



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