit Statements**
☐	Pension / Profit Sharing	☐	Client
☐	SEP / SIMPLE	☐	Co-Client
☐	401K / TSA / PEDC		
☐	IRA / Roth IRA		**Business Documents**
☐	529 Plan	☐	Buy-Sell Agreements
☐	Securities / Brokerage Accounts	☐	Deferred Compensation Agreements
☐	Savings and Investments	☐	Split Dollar Agreements
☐	Annuities	☐	Wage Continuation Agreements
		☐	Employee / Consulting
	Estate Planning Documents	☐	Group Benefit Programs
☐	Wills & Trusts	☐	Other Employer Paid Benefits
☐	Other estate planning documents		
		☐	**Cash Flow Worksheet**

Other:

Notes: