

Personal Background

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

Financial Information

Current Gross Annual Income _____	_____
Federal and State Income Tax Owed (As Shown On Prior Years Tax Return) _____	_____
Current Social Security Income _____	_____
Expected Amount of Social Security _____	_____
Current Pension Income _____	_____
Expected Amount of Pension _____	_____
Employee Contribution to 401k/403b _____	_____
Employer Contribution to 401k/403b _____	_____
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