

## INVESTMENT OBJECTIVES QUESTIONNAIRE

### PERSONAL AND FAMILY INFORMATION

A. Name \_\_\_\_\_ SSN \_\_\_\_\_-\_\_\_\_\_-\_\_\_\_\_  
 Date of Birth \_\_\_\_\_

B. Spouse's Name \_\_\_\_\_ SSN \_\_\_\_\_-\_\_\_\_\_-\_\_\_\_\_  
 Date of Birth \_\_\_\_\_

C. Address \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

D. Telephone Numbers ( ) \_\_\_\_\_-\_\_\_\_\_(Work) ( ) \_\_\_\_\_-\_\_\_\_\_(Cell)  
 ( ) \_\_\_\_\_-\_\_\_\_\_(Home) ( ) \_\_\_\_\_-\_\_\_\_\_(Pager)

E. E-Mail Address \_\_\_\_\_

#### F. Children and Grandchildren

Name	Age	Dependent?	
		Yes	No
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

#### G. Current Employment

Employer	Position	Years Employed
You	_____	_____
Spouse	_____	_____

**PERSONAL FINANCIAL PROFILE**

**Note:** Copies of brokerage statements, bank statements and other documents can be submitted in place of completing the following financial information.

<u>Description</u>	<u>Type of Ownership</u>	<u>Value</u>
<u>Cash and Cash Equivalents:</u>		
Checking account		\$
(Bank)		
Checking account		\$
(Bank)		
Savings account		\$
(Bank)		
Savings account		\$
(Bank)		
Money market funds		\$
		\$
		\$
		\$

Investments:

Stocks

<u>Company Name</u>	<u>Where Held</u>	<u>Shares</u>	
			\$
			\$
			\$
			\$
			\$
			\$

Mutual funds

<u>Fund Name</u>	<u>Where Held</u>	<u>Shares</u>	
			\$
			\$
			\$
			\$
			\$
			\$

Bonds

<u>Description of Issue</u>	<u>Where Held</u>	<u>Shares</u>	
			\$
			\$
			\$
			\$
			\$



## GOAL SETTING WORKSHEET

On a scale of 1 – 5, how important to you is each of the following goals or objectives?

	<u>High</u>		<u>Medium</u>		<u>Low</u>
Maintain present standard of living	5	4	3	2	1
Improve standard of living	5	4	3	2	1
College education for children	5	4	3	2	1
College education for grandchildren	5	4	3	2	1
Supporting adult children	5	4	3	2	1
Distributing wealth to heirs	5	4	3	2	1
Supporting parents or parents-in-law	5	4	3	2	1
Supporting surviving spouse	5	4	3	2	1
Supporting charitable causes	5	4	3	2	1
Transfer control of business to others	5	4	3	2	1
Transfer ownership of business to others	5	4	3	2	1
Investing regularly	5	4	3	2	1
New car	5	4	3	2	1
Vacation home	5	4	3	2	1
Extraordinary travel	5	4	3	2	1
Children's weddings	5	4	3	2	1
Other	5	4	3	2	1
_____	5	4	3	2	1
_____	5	4	3	2	1
_____	5	4	3	2	1

1. How much do you need to live on upon retirement in today's after-tax dollars?

\$\_\_\_\_\_ per month

2. If the spouse providing primary family support were disabled for a long period, what would the family's expenses be in today's after-tax dollars?

\$\_\_\_\_\_ per month

3. If the spouse providing primary support died today, what would the family's expenses be in today's after-tax dollars (excluding children's college expenses)?

\$\_\_\_\_\_ per month

4. At what age would you like to retire? \_\_\_\_\_ Spouse? \_\_\_\_\_

5. What educational expenses do you expect to provide for your children or grandchildren?

<u>Child or Grandchild</u>	<u>Amount Per Year</u>	<u>Number of Years</u>	<u>Starting Year</u>
_____	\$ _____	_____	_____
_____	\$ _____	_____	_____
_____	\$ _____	_____	_____
_____	\$ _____	_____	_____
_____	\$ _____	_____	_____
_____	\$ _____	_____	_____
_____	\$ _____	_____	_____

6. What assumptions are reasonable for your projections?

	<u>This Year</u>	<u>Future Years</u>
Salary	\$ _____	+ _____ %
Bonus	\$ _____	+ _____ %
Retirement plan contributions	\$ _____	+ _____ %
Retirement plan earnings	\$ _____	+ _____ %

7. What inflation rate is reasonable for your projections?

Short-term (two to five years) \_\_\_\_\_ %  
 Long-term (more than five years) \_\_\_\_\_ %

**Completed by:**

_____	_____
Signature	Date
_____	_____
Signature	Date