

CLIENT QUESTIONNAIRE



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one
SOURCE
FINANCIAL SOLUTIONS

1 SOURCE FINANCIAL SOLUTIONS

- Financial Services
- Financial Planning
- Investment Management
- Life Planning
- Financial Education System

CLIENT QUESTIONNAIRE

Name: _____

Date: _____



BACKGROUND - FAMILY DATA

Name <small>(First, Middle Initial, Last)</small>	Date of Birth	Place of Birth	Social Security #
Your Name			
Spouse			
Child			
Child			
Child			
Child			

RESIDENCE

Street Address			
Home Phone		Mobile Phone	
Other			
Home Email			

EMPLOYMENT

Your Occupation	Employer	How Long	Address	Phone
Spouse's Occupation	Employer	How Long	Address	Phone
Your Work Email	Spouse's Work Email			

INCOME

Your Primary Income	Base Salary	Est. Bonus	Est. Commissions	Est. Stock Options
Spouse's Primary Income	Base Salary	Est. Bonus	Est. Commissions	Est. Stock Options

BUSINESS INCOME

OTHER INCOME

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BUDGET SUMMARY - MONTHLY EXPENSE ITEMS

HOUSING ITEMS	
Groceries/Dining Out	
Mortgage/Rent	
Real Estate Taxes	
House/Renter's Insurance	
Utilities (Electric, Gas, Water)	
Telephone/Cell/Internet	
Housing Repair/Maint/Lawn	
Other Housing	
TRANSPORTATION	
Vehicle Payment/Lease	
Vehicle Insurance	
Vehicle Gas/Fuel	
Vehicle Repair (Oil, Tires, Brakes)	
Other Transportation (Bus/Cab)	
OTHER ITEMS	
Clothing	
Personal Care	
Medical/Dental	
Entertainment	
Alimony/Child Support	
Child Care	
Gifts	
Charity/Tithes	
Debt Maintenance (credit cards)	
Student Loans	
Other Loan Payments	
Other Items	
MONTHLY SAVINGS	
IRA Contributions (Traditional)	
IRA Contributions (Roth)	
Company Retirement Plan	
(401ks, TSP, SEP, etc.)	
Company Matching Contribution	
(percentage)	
Other savings	

SAVINGS/INVESTMENTS

Item	Jointly Held	Yourself	Spouse	Children
Savings Account	\$	\$	\$	\$
Savings Account	\$	\$	\$	\$
Checking Account	\$	\$	\$	\$
Certificate of Deposit	\$	\$	\$	\$
Money Market Fund	\$	\$	\$	\$
IRA	\$	\$	\$	\$
Employer Sponsored Retirement Account	\$	\$	\$	\$
529 Plan	\$	\$	\$	\$
Pension	\$	\$	\$	\$
Brokerage Accounts	\$	\$	\$	\$
Savings Bonds	\$	\$	\$	\$
Annuities	\$	\$	\$	\$
Other	\$	\$	\$	\$
Other	\$	\$	\$	\$
Other	\$	\$	\$	\$

REAL ESTATE

Property	Purchase Year	Purchase Price	Improvements or Capital Expenditures	Current Estate Market Value
Your Residence				
Second Home				
Rental Property				
Land				

MORTGAGE/EQUITY LINES OF CREDIT

Property	Monthly Payment Principal & Interest Only	Interest Rate	Unpaid Balance
Your Residence			
Second Home			
Rental Property			
Land			

LOANS, DEBT AND PERSONAL PROPERTY

Type of Loan	Monthly Payment	Months Remaining	Unpaid Balance

NOTES

Your Driver's License # _____ Issue Date _____ Expiration Date _____

Your Driver's License # _____ Issue Date _____ Expiration Date _____

Please attach a copy of your license.

INSURANCE

Property	Company Name	Amount of Coverage	Annual Premium
Auto Policies			
Home Insurance Policies			
Umbrella Coverage			

INSURANCE COVERAGE - LIFE INSURANCE

Provider Company	Policy Loan	Family Member Insured	Annual Premium	Cash Value	Amount of Coverage

INSURANCE COVERAGE - DISABILITY AND/OR LONG-TERM CARE

Provider Company	Family Member Insured	Annual Premium	Monthly Benefit

NOTES

ADDITIONAL INFORMATION

Do you have a valid, executed will? Yes <input type="checkbox"/> or No <input type="checkbox"/>	
Do you have a trust? Yes <input type="checkbox"/> or No <input type="checkbox"/>	
Do you have an attorney? Yes <input type="checkbox"/> or No <input type="checkbox"/>	
Do you have an accountant? Yes <input type="checkbox"/> or No <input type="checkbox"/>	

Goals	Retirement Date	Anticipated Social Security Benefits	Additional information

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RISK TOLERANCE QUESTIONNAIRE

Name: _____

Check the response that best describes you. Remember that risk tolerance is largely subjective, so there is no right or wrong answer.

LIFE STAGE

- 1. What is your current age?**
 - a) 65 or older
 - b) 60 to 64.
 - c) 55 to 59
 - d) 50 to 54
 - e) Under 50
- 2. When do you expect to need to withdraw cash from your retirement portfolio?**
 - a) In less than 1 year
 - b) Within 1 to 2 years
 - c) Within 2 to 5 years
 - d) Within 5 to 10 years
 - e) Not for at least 10 years

FINANCIAL RESOURCES

- 3. How many months of current living expenses could you cover with your present savings and liquid, short-term investments, before you would have to draw on your retirement portfolio?**
 - a) Less than 3 months
 - b) 3 to 6 months
 - c) 6 to 12 months
 - d) More than 12 months

FINANCIAL RESOURCES

- 4. Over the next few years, what do you expect will happen to your income?**
- a) It will probably decrease substantially.
 - b) It will probably decrease slightly.
 - c) It will probably stay the same.
 - d) It will probably increase slightly.
 - e) It will probably increase substantially.
- 5. What percentage of your gross annual income have you been able to save in recent years?**
- a) None
 - b) 1 to 5%
 - c) 5 to 10%
 - d) 10 to 15%
 - e) more than 15%
- 6. Over the next few years, what do you expect will happen to your rate of savings?**
- a) It will probably decrease substantially.
 - b) It will probably decrease slightly.
 - c) It will probably stay the same.
 - d) It will probably increase slightly.
 - e) It will probably increase substantially.

EMOTIONAL RISK TOLERANCE

- 7. What are your growth expectations for your portfolio?**
- a) I don't care if my portfolio keeps pace with inflation; I just want to preserve my capital
 - b) My growth should keep pace with inflation, with minimum volatility
 - c) My growth should be slightly more than inflation, with only moderate volatility
 - d) My growth should significantly exceed inflation, even if this could mean significant volatility
- 8. How would you characterize your personality?**
- a) I'm a pessimist. I always expect the worst.
 - b) I'm anxious. No matter what you say, I'll worry.
 - c) I'm cautious but open to new ideas. Convince me.
 - d) I'm objective. Show me the pros and cons and I can make a decision and live with it.
 - e) I'm optimistic. Things always work out in the end.
- 9. When monitoring your investments and savings over time, what do you think you will tend to focus on?**
- a) Individual investments that are doing poorly.
 - b) Individual investments that are doing very well.
 - c) The recent results of my overall portfolio.
 - d) The long term performance of my overall portfolio.

EMOTIONAL RISK TOLERANCE

- 10. Suppose you had \$10,000 to place in savings or investments and the choice of 5 different portfolios with a range of possible outcomes after a single year. Which of the following portfolios would you feel most comfortable investing in?**
- a) Portfolio A, which could have a balance ranging from \$9,900 to \$10,300 at the end of the year.
 - b) Portfolio B, which could have a balance ranging from \$9,800 to \$10,600 at the end of the year.
 - c) Portfolio C, which could have a balance ranging from \$9,600 to \$11,000 at the end of the year.
 - d) Portfolio D, which could have a balance ranging from \$9,200 to \$12,200 at the end of the year.
 - e) Portfolio E, which could have a balance ranging from \$8,400 to \$14,000 at the end of the year.
- 11. If the value of your investment portfolio dropped by 20% in one year, what would you do?**
- a) Fire my investment advisor.
 - b) Move my money to more conservative financial products immediately to reduce the potential for future losses.
 - c) Monitor the situation, and if it looks like things could continue to deteriorate, move some of my money to more conservative financial products.
 - d) Consult with my investment advisor to ensure that my asset allocation is correct, and then ride it out.
 - e) Consider investing more because prices are so low.
- 12. Which of the following risks or events do you fear most?**
- a) A loss of principal over any period of 1 year or less.
 - b) A rate of inflation that exceeds my rate of return over the long term, because it will erode the purchasing power of my money.
 - c) Portfolio performance that is insufficient to meet my goals.
 - d) Portfolio performance that is consistently less than industry benchmarks.
 - e) A missed investment opportunity that could have yielded higher returns over the long term, even though it entailed higher risk.





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