|  |  |
| --- | --- |
| **Questionnaire** | |
| Name: |  |
| Birth Date: |  |
|  |  |
| Spouse/Partner Name: |  |
| Spouse Birth Date: |  |
|  |  |
| Address: |  |
| City: |  |
| State: |  |
| Zip: |  |
| Email: |  |
| Daytime Phone: |  |
| Evening Phone: |  |
| Occupation (or Former Occupation): |  |
| Years until retirement: |  |
| Marital Status: |  |
| Number of dependants: |  |

|  |  |
| --- | --- |
| **Income (Client 1 – for clients in the workforce)** | |
| **Amount ($)** |  |
|  | Salary/Self-Employment |
|  | Bonus/Commissions |
|  | Investments |
|  | Other |

|  |  |
| --- | --- |
| **Income (Client 2 – for clients in the workforce)** | |
| **Amount ($)** |  |
|  | Salary/Self-Employment |
|  | Bonus/Commissions |
|  | Investments |
|  | Other |

|  |  |
| --- | --- |
| **Income (Retirement---for clients over 65 or in retirement)** | |
| **Amount ($)** |  |
|  | Salary (pension/social security) |
|  | Other |
|  |  |
|  |  |

Assets

|  |  |
| --- | --- |
| **Cash** | |
| **Amount ($)** |  |
|  | Checking Account |
|  | Savings Account |
|  | Money Market Account |
|  | Other |

|  |  |
| --- | --- |
| **Stocks/Bonds** | |
| **Amount ($)** |  |
|  | Brokerage |
|  | Corporate/401(k) |
|  |  |

|  |  |
| --- | --- |
| **Retirement Funds** | |
| **Amount ($)** |  |
|  | Pension |
|  | IRA |
|  | Profit Sharing Plan |
|  | 403(b) |
|  | Social Security |

|  |  |
| --- | --- |
| **Personal Property** | |
| **Amount ($)** |  |
|  | Primary |
|  | 2nd Home/Investment Property |
|  | Vehicles (owned) |

|  |  |
| --- | --- |
| **Other** | |
| **Amount ($)** |  |
|  | Business |
|  | Accounts Receivable |
|  | Royalities |
|  | Patents/Licenses |

Debts

|  |  |
| --- | --- |
| **Other** | |
| **Amount ($)** |  |
|  | Home |
|  | Home (2) |
|  | Vehicle (1) |
|  | Vehicle (2) |
|  | Credit Cards |
|  | Student Loans |
|  | Other/Business Loans |

Questionnaire

|  |  |  |
| --- | --- | --- |
| **Financial Summary** | | |
| **Yes** | **No** |  |
|  |  | Will you have any big purchases/expenses in the coming years? |
|  |  | Do you have a CPA/bookkeeper? |
|  |  | Do you currently have an attorney? |
|  |  | Do you have a will or living trust? |
|  |  | Do you have a business? |
|  |  | Do you have any outstanding debt, litigation or other expenses? |

|  |  |
| --- | --- |
| **Client Investment History** | |
| **Ranking (1-10)** |  |
|  | How familiar are you with securities/investments  (stocks, bonds, mutual funds, etfs.)  (high – 10; low – 1) |
|  | How comfortable are you with your own investments/allocation  (high – 10; low – 1) |
|  | How would you describe your current risk profile  (high risk -10; low risk – 1) |
|  | How comfortable are you with your current performance  (very comfortable -10; not comfortable – 1) |

|  |  |
| --- | --- |
| **Goals: What are my investment objectives?** | |
| Yes | Items |
|  | Speculative (0-2 years) |
|  | Short term growth (2-5 years) |
|  | Intermediate (5-15 years) |
|  | Long Term (11 years or more) |

|  |  |
| --- | --- |
| **Time Horizon: What is my timeline for retirement (e.g. or making withdrawals)?** | |
|  | 1-5 years |
|  | 6-10 years |
|  | 11-15 years |
|  | 16 or more years |

|  |  |
| --- | --- |
| **Risk/Return: How would you describe your preferences?** | |
|  | Increase my portfolio value quickly and take more risk |
|  | Moderate increase to my portfolio value with less to moderate risk |
|  | Income/Growth with less risk |
|  | Capital Preservation with little risk |

|  |  |
| --- | --- |
| **Volatility: How comfortable would you be with a potential loss of value from swings in a portfolio** | |
|  | 0-5 % - little swings in portfolio value |
|  | 5-10 % - moderate swings in portfolio value |
|  | 10-20% – higher swings in portfolio value |
|  | 25% or more – speculative/highest swings in portfolio |

**Investment Policy Statement**

|  |  |
| --- | --- |
| **Introduction** | **Comments** |
|  | Input section to discuss the strategy |

|  |  |
| --- | --- |
| **Portfolio** | **Investment Objectives** |
|  | Input sentence/paragraph explanation here:    (e.g. “The portfolio seeks to provide……" |

## GUIDELINES AND POLICIES

|  |  |
| --- | --- |
| **Time Horizon** |  |
|  | Input sentence/paragraph explanation here:    (e.g. “Input paragraph here: The portfolio is suitable for investors ……. |
| Risk Tolerancesand Performance |  |
|  | Input explanation of risk here…..    e.g. “ The Investor recognizes that the objectives of the Portfolio cannot be achieved without incurring a certain amount of risk. |

|  |  |
| --- | --- |
| **Recommended Portfolio: Historical Annual Return** |  |
|  | Input return/calculations here    e.g. “performance is determine a  Include disclosure    e.g. gross or net of fees, past performance is not indicative of future results, there are inherent limitations in the data and we cannot guarantee the performance of your portfolio. Advisory fees are described in Part 2 of the Advisor’s Form ADV. |

|  |  |
| --- | --- |
| **Strategy:** |  |
|  | Input explanation here |

|  |  |
| --- | --- |
| **Duties/Responsibilities:** |  |
|  | **Advisory Firm**        is responsible for portfolio monitoring and in assisting the client in making an appropriate asset allocation decision based on his/her particular goals, investment objectives, and risk tolerance.  **Firm Principal** will meet with clients on a periodic basis to review the Portfolio and its performance for client suitability based on the parameters of the client. |

|  |  |
| --- | --- |
| **Client Attestation:** |  |
|  | I have reviewed and accepted this investment policy statement & client suitability questionnaire prepared by my advisor  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Client/Date**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  **Advisor/Date** |