

# **CONFIDENTIAL QUESTIONNAIRE**

## **for**

The purpose of this financial questionnaire is to assemble a summary view of your financial situation which we will use to ensure the best use of our time together. It is important to be thorough and list all your information to ensure that any options we discuss are appropriate for your unique situation. **All information is strictly confidential.**

Personal and Family Information			
Your Full Name		Date of Birth	Spouse (Full Name)
Child		Date of Birth	Date of Birth
Child		Date of Birth	Date of Birth
Primary Residence	Street & No.	City	State
Home Telephone	Cell Phone	Email Address	

Income						
Occupation, Income, and Income Tax Rates						
Yours (Position)		Employer			Work Phone	
		Current Base Salary	Annual Increase	Annual Bonus		
		\$	%	\$		
Spouse (Position)		Employer			Work Phone	
		Current Base Salary	Annual Increase	Annual Bonus		
		\$	%	\$		
Current Effective Income Tax Rate	Retirement Effective Tax Rate	Expected Inflation Rate	Approximate Credit Score			
%	%	%				
Defined Benefits (Social Security, PERs, Railroad Pension, etc.)						
Benefit Provider	Annual Benefit	COLA	Percent Taxable	Benefit Start Age	Benefit End Age	Owner
	\$	%	%			
	\$	%	%			
	\$	%	%			
	\$	%	%			
Other Future Income or Assets (Inheritance, Sale of Business, etc.)						
Description	Anticipated Value		Event Age / Year	Owner/Payee		
	\$					
	\$					
	\$					

**Assets****Real Estate and Mortgages**

Purchase Date	Purchase Price	Current Market Value	Down Payment	Loan Origination Date	Original Loan Amount	Original Loan Term	Annual Interest Rate (%)	Loan Balance Remaining	Monthly Principal & Interest Payment
Primary Residence	\$	\$	\$		\$		%	\$	\$
2nd Residence	\$	\$	\$		\$		%	\$	\$
Other Real Estate	\$	\$	\$		\$		%	\$	\$

**Qualified Retirement Accounts (IRA, Roth, 401k, SEP, deferred comp, pension balances, etc.)**

Name / Type	Institution	Contributions or Withdrawals (/year)	Employer Match	Account Balance	Annual Return %	Owner
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	

**Savings and Investment Accounts (cd's, securities, bonds, mutual funds, ETF's, annuities, etc.)**

Name / Type	Institution	Contributions or Withdrawals (year)	Account Balance	Cost Basis	Annual Return (%)	Owner
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	
		\$	\$	\$	%	

**Liabilities****Installment Loans (auto, boat, RV, student/parent college, HELOC, etc.)**

Type of Loan	Purpose	Monthly Payment	Interest Rate (%)	Months Remaining	Unpaid Balance
		\$	%		\$
		\$	%		\$
		\$	%		\$
		\$	%		\$

**Revolving Credit Lines (credit cards, store charge cards, checking credit lines, etc.)**

Type of Card / Issuer	Monthly Payment	Monthly New Charges	Interest Rate (%)	Unpaid Balance	Grace Period on New Charges
	\$	\$	%	\$	<input type="checkbox"/> Yes / <input type="checkbox"/> No
	\$	\$	%	\$	<input type="checkbox"/> Yes / <input type="checkbox"/> No
	\$	\$	%	\$	<input type="checkbox"/> Yes / <input type="checkbox"/> No
	\$	\$	%	\$	<input type="checkbox"/> Yes / <input type="checkbox"/> No

**Protection****Life Insurance (term, cash value)**

Company / Policy Type	Purchase Date	Annual Premium	Outstanding Loans	Current Cash Value	Death Benefit	Named Insured	Beneficiary
		\$	\$	\$	\$		
		\$	\$	\$	\$		
		\$	\$	\$	\$		
		\$	\$	\$	\$		

**Other Insurance (auto, homeowners, renters, umbrella, health, disability, long term care, etc.)**

Company / Policy Type	Purchase Date	Annual Premium	Deductible	Named Insured	Benefit/Coverages
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		

Wills and/or Living Trust? ☐ Yes / ☐ No

Date Last Reviewed:

## Expenses

### Future Expenses (college, weddings, etc.)

Description of Future Expense	Expense	Year	Payor
	\$		
	\$		
	\$		

**Additional Comments:** *(Other factors that could be important to your financial position.)*

Please bring to your first meeting:

- |  |   |
|--|---|
| <input type="checkbox"/> Paycheck Stubs  | <input type="checkbox"/> Company Benefit Statement or Summary |
| <input type="checkbox"/> Statements on all Investments / Securities  | <input type="checkbox"/> Company Benefit Booklet              |
| <input type="checkbox"/> Bank Statements   | <input type="checkbox"/> Social Security Earnings Statement   |
| <input type="checkbox"/> Tax Return – most recent two years  | <input type="checkbox"/> Wills & Trust Documents              |
| <input type="checkbox"/> Insurance Policies  |   |
| <input type="checkbox"/> Medical <input type="checkbox"/> Car <input type="checkbox"/> Home                | <input type="checkbox"/> Other:                               |
| <input type="checkbox"/> Life <input type="checkbox"/> Umbrella <input type="checkbox"/> Disability Income | <input type="checkbox"/> Other:                               |

### DOCUMENT RECEIPT:

*I have received the above checked documents for review and they will be kept confidential in a place of safe keeping.*

Representative Signature: \_\_\_\_\_ Date Received: \_\_\_\_\_

Representing: \_\_\_\_\_