

Financial Questionnaire

This comprehensive, personal financial planning questionnaire is designed to help you take inventory of your personal assets and liabilities so that we can create a financial plan based on your unique needs. Be assured that whether or not you become a client, this information will be kept **strictly confidential**.

Please complete and return to our office at the address or fax number below.



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Securities offered through LPL Financial, Member FINRA/SIPC and a Registered Investment Advisor

Financial planning offered through LPL Financial



Contact Information

CLIENT NAME: _____

SPOUSE NAME: _____

Date of Birth: _____

Date of Birth: _____

Social Security Number: _____

Social Security Number: _____

Email Address: _____

Email Address: _____

Home Phone: _____

Home Phone: _____

Cell Phone: _____

Cell Phone: _____

Home Fax: _____

Home Fax: _____

Residential address: _____

Mailing address: _____

Driver's License #: _____ State: _____

Driver's License #: _____ State: _____

Issue Date: _____ Expiration Date: _____

Issue Date: _____ Expiration Date: _____

required by LPL to open account

CHILDREN

Name: _____ DOB _____

Social Security Number: _____

Name: _____ DOB _____

Social Security Number: _____

Name: _____ DOB _____

Social Security Number: _____

EMPLOYER NAME (last, if retired): _____

SPOUSE'S EMPLOYER NAME (last, if retired): _____

Address: _____

Address: _____

Phone: _____

Phone: _____

Fax: _____

Fax: _____

Industry: _____

Industry: _____

Occupation: _____

Occupation: _____

Anticipated retirement date: _____

Anticipated retirement date: _____

ATTORNEY

Name: _____

Firm: _____

Address: _____

Phone: _____

TAX PREPARER

Name: _____

Firm: _____

Address: _____

Phone: _____

CASH

Checking, Savings, Money Market, CDs	Ownership (Husband, Wife, Joint)	Market Value
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

INVESTMENTS

Non-Retirement	Type	Held At	Approx. Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Retirement	Type	Held At	Approx. Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Stock Options (if applicable)	Type	Held At	Approx. Amount
_____	_____	_____	_____
_____	_____	_____	_____

LOANS RECEIVABLE

Borrower	Original Amount	Interest Rate	Monthly Payment	Ownership	Balance
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

REAL ESTATE

Property	Original Cost	Purchase Date	Ownership	Market Value
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

PARTNERSHIPS

Description	Number of Units	Cost	Purchase Date	Ownership	Market Value
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

OTHER INVESTMENTS

Description	Number of Units	Cost	Purchase Date	Ownership	Market Value
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

PERSONAL PROPERTY

Description	Cost	Purchase Date	Ownership	Market Value
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

LIFE INSURANCE

Description	Amount	Purchase Date	Ownership	Annual Premium
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

MORTGAGES PAYABLE

Lender	Original Amount	Interest Rate	Monthly Payment	Term	Collateral	Current Balance

LOANS PAYABLE

Lender	Original Amount	Interest Rate	Monthly Payment	Term	Collateral	Current Balance

OTHER LIABILITIES

Credit Cards, Student Loans, Etc.

Lender	Original Amount	Interest Rate	Monthly Payment	Term	Collateral	Current Balance

GENERAL

What is your current monthly spending total (exclusive of income taxes)?

\$ _____

Are you anticipating any major lifestyle changes?

- Marriage Divorce Relocation
 College Retirement Inheritance
 Support of a family member
 Other

Please describe:

RETIREMENT PLANNING

When do you plan to retire?

If you plan on working after retirement, estimate your expected income:

Are you covered by any company retirement plans?

- Yes No Uncertain

Type of company pension plan:

PROTECTION

Do you have disability insurance?

- Yes No Uncertain

Amount: \$ _____

Do you have personal liability insurance?

- Yes No Uncertain

Amount: \$ _____

Do you have long-term care insurance for nursing home expenses?

- Yes No Uncertain

Amount: \$ _____

ESTATE PLANNING

Do you have current wills?

- Yes No Uncertain

Have you established any trusts?

- Yes No Uncertain

Are you the beneficiary of any trusts?

- Yes No Uncertain

Do your children have assets of their own?

- Yes No

If yes, please describe:

Are your children beneficiaries of a trust or estate?

- Yes No

If yes, please describe:

GOAL PLANNING

Please rate the following:

- | | |
|----------------------------|---|
| Not Important
Important | <input type="checkbox"/> <input type="checkbox"/> Increase my net worth by _____ %
<input type="checkbox"/> <input type="checkbox"/> Reduce my tax burden
<input type="checkbox"/> <input type="checkbox"/> Pay education expenses for my children
<input type="checkbox"/> <input type="checkbox"/> Financial security at retirement
<input type="checkbox"/> <input type="checkbox"/> Purchase real estate
<input type="checkbox"/> <input type="checkbox"/> Plan for long-term care
<input type="checkbox"/> <input type="checkbox"/> Provide for my family after my (or my spouse's) death
<input type="checkbox"/> <input type="checkbox"/> Minimize the cost of probate and estate taxes
<input type="checkbox"/> <input type="checkbox"/> Control the distribution of assets to my heirs
<input type="checkbox"/> <input type="checkbox"/> Fund a charitable endeavor |
|----------------------------|---|

ASSET MANAGEMENT

What is your investment experience?

Bonds _____ Yrs

Stocks _____ Yrs

Annuities _____ Yrs

Mutual Funds _____ Yrs

Margin _____ Yrs

Partnership _____ Yrs

What is your main investment objective?

- Current and future income
 Preserving capital
 Building wealth for heirs
 Keeping ahead of inflation
 Increasing returns

What is your investment goal?

- Retirement
 College funding
 More current income
 Saving for major purchase
 Other: _____

Over the next several years, do you expect your household income to:

- Stay about the same
 Grow moderately
 Grow substantially
 Decrease moderately
 Decrease substantially

What annual percentage do you expect your portfolio to grow over the long term (10+ years) ?

- less than 6% 6-8%
 8-10% more than 10%

To help us become familiar with your entire financial picture, please provide all APPLICABLE documents listed below (originals or copies). Please disregard any items below that are not relevant to your situation. For your convenience, we can also store electronic copies of the documents you provide in your Cook Wealth Management System personal vault.

PERSONAL

- Most Recent Investment Statements
- Cost Basis of All Assets (if available)
- Most Recent Loan Statements
(Mortgage, Credit Card, Student, Car)
- Annuity Statement
- Most Recent Pay Stub
- Deeds to Real Estate
- Most Recent Social Security Estimated Benefit Annual Statement
- Option Agreement

LICENSES

- Drivers
- Marriage
- Professional (Designations)
- Passport
- Green Card/Birth Certificate

INSURANCE

- Policies
(Life, Disability, Long-Term Care, Homeowners, Auto, Umbrella)
- Statements and Illustrations

INCOME TAX RETURNS

- Previous 2 years, Federal and State
- Personal
 - Corporate
 - Children's
 - Trust

ESTATE

- Will
- Trust Agreement
- Power of Attorney

JOB RELATED

- Employment Contract
- Employee Benefit Statement/Pamphlet
- Bonus Plan
- Stock Options and Restricted Stock Statement
- Deferred Compensation Arrangement
- Pension Documents and Recent Statement
- 401(k) and 403(b) Statements and Plan Summaries

BUSINESS RELATED

- Current Financial Statements (Balance Sheet, Income Statement, etc.)
- Partnership/LLC Agreement
- Incorporation Bylaws
- Buy-Sell Agreement
- Retirement Plan Information

RELATIONSHIP RELATED

- Prenuptial Agreement
- Separation Agreement
- Divorce Decree
- Other