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4405 Front Street, Brookshire, TX 77423

**Client In-House Questionnaire**

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| **Confidential In-House Client Questionnaire PERSONAL INFORMATION** | Primary Full Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Nickname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ SSN: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Birthday: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Driver’s License # / State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Issue Date: \_\_\_\_\_\_\_\_\_\_\_\_\_ Exp. Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Fax: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Please indicate preferred contact method: 3D box Email 3D box MailSpouse/Significant Other Full Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Nickname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ SSN: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Birthday: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Driver’s License # / State: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Issue Date: \_\_\_\_\_\_\_\_\_\_\_\_\_ Exp. Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Fax: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Please indicate preferred contact method: 3D box Email 3D box MailPrimary Mailing Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Primary Client**Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Occupation/Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Employer Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Retire(d)?: \_\_\_\_\_\_\_\_\_\_\_\_\_ **Spouse/Significant Other**Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Occupation/Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Employer Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Retire(d)?: \_\_\_\_\_\_\_\_\_\_\_\_\_ Current Annual Income: Self: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Spouse: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Current Bank: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Hobbies/Interests: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Children DOB Marital Status Spouse DOB Marital Status \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep DivGrandchildren DOB Marital Status Grandchildren DOB Marital Status\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ S M Sep Div |

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| **INVESTMENT INFORMATION** | On a scale of 1-10 how important is each goal to you. A “10” would be very important and a “1” would be not at all.  Financial Planning College Planning Growth  Retirement Planning Estate Planning Annuities Income Tax Free/Advantaged Real Estate Speculation Safety What is your current income tax bracket? 3D box 0-15% 3D box 16%-30 3D box +31%How much did you pay in taxes? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Are you paying taxes on growth investments each year? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Do you re-invest your mutual fund dividends? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_What strategies have you employed that have led to your current portfolio? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Do you know the current mix of assets in your portfolio? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **IF YES:** Do you know how each investment relates to the other? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_What have you done in your portfolio to reduce your exposure to risk? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Risk Tolerance: Do you consider yourself 3D box Low 3D box Moderate 3D box Moderate/High 3D box HighTime Horizon: 3D box Less Than 3 Years 3D box 3-5 Years 3D box 6-9 Years 3D box 10+ Years Liquidity Needs: Estimated Recurring Annual Amount \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Estimated Non-recurring Amount: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ When needed? \_\_\_\_\_\_\_\_\_How much do you plan to have added to your savings by the end of the year? \_\_\_\_\_When, in the next 6–12 months, do you expect to have any funds available? \_\_\_\_\_\_\_CD/GIC’s maturing? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Bonds? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Gift/Inheritance? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Property Sale? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Bonus/Tax Refund? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Money Market/Checking? \_\_\_\_\_\_\_\_\_\_\_How much experience do you have in the follow invest types? (In Years) Mutual Funds Stocks Bonds Options DPP  Commodities Variable AnnuitiesInvestment Objectives: 3D box Preservation of Capital 3D box Income 3D box Growth & Income 3D box Growth 3D box Speculation 3D box Trading |
| **OBJECTIVES & RISK TOLERANCE** | Do you have an Estate Planning Attorney? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Do you have a current Will / Power of Attorney / Medical Directive?  You: 3D box Yes 3D box No Spouse: 3D box Yes 3D box NoDo you have a CPA? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Do you have Health / Disability / Long Term Care Insurance?  You: 3D box Yes 3D box No Spouse: 3D box Yes 3D box NoDo you have Life Insurance? You: 3D box Yes 3D box No How much? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Who owns it? \_\_\_\_\_\_\_\_Spouse: 3D box Yes 3D box No How much? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Who owns it? \_\_\_\_\_\_\_\_**Risk Tolerance:**1. If you own a home, do you have more than 30% equity?

 3D box Yes 3D box No 3D box I do not know2. Which of the following best describes your current employment situation?  3D box Full-Time 3D box Part-Time 3D box Retired 3D box Unemployed3. From an original investment of $15,000, your portfolio now worth $25,000 suddenly declines $3,750 or 15%, which best describes your response? 3D box I would look for a way to invest more 3D box I would take no action 3D box I would be somewhat concerned  3D box I would avoid any investment that could suddenly lose 15% of its value4. Your portfolio, from previous question, now worth $21,250 suddenly declines another $2,125 or 10%, Which best describes your response? 3D box I would look for a way to invest more 3D box I would take no action 3D box I would be somewhat concerned  3D box I would probably sell 3D box I would never have made this investment5. How would you describe your level of investment knowledge?  3D box None 3D box Limited 3D box Good 3D box Extensive6. How much investment experience do you have? 3D box None 3D box Limited (1 to 3 years) 3D box Good (4 to 5 years) 3D box Extensive (>5 years)7. When will you begin to use your invested funds? 3D box < 2 years 3D box 2 to 5 years 3D box 6 to 10 years 3D box > 10 years  |
| **DATA GATHERING** |

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| **Real Estate:** | PrimaryResidence | SecondaryResidence | InvestmentProperty | InvestmentProperty |
| Property Name: |  |  |  |  |
| Address: |  |  |  |  |
| City/State/Zip: |  |  |  |  |
| Property Type: |  |  |  |  |
| Purchase Year: |  |  |  |  |
| Current Value: |  |  |  |  |
| Home Value: |  |  |  |  |
| Tax Basis: |  |  |  |  |
| Owner: |  |  |  |  |

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| **Mortgages:** | PrimaryResidence | SecondaryResidence | InvestmentProperty | InvestmentProperty |
| Mortgage Name: |  |  |  |  |
| Institution Name: |  |  |  |  |
| Loan Type (Mortgage, Home Equity Loan): |  |  |  |  |
| Property Name: |  |  |  |  |
| Original Loan Amount: |  |  |  |  |
| Date of Loan: |  |  |  |  |
| Current Balance (as of Date): |  |  |  |  |
| Interest Rate: |  |  |  |  |
| Loan Term (Years): |  |  |  |  |
| Payment Frequency (Monthly, Quarterly, Semi-Annually, Annually): |  |  |  |  |
| Repayment Type (Principal andInterest, Interest Only): |  |  |  |  |
| Payment: |  |  |  |  |
| Balloon Period (years): |  |  |  |  |
| Is Interest Deductible?(Yes / No): |  |  |  |  |

Is college funding an issue in your life? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_How can we help you with it? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Is leaving funds to your children a major concern? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_What would you like this money to accomplish? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_How would you describe your investment philosophy? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Why do you invest? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_How do you plan to use your investments? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Which financial publications do you read? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_What is your idea of an ideal investment advisor? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Do you feel that the money you’re paying your current investment advisor is a fair value?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **1ST APPOINTMENT DOCUMENTS** | **Please have the following items available for our meeting. Where applicable, substitute current statement for a listing of items****RETIREMENT INFO*** + Retirement/IRA statements
	+ 401(k)/Deferred Comp/Defined Benefit/457/403(b) statements including available investment options
	+ Pension benefit statement and benefits book
	+ Social Security Statements

**ASSETS*** + Bank statements (savings and checking)
	+ Investment account statements
	+ Annuity Statements
	+ Market value of homes/real estate
	+ Market value of personal property
	+ Stock option information

**INCOME/TAXES*** + Paycheck Stubs
	+ Tax Returns-Personal & Business
	+ Tax estimate for next return (e.g., deductions, credits, etc.)

**BUDGET*** + Detail of monthly expenses and income – Fill out expense and income worksheet provided

**LIABILITIES*** + Mortgage statement (with payment breakdown Principal, Interest, Taxes & Insurance)
	+ List of liabilities, including description, balances, payment amounts, interest rates, terms, original date & amount, and types of liabilities (ie credit cards, bank loans, 1st, 2nd mortgages, auto, school loans etc.)

**ESTATE PLANNING*** + Wills, trusts, power of attorneys, health care proxy or other powers of attorney
	+ Bequests & gifts from your estate, both planned and completed

**RISK MANAGEMENT*** + Homeowner and automobile policies
	+ Life, disability & long-term care insurance policies

**COLLEGE PLANNING*** + 529/Coverdell/savings/UTMA/UGMA statements
	+ Savings Bonds

**BUSINESS INFORMATION*** + Business Assets
	+ Business valuation estimates
	+ Business Liabilities
	+ Buy/Sell agreements
	+ Corporate Docs (articles of incorporation, operating agreement, partnership agreement)
	+ List of employee benefits
	+ Business liability, director and officer insurance policies
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