



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:

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 **risk tolerance** (1=low; 5= high)?

1 2 3 4 5

What is client "B's" general **risk tolerance** (1=low; 5= high)?

1 2 3 4 5

How satisfied are you with your current advisor or portfolio?

1 2 3 4 5

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**? _____
