FINANCIAL PLANNING Office LLC

CONFIDENTIAL QUESTIONNAIRE

____

NAME

____

DATE

With this questionnaire, please bring the following documents to your first office appointment:

- ☐ Last two years of tax returns
- ☐ Last two paycheck or retirement income statements
- ☐ Brokerage and mutual fund statements
- ☐ Retirement account statements, IRAs, 401ks, etc.
- ☐ Annuity statements
- ☐ Social security benefit estimates
- ☐ Pension statements and estimates of future benefits
- ☐ Life insurance statements

Financial Planning Office, LLC
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Salt Lake City, UT 84108
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Fax: 801.606.2762
www.fpoffice.com

Personal Information

Client

Name

Birthdate

Street Address

City State Zip Code

Home Phone

Cell Phone

Occupation

Employer

Office Phone

Fax Number

E-mail

Spouse or Second Client

Name

Birthdate

Occupation

Employer

Office Phone

Cell Phone

Fax Number

E-mail

Children

Name

Sex Birthdate Marital Status No. of Children

Name

Sex Birthdate Marital Status No. of Children

Name

Sex Birthdate Marital Status No. of Children

Name

Sex Birthdate Marital Status No. of Children

How did you hear about Financial Planning Office?

What qualities are you looking for in a financial advisor?

Assets

Cash Equivalents

Checking and Savings Accounts	$
Money Market Accounts	$
Certificates of Deposits	$
Life Insurance Cash Value	$
Fixed Annuities	$

Stocks/Bonds/Mutual Funds

	$
	$
	$
	$

Retirement Funds

IRA Accounts	$
Pension Plan	$
Profit Sharing Plan	$
401(k) or Thrift Plan	$
Tax Shelter Annuity/403(b) Plan	$
Deferred Compensation Plan	$
ESOP or Stock Option Plan	$

Real Estate

Home	$
Other Real Estate	$

Business Interests

	$
	$

Other Assets

Accounts Receivable	$
Gold or Precious Metals	$
Oil and Gas Interests	$
Coin/Stamp/Other Collections	$
Other	$

TOTAL ASSETS $

Liabilities

Home Mortgage	$
	$
Home Equity Line of Credit or Second Mortgage	$
	$
Auto Loans/Leases	$
Installment Loans	$
	$
Credit Cards	$
	$
Other Personal Debt	$

TOTAL LIABILITIES $

NET WORTH

(Total Assets minus Total Liabilities) **$**

ANNUAL INCOME

Client Wages\Self employment	$
Second Client Wages\Self employment	$
Other (describe)	$
Other (describe)	$

Financial Planning Priorities

In order of importance, what are your three most critical financial issues?

1.

2.

3.

Twenty Questions

		Yes	No
1.	Do you plan to make a significant financial change in the next five years?	❑	❑
2.	Does anyone other than your children depend on you financially?	❑	❑
3.	Do any members of your family have significant health problems?	❑	❑
4.	Are you retired?	❑	❑
5.	Do you plan to retire at a specific age? When ____________	❑	❑
6.	Are you eligible for social security benefits?	❑	❑
7.	Do you have a pension?	❑	❑
8.	Will you have the option of taking a lump-sum pension payment instead of income payments at retirement?	❑	❑
9.	Have you estimated how much income you will have upon retirement?	❑	❑
10.	If you have estimated your retirement income, do you think it is sufficient to live on?	❑	❑
11.	Do you have questions about how your investments are doing?	❑	❑
12.	Do you expect to receive any Inheritances?	❑	❑
13.	Do you plan to pay for your children's or grandchildren's college education.	❑	❑
14.	Do you have a		
	Will	❑	❑
	Durable power of attorney	❑	❑
	Healthcare power of attorney	❑	❑
	Living Will	❑	❑

15. Do you have a\an:

❑ Attorney ❑ Accountant
❑ Insurance Agent ❑ Broker
❑ Investment Advisor ❑ Personal Banker
❑ Financial Planner ❑ Trustee

16. Do you have a\an:

❑ Homeowner's policy ❑ Health insurance policy
❑ Personal automobile policy ❑ Disability insurance policy
❑ Umbrella policy ❑ Term life insurance policy
❑ Long term care policy ❑ Permanent life insurance

17. Investment Objectives
Please indicate the relative importance to you.

	Very	Somewhat	Not
Current Income	❑	❑	❑
Liquidity	❑	❑	❑
Capital Appreciation	❑	❑	❑
Safety	❑	❑	❑
Tax Shelter	❑	❑	❑

Please describe any significant investments planned in the near future.

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18. Personal Objectives
Please indicate the relative importance

	Very	Somewhat	Not
Saving regularly	❑	❑	❑
Making a major purchase	❑	❑	❑
Taking a dream vacation	❑	❑	❑
Minimizing income taxes	❑	❑	❑
Investing for retirement	❑	❑	❑
Revising investment strategy	❑	❑	❑
Providing for education	❑	❑	❑
Making gifts	❑	❑	❑

19. We offer two levels of services: Please indicate which you feel is most appropriate for your long term needs.

❑ WEALTH MANAGEMENT
Investment management and on-going financial planning advice.

❑ HOURLY FINANCIAL PLANNING
Specific questions regarding a financial issue, getting a second opinion, help with investments that you want to manage yourself.

❑ Don't know – I would like to talk to a financial advisor.

20. What else would you like to tell us about you?

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CONFIDENTIAL: FPO and its employees will keep all information provided confidential.