



431 SW Ambaum Blvd.  
 Burien, WA 98166  
 (206) 420-8520

*Your meeting is scheduled for:*

**Date:** \_\_\_\_\_

**Time:** \_\_\_\_\_

**As a courtesy, we ask that all appointment changes be made 24-48 hours in advance.**

*Items to bring:*

- Completed attached informational questionnaire
- All brokerage account statements
- Social Security Statements
- All IRA and Retirement Account statements
- All Life insurance, Long Term Care, and Annuity policies
- Most recent pay stub, if you have one
- An appetite for warm, freshly baked cookies!

*Please answer ALL questions unless not applicable to your situation.*

## CLIENT "A" INFORMATION

Name:		Nickname:		Date of Birth: (mm/dd/yyyy)	
E-mail Address:		Current Age:		Marital Status & Anniversary Date:	
Street Address:		City:		State:	Zip Code:
Are you at this address all year? <input type="checkbox"/> Yes <input type="checkbox"/> No		Home Phone: (____) ____ - ____		Cell Phone: (____) ____ - ____	
Secondary Street Address:		City:		State:	Zip Code:
Occupation/Job Title:		Employer (last if retired):		# Yrs:	Retirement Date:

## CLIENT "B" INFORMATION (Spouse) No Spouse

Name:		Nickname:		Date of Birth: (mm/dd/yyyy)	
E-mail Address:		Current Age:		Cell Phone: (____) ____ - ____	
Occupation/Job Title:		Employer (last if retired):		# Yrs:	Retirement Date:

**How Did You Hear About Us?**

Seminar/Workshop   
  Radio Show   
  Search Engine   
  Other \_\_\_\_\_

Community Event   
  Referral – Who can we thank? \_\_\_\_\_

# INCOME CONCERNING FINANCIAL, ESTATE, AND LIFESTYLE GOALS

The following are 12 questions that we need answered to know how to best serve your financial needs.

1 = Strongly Disagree    2 = Disagree    3 = Neutral    4 = Agree    5 = Strongly Agree

Client "A" Name: _____					
1. It is important that my spouse be financially secure if they survive me.	1	2	3	4	5
2. Leaving a financial legacy to my heirs is important to me.	1	2	3	4	5
3. Reducing risk in my portfolio is important.	1	2	3	4	5
4. I believe my principal should be safe.	1	2	3	4	5
5. Reducing the amount of income taxes I currently pay is important.	1	2	3	4	5
6. I do not want the IRS inheriting a large portion of my estate via taxes.	1	2	3	4	5
7. Leaving money to my favorite charity is important.	1	2	3	4	5
8. Generating additional guaranteed income is important to me.	1	2	3	4	5
9. I would like my investments to be liquid (immediately accessible).	1	2	3	4	5
10. Protecting my estate from Long Term Care costs is important to me.	1	2	3	4	5
11. I am concerned I may run out of money in retirement.	1	2	3	4	5
12. I am concerned about the volatility of the market and high fees.	1	2	3	4	5

Client "A" Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Client "B" Name: _____					
1. It is important that my spouse be financially secure if they survive me.	1	2	3	4	5
2. Leaving a financial legacy to my heirs is important to me.	1	2	3	4	5
3. Reducing risk in my portfolio is important.	1	2	3	4	5
4. I believe my principal should be safe.	1	2	3	4	5
5. Reducing the amount of income taxes I currently pay is important.	1	2	3	4	5
6. I do not want the IRS inheriting a large portion of my estate via taxes.	1	2	3	4	5
7. Leaving money to my favorite charity is important.	1	2	3	4	5
8. Generating additional guaranteed income is important to me.	1	2	3	4	5
9. I would like my investments to be liquid (immediately accessible).	1	2	3	4	5
10. Protecting my estate from Long Term Care costs is important to me.	1	2	3	4	5
11. Are you concerned you may run out of money in retirement?	1	2	3	4	5
12. I am concerned about the volatility of the market and high fees.	1	2	3	4	5

Client "B" Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## BENEFICIARIES

Please provide information on all children and beneficiaries to your estate.

Name	Relationship to You	Date of Birth	State of Res.	Marital Status

Do you have a trust?      Yes                      No                      If so, what kind? \_\_\_\_\_

FAMILY RELATIONSHIP NOTES / OTHER NOTES:

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## YOUR GOALS

Client "A" Planned Retirement Age:

Client "B" Planned Retirement Age:

What are your major objectives for investments?

- Current and Future Income       Preserving Capital       Keeping Ahead of Inflation  
 Increasing Returns       Building Wealth for Heirs       Other \_\_\_\_\_

## YOUR GOALS (continued)

What do you think a **reasonable** rate of return is **in retirement**? Client A: \_\_\_\_\_ % Client B: \_\_\_\_\_ %

How much **short term** cash do you like to have available? Client A: \$ \_\_\_\_\_ Client B: \$ \_\_\_\_\_

What **percentage** of your money are you comfortable being exposed to market related **risk**? Client A: \_\_\_\_\_ % Client B: \_\_\_\_\_ %

What is client "A's" general <b>risk tolerance</b> (1=low; 5= high)?	1	2	3	4	5
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What is client "B's" general <b>risk tolerance</b> (1=low; 5= high)?	1	2	3	4	5
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How satisfied are you with your current advisor or portfolio?	1	2	3	4	5
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What percentage or dollar amount of your money would you be **OK** losing? Client A: \_\_\_\_\_ % / \$ Client B: \_\_\_\_\_ % / \$

If you died tomorrow, would your spouse lose more than 20% of current household income?  Yes  No

Has it been more than a year since you last met with your financial professional in person?  Yes  No

How would you define a successful retirement? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What do you like about your portfolio as it is currently? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What about your portfolio do you think could use improvement? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

In **today's dollars** how much do you want to leave behind when you die? \_\_\_\_\_

If you desire a legacy, how much do you want to be **taxable** to your heirs? \_\_\_\_\_

How much Gross Monthly Income do you need to retire? \_\_\_\_\_

How much of Your Gross Monthly Income do you want to covered by **fixed income vs. variable**? \_\_\_\_\_

\_\_\_\_\_

