



**Personal Background**

	<u>Primary Contact</u>	<u>Spouse or Partner</u>
Name	_____	_____
Address	_____	_____
City	_____	_____
State	_____	_____
Zip	_____	_____
Home Phone	_____	_____
Work Phone	_____	_____
E-mail Address	_____	_____
Date of Birth	_____	_____
Age	_____	_____
Marital Status	_____	_____
Occupation	_____	_____
Age You Intend To Retire	_____	_____
Number of Dependent Children?	_____	Ages _____

**Financial Information**

Current Annual Income	_____	_____
Current Social Security Income	_____	_____
Expected Amount of Social Security	_____	_____
Current Pension Income	_____	_____
Expected Amount of Pension	_____	_____
Investment Income	_____	_____
Monthly Living Expenses (all)	_____ (Closest Estimate)	_____
How Much Life Insurance	_____	_____
How Much Disability Insurance	_____	_____
How Much Long-Term Care Insurance	_____	_____

Amount of Assets

Checking \_\_\_\_\_

Savings \_\_\_\_\_

Retirement Accounts (401k, 403b, IRA's etc.) \_\_\_\_\_

Taxable Accounts (Non-Retirement) \_\_\_\_\_

Real Estate \_\_\_\_\_

Mortgage Balance \_\_\_\_\_

Mortgage Interest Rate \_\_\_\_\_

Years Remaining on Mortgage \_\_\_\_\_

**Investment Experience and Goals**

Do you have a formal financial plan? \_\_\_\_\_

Do you and your spouse generally agree on your financial goals? \_\_\_\_\_

What is the main purpose of investing? \_\_\_\_\_

What is your timeframe for needing this money? \_\_\_\_\_

What past investments were you pleased with? \_\_\_\_\_

Why were you pleased? \_\_\_\_\_

What past investments were you not pleased with? \_\_\_\_\_

Why were you not pleased? \_\_\_\_\_

Have you ever lost money on an investment? \_\_\_\_\_

If yes, were you satisfied with the risk level? \_\_\_\_\_

Were you aware of the risk level going into the investment? \_\_\_\_\_

**What are your expectations of Retirement Planning Solutions?**

In terms of performance? \_\_\_\_\_

In terms of service? \_\_\_\_\_

Any additional information? \_\_\_\_\_

What specific financial goals do you want to achieve now, as you approach retirement, and beyond?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are there any particular factors that would prevent you from achieving these goal(s)? \_\_\_\_\_

\_\_\_\_\_

**Risk Tolerance Questions** (Please answer all questions)

- My overall investment objectives are:

Growing assets without concern for current income  
 Growing assets somewhat, while generating current income  
 Generating current income and preserving capital

- With a \$100,000 investment, in search of 10% - 12% returns, I would accept a one-year loss of:

More than \$15,000  
 \$10,000 to \$15,000  
 Less than \$10,000

- I plan to use the funds in this portfolio within:

10 plus years  
 6 to 10 years  
 0 to 5 years

- I am willing to tolerate:

Substantial swings in portfolio value to maximize growth  
 Small swings in portfolio value though this might mean lower growth  
 Only slight deviations in portfolio value in spite of slower overall growth

- After investing, I generally:

Know that ups and downs are inevitable and check the results rarely  
 Pay attention but recognize that values change constantly and do not worry excessively  
 Watch the markets daily and calculate my gains or losses frequently

- For a potential annual rate of return of 10-15%, you could tolerate a one-year loss of how much?

Less than 10%       10 to 20 %       20 to 30 %       More than 30%

- On a 1 to 10 scale, conservative to aggressive, how would you rate yourself as an investor?

1     2     3     4     5     6     7     8     9     10

1=Low Risk, Low Return

10=High Risk, High Return