

Data Gathering Questionnaire

Priorities:

List and rank your five most important financial goals in order of importance.

1. _____
2. _____
3. _____
4. _____
5. _____

What are the main areas with which you want this process to assist you?

1. _____
2. _____
3. _____
4. _____
5. _____

Income Data:

What changes do you expect in your income in the next few years (bonus, raise, inheritance, etc.)?

Expenses Data:

Do you have a savings and investment target amount you aim for each year from your annual income?
If so, how much?

Have you been successful in reaching your target savings/investment amount?

Do you have a formal budget you use for family expenditures?

Will there be any major changes in regards to new or existing liabilities (debts)?

Investment Data:

Are you satisfied with your current investment results? If so, why? If not, why not?

What is most important to you in investing your money (return, safety of principal, diversification, and so forth)?

Are there any investments you would rule out as a matter of principle?

Are there any investments you would prefer over others? Why?

What is your attitude toward investment risk?

Why have you chosen the investments in your portfolio?

Retirement Planning Data:

When do you plan to retire?

What will be your income sources?

Do you plan to have Social Security available for your retirement?

Is there anything specific you want to do in preparation for retirement?

What amount of income will provide you the ability to do what you want to do?

Where do you plan to retire?

Will you keep your current home?

Education Data:

Do you expect to have to pay higher education costs for any dependents?

What are the dependent(s) current age(s)?

What do you anticipate the cost to be? What schools might be considered?

Have you taken any steps to prepare for this?

Miscellaneous Financial Goals Data:

Do you have any other financial goals not previously discussed (new home, car, boat, travel plans, starting a business, returning to school, elderly dependent care, etc.)

Disability Data:

What would you live on if you or your spouse became disabled?

How much income would you need?

Do you and your spouse currently have disability income insurance (if so, please provide benefit manual or policy statement)?

Estate Planning Data:

In the event of your death:

Would you want your spouse to pay off any specific debts?

How much income would your family need?

Would this amount change when your children leave home?

In the event of your spouse's death:

Would you want to pay off any specific debts?

How much income would your family need?

Would this amount change when your children leave home?

What do you expect in terms of inflation (rate)?

Return on investments?

How does this compare with returns on your current investments?

If both you and your spouse die, whom would you want as your children's guardian?

Should that person also be guardian of your children's assets?

Are there any others for whom you should provide in your estate plan?

Do you have a will?

Date last reviewed/updated:

Does your spouse have a will?

Date last reviewed/updated:

How does your will distribute your property?

Have you set up any trusts?

Do you expect an inheritance? If so, what amount do you anticipate?

Medical Insurance Data:

Do you have health insurance, and from which company?

Is it a Group or Individual policy?

What is the deductible amount?

What is the monthly premium?

Miscellaneous Data:

What would you consider to be the **best** financial decision you've ever made? Why?

What would you consider to be the worst financial decision you've ever made? Why?

If you could pass along one important financial lesson to your children/grandchildren, what would it be?

In what sports or hobbies do you and your family engage in?

In what other activities (civic or otherwise) do you and your family engage in?

Do you serve on any boards of directors?

Do you carry on any business activities from your home?

Are you involved in any charity work?

Do you handle money for any organization?

Do you rent out any property?

Are you involved in any partnerships?

To the best of your knowledge, is all of your property adequately insured?

What do you expect from a financial advisor?

Advisory Data:

<u>Type</u>	<u>Name</u>	<u>Address</u>	<u>Telephone</u>
<i>Accountant/CPA</i>	_____	_____	_____
<i>Attorney</i>	_____	_____	_____
<i>Banker</i>	_____	_____	_____
<i>Broker</i>	_____	_____	_____
<i>Casualty Agent</i>	_____	_____	_____
<i>Human Resources Contact</i>	_____	_____	_____
<i>Life & Health Agent</i>	_____	_____	_____
<i>Trust Officer</i>	_____	_____	_____