Confidential Client Questionnaire

RENAISSANCE
WEALTH MANAGEMENT GROUP OF TEXAS

PROVIDING WEALTH MANAGEMENT AND RETIREMENT PLANNING SOLUTIONS FOR YOUR FUTURE

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Date:

	Client 1	Client 2
Name		
Identification Verification used****(DL or Passport): -------------------------------- Expiration Date:	---------------------------------	----------------------------------
Address		
City St Zip		
Birthdate		
Home phone		
Cell Phone		
Work phone		
Employer, Employer address & date of hire		
Occupation		
Social Security Number		
Approx Annual Income		
Total Net Worth Total Liquid Net Worth(What can be liquidated within 30 days)		
E-mail address		

****** MUST HAVE COPY OF DOCUMENT BEORE OPENING ACCOUNT**

Investment Background

What types of Investments have you used in the past? (please check all that apply)

□ **savings** account □ CDs □ **unit** trusts □ **rental** property
□ **individual** stocks □ **managed** accounts □ **mutual** funds □ **variable** annuities
□ **fixed** annuities □ **muni**-bonds □ **US** savings bonds □ **corp** bonds

Financial Information and Experience

Enter the letter that corresponds to the correct range:

Annual Income? _____ Net Worth (exclusive of home) _____ Liquid Net Worth?*_____ Approximate account value? _____**

A. Less than $25,000 B. $25,000 - $49,000 C. $50,000 - $90,999 D. $100,000 - $249,000 E. $250,000 - $499,999
F. $500,000 - $749,000 G. $750,000 - $999,999 H. $1,000,000 and over

Source of Wealth and Income (inheritance, employment salary, sale of real estate, etc.)

____ **Federal Income tax Bracket (%)** ___________

Investment Experience (number of years): _______

Annuities_______ Mutual Funds_______ Partnerships _______ Margin _______ Stocks _______ Bonds _______
Options_______ Other (please specify) ____

What are your other investments (includes other assets held by LPL)? Please indicate percentage of net worth (must equal 100%)

Real Estate	______%	Mutual Funds	_______%	Checking/Savings	_______%	Annuities	_______%
Insurance	______%	Equities	_______%	Alternative investments	________%	Bonds	_______%
Other	______%	If Other, please explain	____________________				

*Liquid Net worth is exclusive of real estate; only include assets that can be liquidated within 30 days
**Account minimums apply;

What is your investment time horizon for this account?

____ 1-3 years ______ 3-5 years ______ 5-10 years ______ More than 10 years
Do you have liquidity needs from the funds in this account? ______Yes ______ No
If yes, when do you need these funds? ______ 0-3 years ______ More than 3 years
If yes, specify the approximate dollar amount for the time range indicated above $________________

Financial Goals

What is the money you are saving supposed to do for you?

What are your long term financial goals? (10+ years)

What are your short term financial goals? (today, tomorrow, and next year.

Major Financial Concerns

Income taxes **nursing home care expenses** **outliving savings**

Disability **estate taxes**

What is your primary need today?

Do you need additional income to come from these investments?

How did you hear about me?

What do you consider a reasonable rate of return?

Suitability

If you invested $10000.00 today and tomorrow it fell to $5000.00 would you feel sick and want to pull it out immediately?

Would you want to watch it but do nothing for at least a year?

Would you consider it a good buying opportunity and want to buy more?

Tell me what you know about diversification and asset allocation.

Children

College Planning?

Parents

What age do you expect to retire?

What is your ideal retirement lifestyle? Income requirements?

Do you participate in a company retirement plan?

What are your investments in that plan? How much? And what?

Current investment amounts outside of 401K and Pensions:

IRA	Annuities	Cash

CD	Rental	Bonds
Mutual Funds	Stocks	REITS
Precious Metals or Royalties	Real Estate	Notes

Home mortgage total owed/length: Monthly Pmt:
Int Rate:

Major Debts? (For credit card debt, list separately on notes amt owed with interest rates)

Major planned purchases?

Other assets or sources of income?

Are you comfortable with your current income?

Do you have a will? What state? Last Update?
Do you have a trust?
Who are your heirs?
Power of Attorney?
Medical Power of Attorney?
Directive to Physician?
Single? Married? Or Partnership?

Goals for your estate:

Insurance Needs: Both Clients

Long term care:
Current Life Insurance:
Disability Insurance:

CPA name:

Estate Planning Attorney name:

Who do you know who may need my help with retirement or investment planning?

____

Complete for and fax back to Kelly Welker or her assistant Meghan Ridley at 210-581-5609

Kelly Welker CRPC®, CRCP™, MBA
Chartered Retirement Planning Counselor
SagePoint Registered Principle

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