



## Confidential Information Form

Prepared by:

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The information contained in this document is strictly confidential. Under no circumstance will this information be distributed to anyone outside of the firm or be made publicly available.

# QUESTIONNAIRE

## PERSONAL INFORMATION

First Name: Last Name: Gender:

Occupation: Employer:

Income: Email:

Mobile Number: Work Number:

## SPOUSAL INFORMATION

First Name: Last Name: Gender:

Occupation: Employer:

Income: Email:

Mobile Number: Work Number:

## GOALS

Please list your short, medium, and long-term goals:

# CASH FLOW ANALYSIS

**ANNUAL INCOME:**

**MONTHLY INCOME:**

(after taxes & retirement)

## MONTHLY EXPENDITURES

### FIXED

### FUN

Mortgage/Rent:

Entertainment:

Utilities/Cable:

Personal Care:

Phone/Internet:

Gym/Health:

Food/Groceries:

Miscellaneous:

Auto Payment:

Travel:

Repair/Gas:

Hobbies:

Auto Insurance:

Gifts:

Student Loans:

Credit Cards:

Charity/Tithing:

**TOTAL MONTHLY EXPENSES:**

**TOTAL MONTHLY SURPLUS:**

# INVESTOR PERSPECTIVES

## PLEASE ANSWER THE QUESTIONS BELOW

When you hear the word risk, which comes to mind first?

Opportunity      Uncertainty      Loss

Over the long term the stock market has averaged a return of over 8% annually. What do you believe the likely range of returns will be for the stock market over the next 12 months?

to

How important are peace of mind and security for your investment assets (1 being least important)?

1      2      3      4      5      6      7      8      9      10

What is the greatest risk to investing?

Market fluctuations      Recessions/Bear Markets      Outliving my money

## PLEASE SELECT EACH STATEMENT THAT BEST DESCRIBES YOU

### Series 1

- A) Considers things objectively – seldom influenced by feelings
- B) Values recognition and praise for accomplishments
- C) Actions are tied heavily to personal values
- D) Is direct and assertive with self and others

### Series 2

- A) Analytical when making decisions
- B) Easily bored by routine tasks
- C) Content working behind the scenes, enjoys helping others
- D) Confident and results driven

### Series 3

- A) Maintains calm in volatile situations
- B) Is energized by change
- C) Often defers decision making to accommodate others
- D) Brings drive and focus to issues

### Series 4

- A) Values quality and accountability
- B) Energetically juggles multiple roles and tasks
- C) Puts people and relationships first
- D) Action oriented and loves a challenge

### Series 5

- A) Prefers a structured, methodical approach
- B) Is creative and likes to think outside the box
- C) Is patient with a relaxed attitude
- D) Likes to lead and make things happen

# FINANCIAL CHECKLIST

Please send the following documents pertaining to your situation.

## ASSET PROTECTION

Life insurance policies, latest statements and loan data  
 Disability insurance policies  
 Long-term care  
 Medical insurance  
 Employee Benefits booklet

## RETIREMENT PLANNING

Most recent statements from qualified retirement plans  
 Retirement plan summaries and most recent statements  
 Preferred compensation and stock option agreements  
 Pension/profit sharing plans  
 Social Security statements  
 Business documents (buy-sell agreements, etc.)  
 Stock Option Agreement

## INVESTMENTS

Most recent statements from brokerage accounts, mutual funds, etc.  
 Annuity policies  
 Checking/Savings accounts and certificate of deposit statements  
 Real estate investment purchases, escrow and loan documents  
 Earning pay statements

## TAX PLANNING

Personal & business tax returns for the last two years  
 Estate Planning  
 Wills  
 Trust documents  
 Other estate planning documents (Power of Attorney, etc.)  
 Debts: Mortgage, Credit Cards, Car, School, Personal Loans  
 Line of credit