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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 Mail  Spouse/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 Mail  Primary 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 Div  Grandchildren 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 High  Time 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 Annuities  Investment 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 No  Do 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 No  Do 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 know  2. Which of the following best describes your current employment situation?  3D box Full-Time 3D box Part-Time 3D box Retired 3D box Unemployed  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?  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 value  4. 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 investment  5. How would you describe your level of investment knowledge?  3D box None 3D box Limited 3D box Good 3D box Extensive  6. 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** | |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Real Estate:** | Primary  Residence | Secondary  Residence | Investment  Property | Investment  Property | | Property Name: |  |  |  |  | | Address: |  |  |  |  | | City/State/Zip: |  |  |  |  | | Property Type: |  |  |  |  | | Purchase Year: |  |  |  |  | | Current Value: |  |  |  |  | | Home Value: |  |  |  |  | | Tax Basis: |  |  |  |  | | Owner: |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Mortgages:** | Primary  Residence | Secondary  Residence | Investment  Property | Investment  Property | | 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 and  Interest, 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 |