

Client Information

Client

Name _____ Date of Birth _____
Anticipated Retirement Age _____

Spouse

Name _____ Date of Birth _____
Anticipated Retirement Age _____

Children

Name _____	Date of Birth _____	Planning Needs _____
Name _____	Date of Birth _____	Planning Needs _____
Name _____	Date of Birth _____	Planning Needs _____
Name _____	Date of Birth _____	Planning Needs _____

Current Annual Expenses: \$ _____

Expected Retirement Expenses: \$ _____

Income

Income:	Client – Monthly	Spouse - Monthly
Salary	\$ _____	\$ _____
Social Security	\$ _____	\$ _____
Pension	\$ _____	\$ _____
Annuity Income	\$ _____	\$ _____
Interest & Dividends	\$ _____	\$ _____
Other	\$ _____	\$ _____

Current Assets & Holdings				
	Client		Spouse	
Asset Type	Current Value	Monthly Contribution	Current Value	Monthly Contribution
Checking				
Savings				
CDs				
Fixed Annuity				
Variable Annuity				
Investment Acct				
Traditional IRA				
Roth IRA				
Retirement Plan				

Risk Tolerance

Please Answer the Following Questions:

1. If you own a home, do you have more than 30% equity?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> I don't own a home
2. Do you plan to work during retirement?	<input type="radio"/> Full-time, for as long as possible <input type="radio"/> Full-time, for a few years <input type="radio"/> Part-time <input type="radio"/> Not at all
3. From an original investment of \$15,000, your portfolio now worth \$25,000 suddenly declines \$3,750 or 15%, which best describes your response?	<input type="radio"/> I would look for a way to invest more <input type="radio"/> I would take no action <input type="radio"/> I would be somewhat concerned <input type="radio"/> I would avoid any investment that could suddenly lose 15% of its value
4. Your portfolio, from previous question, now worth \$21,250 suddenly declines another \$2,125 or 10%, which best describes your response?	<input type="radio"/> I would look for a way to invest more <input type="radio"/> I would take no action <input type="radio"/> I would be somewhat concerned <input type="radio"/> I would probably sell <input type="radio"/> I would never have made this investment
5. Have you invested in Equities?	<input type="radio"/> No <input type="radio"/> Yes
6. Have you invested in Fixed Incomes?	<input type="radio"/> No <input type="radio"/> Yes
7. Have you invested in Mutual Funds?	<input type="radio"/> No <input type="radio"/> Yes
8. Have you invested in Options, Futures or Derivatives?	<input type="radio"/> No <input type="radio"/> Yes
9. How would you describe your level of investment knowledge?	<input type="radio"/> None <input type="radio"/> Limited <input type="radio"/> Good <input type="radio"/> Extensive
10. How much investment experience do you have?	<input type="radio"/> None <input type="radio"/> Limited (1 to 3 years) <input type="radio"/> Good (4 to 5 years) <input type="radio"/> Extensive (more than 5 years)
11. Do you currently need to withdraw from your investments to provide income?	<input type="radio"/> Yes <input type="radio"/> No
12. How soon do you expect to need to withdraw from these assets to provide retirement income?	<input type="radio"/> Less than 2 years <input type="radio"/> 2 to 5 years <input type="radio"/> 6 to 10 years <input type="radio"/> More than 10 years

