Questionnaire for Prospective Clients

The purpose of this questionnaire is to determine the suitability of the financial advisor's services to the client's needs. Financial planning is a process that takes place over time. The advisor wishes to work with clients who are committed to improving their financial well-being and believes that clients will be best served by a long-term relationship with the advisor, if personalities and philosophies otherwise mesh.

All information provided will be held in the strictest confidence, whether or not we move forward into a contractual relationship.

<table>
<tr><td>Name: Age</td><td>Name   Age</td></tr>
<tr><td colspan="2">Address:</td></tr>
<tr><td>Phone:</td><td></td></tr>
<tr><td>Current Employment, if any:</td><td></td></tr>
<tr><td>Annual Gross Income:</td><td>Estimated Monthly or Annual Expenses:</td></tr>
<tr><td colspan="2"># of Dependents/Ages</td></tr>
</table>

Please state the primary reasons you are seeking the assistance of a financial planner:

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Financial Self-Assessment:

Check the box for each of the areas in which you seek assistance.

- ☐ *Spending patterns*
- ☐ *Income tax review/reduction*
- ☐ *Retirement planning*
- ☐ *Insurance review*
- ☐ *Investment planning*
- ☐ *College funding*
- ☐ *Advisor Investment Management*
- ☐ *Estate Planning*

Do you: *(check the appropriate response.)*	Yes	No	Desire assistance
Save regularly?			
Manage your cash flow through a spending plan or a budget?			
Feel comfortable with your present investment knowledge?			
Know whether you will pay tax or get a refund this year?			
Have a will or other estate plan that is current?			

Financial Inventory:
List the current value of your assets.

Assets	Taxable Accounts	IRA Accounts	401k & TSA's
Cash/CD's/T-bills			
Mutual Funds			
Individual Stocks			
Individual Bonds			
Investment Real Estate			
Residence			
Other Assets:			
Liabilities: Current balance			
Primary residence			
Home Equity loans			
Auto loans			
Credit cards			

Planner's Estimated Time *(planner to complete)*	Hours	Notes
Data Review, data entry and follow-up questions	_____	______________________
Preliminary analysis	_____	______________________
Client meeting – preliminary findings	_____	______________________
Revise to primary scenario	_____	______________________
Prepare presentation materials	_____	______________________
Client meeting - Present financial plan	_____	______________________
Implementation: Investments	_____	______________________
Implementation: All other	_____	______________________
Estimated hours – Financial Planning	_____	______________________