



Document Checklist

You may find it helpful to review the following documents while answering this questionnaire. If possible, please provide us with copies of these documents.

Retirement Planning Documents

- Recent IRA, 401(k), 403(b), TSA, Keogh statements
- Employee benefits program
- Deferred compensation and stock option agreements
- Pension and profit sharing statements

Tax Planning Documents

- Tax returns for last year
- W-2 and a recent pay stub
- Estimated taxes

Financial Documents

- Savings account statements
- Mutual fund statements
- Brokerage account statements
- Investment documents
- Loan documents
- List of stocks held outside of brokerages
- Partnership agreements

Asset Protection Documents

- Life insurance policies and statements
- Medical, homeowners and auto insurance policies and statements
- Disability, umbrella, and long term care insurance policies
- Annuity policies and statements

Estate Planning Documents

- Summary of your will, living will, durable powers of attorney and health care powers
- Living trusts



Personal Information

To prepare a comprehensive financial plan, we will need some information about you and those who are important to you. As part of the planning process, we will present a complete personal balance sheet, and at your request create a budget.

	Client	Spouse/Partner
First Name		
Last Name		
Date of Birth		
Citizenship		
Employer/Occupation		
Employment Income		
Rental Income		
Other Income		

Children, Grandchildren and Other Dependents

Name	Date of Birth/Age	Relationship	Gender M/F

Monthly Budgeting (optional)

Expense	Amount	Expense	Amount
Rent/Mortgage		Entertainment	
Healthcare			
Insurance			
Transportation			
Travel			



Financial Objectives

Retirement Planning

- At what age do you intend to retire? Client _____ Spouse _____
- Estimate of retirement living expenses (generally 70% to 90% of pre-retirement): \$ _____
- Please provide a social security statement or estimate your monthly benefit: \$ _____
- At what age do you intend to begin receiving social security: _____
- Please list other sources of anticipated retirement income:
 - Source _____ Amount \$ _____
 - Source _____ Amount \$ _____
 - Source _____ Amount \$ _____

Education Funding

Student's Name	Date of Birth	Relationship	College/School Description	Start-End

Additional Goals

Goal Description	Start-End	Annual Cost
New or second Home		
Travel		
Start a Business		
Provide for someone's care		
Wedding		
Cars		



Financial Objectives

Investment History

When did you start investing: _____

What is the worst investment performance you've experienced: _____

What is the best investment performance you've experienced: _____

How have your investment preferences changed over time: _____

Investment Preferences

How long before you will need to use most of these investments?: _____

Which of the following statements are you most comfortable with:

- I wish to maintain my current capital and wish to minimize losses (realized and unrealized).
- I wish to grow my current capital, and will accept a moderate level of fluctuation.
- I wish to achieve a high level of return and am willing to accept a higher level of fluctuation.

What level of risk are you comfortable with (circle one):

Low Risk Some Risk Moderate Risk Moderately High Risk High Risk

Do you anticipate needing cash in the short-term (under 2 years): _____

Our standard investment mix includes:

- International stocks
- International bonds.
- Alternative Investments (long-short funds, statistical arbitrage etc.)

Please let us know if you prefer not to consider these investments.

Would you like us to consider tax-free municipal securities: _____

Is there anything else you would like us to know about your investment preferences/history?:



Additional Information

Real Property

Asset	Owner	Value	Location
Primary Residence			
Secondary Residence			
Other Real Estate			
Automobiles/Vehicles			
Art/Collectibles			

Liabilities

Asset	Owner	Balance	Rate/Term
Primary Residence			
Secondary Residence			
Credit Card Debt			
Auto Loan			
Other debt			

Investment and Bank accounts

Asset	Owner	Balance	Stocks/Bonds



Insurance and Annuities

Type	Owner	Balance	Rate/Term
Life insurance			
Disability insurance			
Fixed Annuities			
Variable Annuities			
Other			

Stock Option Plans

Type of Plan	Owner	Value	Stock Symbol

Partnership interests, Businesses or Trusts

Asset	Owner	Value	Stock / Bond

Other Assets

Asset	Owner	Value	Stock / Bond
Education saving accounts			
529 plans			