Client Questionnaire

Client Name

Spouse Name

Graham J Wilson
Duncan G. Wilson

Advisor Name

Date

Graham J. Wilson
CERTIFIED FINANCIAL PLANNER ™ professional

Duncan G Wilson, JD, MBA
CERTIFIED FINANCIAL PLANNER ™ professional

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Family Information

Client

Name (First/Last)			
Date of Birth:		Gender:	Male: ☐ Female: ☐
Marital Status: *(single, married, separated, divorced, domestic partnership, widow, widower)*		Previous Marriages?:	Yes: ☐ No: ☐
Citizenship: *(U.S. Citizen, Resident Alien, Non-Resident Alien)*			
Capital Loss Carry Forwards:			Yes: ☐ No: ☐

Spouse

Name (First/Last)			
Date of Birth:		Gender:	Male: ☐ Female: ☐
		Previous Marriages? :	Yes: ☐ No: ☐
Citizenship: *(U.S. Citizen, Resident Alien, Non-Resident Alien)*			

Contact Info

Address Line 1:	
Address Line 2:	
City, State, Zip	
Home Phone:	
Cell Phone:	
Spouse Cell Phone:	
Fax:	
E-mail:	

Employment – Client

Employer Name	
Employer Address Line 1:	
Employer Address Line 2:	
City, State, Zip	
Work Phone:	
Work Fax:	
Work Email Address:	
Title/Position:	
Years Employed:	
Previous Employer:	
Previous Title/Position:	
Years Employed (Previous):	

Family Information

Employment – Spouse

Employer Name	
Employer Address Line 1:	
Employer Address Line 2:	
City, State, Zip	
Work Phone:	
Work Fax:	
Work Email Address:	
Title/Position:	
Years Employed:	
Previous Employer:	
Previous Title/Position:	
Years Employed (Previous):	

Children

First Name	Last Name	Date of Birth	Special Needs? *(Yes / No)*	Marital Status *(single, married, separated, divorced, domestic partnership, widow, widower)*	From Previous Marriage? *(Yes / No)*	Citizenship *(U.S. Citizen, Resident Alien, Non-Resident Alien)*

Family Information

Grandchildren

First Name	Last Name	Date of Birth	Gender	Special Needs? (Yes / No)	Marital Status (single, married, separated, divorced, domestic partnership, widow, widower)	Citizenship (U.S. Citizen, Resident Alien, Non-Resident Alien)

Advisors

Advisor Type (Accountant, Attorney, etc.)	First Name	Last Name	Company	Address	Phone, Fax, Email

Family Information - Notes:

Property

Real Estate

	Primary Residence	Secondary Residence	Investment Property	Investment Property
Property Name:				
Address 1:				
Address 2:				
City, State, Zip:				
Property Type: *(Residence, Non-Res)*				
Purchase Year:				
Purchase Amount:				
Current Value:				
Home Value:				
Tax Basis:				
Pre-Retire Gross Growth:				
Post-Retire Gross Growth:				
Owner: *(Client, Spouse, Joint, etc.)*				

Mortgages

	Primary Residence	Secondary Residence	Investment Property	Investment Property
Mortgage Name:				
Institution Name:				
Institution Website Address:				
Loan Type *(Mortgage, Home Equity Loan):*				
Property Name:				
Original Loan Amount:				
Date of Loan:				
Current Balance:				
as of Date *(Current Balance):*				
Interest Rate:				
Loan Term (Years):				
Payment Frequency *(Mthly, Qtlly, Semi-Ann, Annually)*:				
Repayment Type:*(Principal and Interest, Interest Only)*:				
Payment:				
Balloon Period (years):				
Is Interest Deductible? *(Yes / No)*				
Insured for Life?: *(Yes / No)*				
Paid off at Death of *(Client, Spouse, First to Die)*:				

Property

Personal Property

	(1)	(2)	(3)	(4)
Asset Name:				
Current Value:				
Tax Basis:				
Pre-Retire Gross Growth:				
Post-Retire Gross Growth:				
Owner: *(Client, Spouse, Joint, etc.)*				

Property - Notes:

Investments

Taxable

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Tax Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Realization Model: *(By Portfolio/Growth Rate, Tax-Free Income, Income Only, Enhanced Income, Growth & Income, Growth, Aggressive)*					
Owner: *(Client, Spouse, Joint, etc.)*					
Under Our Management?:*(Yes / No)*					
Exclude from Planning?: *(Yes / No)*					
% is Qualified Dividends:					
% is Investment Income subject to Ordinary Income Tax:					
% is Capital Gains (short or long term):					
% is Non-Taxable:					
% Turned over Annually:					
% Distributed Annually – Pre-Retire:					
% Distributed Annually – Post-Retire:					

☐ Complete if known, if not we will assist

Investments

Cash/Cash Equivalent

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Asset Type *(Cash, CDs, T-Bills, Checking, Savings, Money Market, Cash Management Account)*					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Tax Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Is this Asset Tax Free? *(Yes / No)*:					
Owner: *(Client, Spouse, Joint, etc.)*					
Current Manager?					
Designated for Specific Use?: *(Yes / No)*					

Investments

Qualified Retirement *(401(k), IRA, Money Purchase, Profit Sharing, 403(b), Pension, SEP, Other)*

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Type *(Traditional 401(k), Roth 401(k), IRA, Money Purchase, Profit Sharing, Traditional 403(b), Roth 403(b), Pension, SEP, Other)*					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Established Year:					
Roth Value:					
Roth Cost Basis:					
Non-Roth Post-tax Cost Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: *(Client, Spouse)*					
Beneficiary:					
Current Manager?					
Designated for Specific Use?: *(Yes / No)*					
Apply RMD?: *(Yes / No)*					

Contributions

General Contribution Information

Contributions Based On: *(All Earned Income, Salary)*	
Apply Contribution Limits: *(Yes / No)*	

Employee Contributions (For 401(k) or 403(b))

Type: *(None, Percent of Salary, Fixed Amount, Maximum, Maximum After Matching)*	
Percent:	
Dollar Amount:	

Employer Contributions (For 401(k), Money Purchase, 403(b), SEP, or Profit Sharing)

Type: *(None, Percent of Salary, Match Percent, Fixed Amount, Maximum)*	
Employer Percent Match of Employee Contribution:	
Maximum Employer Contribution Percent of Employee Salary:	
Amount:	

Non-Roth Post-Tax Contributions

Type: *(None, Percent of Salary, Fixed Amount, Maximum After Matching)*	
Percent:	
Amount:	

Investments

Roth IRAs

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: *(Client, Spouse)*					
Beneficiary:					
Current Manager?					
Designated for Specific Use?: *(Yes / No)*					

529 Plans

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Total Value:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Grantor:					
Beneficiary:					
Current Manager?					
Designated for Specific Use?: *(Yes / No)*					

Stock Options / Grants **Yes:** ☐ **No:** ☐ **Pages 12-14**

Annuities (Fixed/Variable) **Yes:** ☐ **No:** ☐ **Page 15**

Deferred Compensation **Yes:** ☐ **No:** ☐ **Page 16**

Investments

Investments – Notes:

Investments

Stock Options

	(1)	(2)	(3)	(4)	(5)
Asset Name					
Institution Name:					
Institution Website Address:					
Ticker Symbol:					
Description:					
Asset Class:					
Sector:					
Current Stock Price:					
Growth Rate:					
Vest at Death? *(Yes / No)*					
Owner:					
Cash Account:					

Grants

	(1)	(2)	(3)	(4)	(5)
Grant Number:					
Grant Date:					
Grant Type *(NQ, ISO, DQ, Restricted, Restricted 83(b))*:					
Shares Granted:					
Exercise Price:					
Exercise Price Discount:					
FMV at Purchase *(Restricted / Restricted. 83(b) only)*					
First Vest Date:					
Vesting Frequency *(Monthly, Quarterly, Semi-Annually, Annually)*					
Vesting Periods:					
Expiration Date:					
Shares Sold:					

Investments

Option Lots (1)

	(1)	**(2)**	**(3)**	(4)	(5)
Date Purchased:					
Shares Purchased:					
FMV per share at Purchase:					
Shares Sold? *(Yes/No)*:					
Sale Price:					
Date Sold:					

Option Lots (2)

	(1)	**(2)**	**(3)**	(4)	(5)
Date Purchased:					
Shares Purchased:					
FMV per share at Purchase:					
Shares Sold? *(Yes/No)*:					
Sale Price:					
Date Sold:					

Option Lots (3)

	(1)	**(2)**	**(3)**	(4)	(5)
Date Purchased:					
Shares Purchased:					
FMV per share at Purchase:					
Shares Sold? *(Yes/No)*:					
Sale Price:					
Date Sold:					

Investments

Strategy

Plan Strategy

Exercise: *(As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*	
Sell: *(As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*	

Grant and Vesting Period Strategies (1)

	(1)	(2)	(3)	(4)	(5)
Grant Strategy - Exercise: *(Use plan strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*					
Grant Strategy - Sell: *(Use plan strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*					
Change Strategies (1) – Exercise: *(Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*					
Change Strategies (1) – Sell: *(Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*					
Change Strategies (2) – Exercise: *(Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*					
Change Strategies (2) – Sell: *(Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*					
Change Strategies (3) – Exercise: (*Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement*)					
Change Strategies (3) – Sell: (*Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement*)					
Change Strategies (4) – Exercise: (*Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)*					
Change Strategies (4) – Sell: (*Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement*)					

Investments

Annuities (Fixed/Variable)

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website:					
Asset Type *(Fixed / Variable)*:					
Type of Funds *(Qualified, NQ, Tax Free)*:					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Tax Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: *(Client, Spouse, Joint, etc.)*					
Beneficiary:					
Payout Begins *(Retirement, at Death, Calendar Year, etc.)*:					
Annuitization Type: *(Life, Term Certain)*					
Based on the Lifetime of *(Client, Spouse, Survivorship)*:					
Guaranteed Years of Payout:					
Term (years):					

Investments

Deferred Compensation

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: *(Client, Spouse)*					
Beneficiary:					
Under Our Management?: *(Yes / No)*					
Exclude from Planning?: *(Yes / No)*					

Contributions

General Contribution Information

Contributions Based On: *(All Earned Income, Salary)*	

Employee Contributions

Type: *(None, Percent of Salary, Fixed Amount,)*	
Percent:	
Amount:	

Employer Contributions

Type: *(None, Percent of Salary, Match Percent, Fixed Amount)*	
Employer Percent Match of Employee Contribution:	
Maximum Employer Contribution Percent of Employee Salary:	
Amount:	

Investments – Notes: