

Confidential Questionnaire

Please complete and bring this questionnaire to your appointment on _____

Name: _____	Name: _____
Preferred Name: _____	Preferred Name: _____
DOB: _____	DOB: _____
Retired: _____	Retired: _____
Last Position: _____	Last Position: _____
Date Retired: _____	Date Retired: _____

I/we understand that this questionnaire is designed to organize my/our investment objectives, risk tolerance, time horizon, cash flow needs and liquidity needs, so that appropriate recommendations can be prepared for me/us. I/we understand that the information provided will be held confidentially to prepare these recommendations.

X _____ X _____

Consultation Document List

Please bring the most recent copies of these documents with you to your first appointment. Check off those that apply to you.

_____ Brokerage Account Statements	_____ Mutual Fund Statements
_____ Annuity Statements (even if listed on brokerage statement)	_____ IRA Statements
_____ Bank, CD, Savings Statements	_____ 401K, 403B, 457 or DROP Statements
_____ Filed Individual Tax Return	_____ Social Security Benefit Statement
_____ Contract/Policy for each Annuity	_____ Life Insurance Policy Statements

Please specify anything else you want us to review:

Note: All information is kept confidential. *You are under no obligation* when we meet and we will not ask you to purchase any financial products. We will use the information you provide to prepare a customized retirement plan, which will contain our recommendations to you. Please feel free to mark-out account numbers and social security numbers on the documents, they are only used to understand your current financial picture.

Social Security Earnings Information: (From your most recent Social Security Statement)

Name: _____ Estimated Benefits at FRA* _____ At Age 70 _____ At Age 62 _____
Name: _____ Estimated Benefits at FRA* _____ At Age 70 _____ At Age 62 _____

Desired Annual Retirement Income: _____

FRA - Full Retirement Age (from page 2 of your Social Security Earnings Statement)