

# Confidential Questionnaire

Rick Boss, CFP®  
 2235 Elderberry Place  
 Boise, ID 83706  
 (208) 629-2349  
 Rick.Boss@tablerockfinancial.com

## For your initial consultation--

- Please make a copy for your own records and bring this completed questionnaire to your initial meeting.
- If we will be teleconferencing, please e-mail, fax, or send a copy of the completed questionnaire prior to the meeting.

## These items, as well as others, may be needed if you choose to engage our services:

- Prior year tax return
- Brokerage or mutual fund account statements
- Trust account statements
- Retirement plan account statements
- Loan documents
- Paycheck stubs
- Social Security annual statement
- Employee benefits booklet
- Legal documents
- Insurance policies

## All personal information will be held in the strictest confidence.



Date of completion: \_\_\_\_\_

## Client Information

	Client 1	Client 2
Name		
Age		
Date of Birth		
Street address		
City, State, ZIP		
Home phone		
Work phone		
Mobile phone		
E-mail		

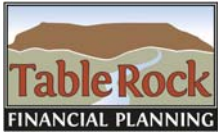
Marital status? \_\_\_\_\_ U.S. Citizens? \_\_\_\_\_

Primary contact person during business hours? \_\_\_\_\_

Preferred method of contact? E-mail -or- phone

## Family Members (please list children and other dependants)

Name	Relationship	Age or DOB	Dependent	Resides (City & State)
_____	_____	_____	Y N	_____
_____	_____	_____	Y N	_____
_____	_____	_____	Y N	_____
_____	_____	_____	Y N	_____
_____	_____	_____	Y N	_____
_____	_____	_____	Y N	_____



# Confidential Questionnaire

Rick Boss, CFP®  
 2235 Elderberry Place  
 Boise, ID 83706  
 (208) 629-2349  
 Rick.Boss@tablerockfinancial.com

## Current Income

Income/Employment	Client 1	Client 2
Current Employer		
Title/Job		
Number of years with employer?		
Anticipated employment changes?		
When do you plan to retire?		
Gross salary (or base compensation)	\$	\$
Bonus/commissions	\$	\$
Self-employment income	\$	\$
Other income*	\$	\$
Social Security income	\$	\$
Pension income	\$	\$
<b>Total current income</b>	<b>\$</b>	<b>\$</b>

\*Source of "other income" (if significant): \_\_\_\_\_

Have you recently experienced a significant change in income? \_\_\_\_\_

How do you expect your income to change in the next few years? \_\_\_\_\_

## Current Savings Rate (i.e. how much are you saving on a regular basis?)

Regular Savings/Investments <sup>1</sup>	Client 1	Client 2
Employer retirement accounts	\$	\$
How much does your employer match?		
Individual retirement accounts (IRAs)	\$	\$
Educational savings (529 plans, ESAs)	\$	
Additional regular savings or investments	\$	
<b>Total household savings/investments</b>	<b>\$</b>	

1) Indicate per year or per month

Are you satisfied with your level of savings? \_\_\_\_\_

Any other comments or notes on savings? \_\_\_\_\_

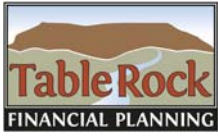
## Financial Assets

If you have this information in a format of your own design, feel free to omit this section and attach the necessary documentation. Approximate/rounded balances are OK.

### Bank accounts

Bank Name	Type of Account <sup>1</sup>	Interest Rate	Balance	Owner
		%	\$	
		%	\$	
		%	\$	
		%	\$	
		%	\$	

1) Type of account: Checking, savings or money market



# Confidential Questionnaire

Rick Boss, CFP®  
 2235 Elderberry Place  
 Boise, ID 83706  
 (208) 629-2349  
 Rick.Boss@tablerockfinancial.com

## Certificates of Deposit/Savings Bonds

Institution	Maturity Date	Interest Rate	Balance	Owner
		%	\$	
		%	\$	
		%	\$	
		%	\$	

## Brokerage or Mutual Fund Accounts (Taxable)

Institution	Types of Investments <sup>1</sup>	Balance	Owner
		\$	
		\$	
		\$	

1) Types of investments: Mutual funds, individual stocks, bonds, money market funds, etc

## Retirement Accounts (Tax deferred employer sponsored or individual accounts)

Employer/Institution <sup>1</sup>	Type of Account <sup>2</sup>	Balance	Owner
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

1) Which employer (or former employer) sponsors the plan and/or who administers the employer plan?  
 Where is the individual account held (e.g. brokerage, mutual fund, or bank)?

2) Type of account: Employer accounts – 401K, 403B, 457, SEP IRA, Simple IRA, money purchase, target benefit, profit sharing, etc...  
 Individual accounts – Traditional IRA, Roth IRA, inherited IRA, etc  
 Annuities – Tax deferred annuity accounts, variable annuities, fixed annuities

## Employer Pension Plans (defined benefit plans)

Employer	Current Value <sup>1</sup>	Estimated Benefit <sup>2</sup>	COLA <sup>3</sup>	Owner
	\$	\$		
	\$	\$		
	\$	\$		
	\$	\$		

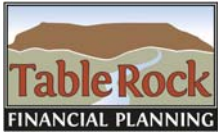
- 1) Current value: What would you get if you quit today?
- 2) Estimated benefit: What will you get at retirement?
- 3) COLA: Will your benefit automatically increase with the cost of living?

Do you have any employer stock options or restricted stock? \_\_\_\_\_

## Educational Savings/Investment Accounts (tax deferred)

Type of Account <sup>1</sup>	Balance	Beneficiary
	\$	
	\$	
	\$	
	\$	

1) Educational IRA/savings account, 529 plan, etc



# Confidential Questionnaire

Rick Boss, CFP®  
 2235 Elderberry Place  
 Boise, ID 83706  
 (208) 629-2349  
 Rick.Boss@tablerockfinancial.com

## Other Assets

Personal Assets <sup>1</sup>	Estimated Current Value	Mortgage/Loan	Owner
Principal residence	\$	\$	
Furnishings	\$	\$	
Auto-	\$	\$	
Auto-	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	

1) Include vehicles, vacation property, other significant items

Other Investment Assets <sup>1</sup>	Est Value	Mortgage/Loan	Cash Flow <sup>2</sup>	Ownership <sup>3</sup>
	\$	\$	\$	
	\$	\$	\$	
	\$	\$	\$	
	\$	\$	\$	

- 1) Include rental property, business assets, etc
- 2) Annual net cash flow from investment
- 3) Are there business partners? Type of organization—LLC, general partnership, corporation

## Liabilities

Mortgages	Interest Rate	Total Monthly Payment	Principal + Interest (only)	Original Loan Terms <sup>1</sup>	Planned Payoff <sup>2</sup>
Principal residence	%	\$	\$		
	%	\$	\$		
	%	\$	\$		
	%	\$	\$		

Are you current on your payments?  
 Do you make additional payments against the principal?

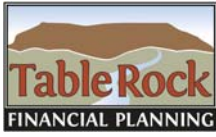
- 1) Length of term (e.g. 15 or 30 years) and fixed or variable interest, second mortgage or HELOC
- 2) When do you plan to have loan paid off?

Other Debt <sup>1</sup> (description)	Interest Rate	Average Monthly Payment	Current Balance	Planned Payoff <sup>2</sup>	Owner
	%	\$	\$		
	%	\$	\$		
	%	\$	\$		
	%	\$	\$		
	%	\$	\$		

Are you current on your payments?

- 1) Only list credit cards that you do not pay off on a monthly basis. Include student loans, auto loans, family loans, etc.
- 2) When do you plan to have balance paid off?

Do you have any other significant obligations (e.g. child or parental support)? \_\_\_\_\_



# Confidential Questionnaire

Rick Boss, CFP®  
 2235 Elderberry Place  
 Boise, ID 83706  
 (208) 629-2349  
 Rick.Boss@tablerockfinancial.com

## Insurance Coverage

Health Insurance	Client 1	Client 2	Dependents
Do you have health insurance?			
Is your coverage employer provided?			
Is your health insurance coverage adequate?			
Will you have retirement coverage prior to age 65?			
Are there significant health issues your financial planner should be aware of?			

Disability and Long Term Care Insurance	Client 1	Client 2
Do you have disability insurance?		
Is your disability insurance employer provided?		
Do you have long term care insurance?		
Are you satisfied with your coverage/policies?		

Term Life Insurance	Client 1	Client 2
How much <u>group</u> term life insurance do have?		
How much <u>other</u> term life insurance do have?		
How much time is remaining on the term?		
Are you satisfied with your coverage/policies?		

Whole <sup>1</sup> Life Insurance	Client 1	Client 2
How much <b>whole</b> life insurance do have?		
What is the cash value of the policy?		
Are you satisfied with your coverage/policies?		

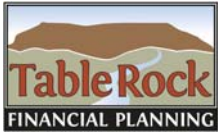
1) This may also be called by other names, such as permanent, cash value, universal, variable universal

Property and Liability Insurance	Client 1	Client 2	Is Coverage Adequate?
Do you have homeowner (or renter) insurance?			
Do you have auto insurance on all vehicles?			
Do you have personal umbrella liability coverage?			
Do you have professional liability coverage?			

Have you ever been turned down for insurance coverage? \_\_\_\_\_

## Estate Planning

Estate Planning Documents	Client 1	Client 2	Up-to-Date?
Do you have a will?			
Do you have a living trust?			
Do you have a power-of-attorney?			
Do you have a power-of-attorney for health care?			
Do you have a living will or advance medical directive?			
Anything else your financial planner should be aware of?			
Do you have an estate planning attorney?			
Are your beneficiary designations up-to-date?			



# Confidential Questionnaire

Rick Boss, CFP®  
 2235 Elderberry Place  
 Boise, ID 83706  
 (208) 629-2349  
 Rick.Boss@tablerockfinancial.com

## Additional Information

Misc Questions	Client 1	Client 2
Have you checked your credit report lately?		
Have you ever filed for bankruptcy?		
Do you make regular charitable donations?		
Do you expect to receive a significant inheritance?		
Do you have someone prepare your taxes?		
Do you have other financial advisors?		
Do you feel capable in most financial matters?		
Do you enjoy working with financial details?		
Do you feel confident managing your employer sponsored retirement account?		
Do you have experience making mutual fund and/or stock transactions on-line at a discount broker?		
Do you worry about having enough money to retire?		
Do you worry about your day-to-day finances?		
We are generally in agreement on our finances...		

Do you have a spending plan or budget? \_\_\_\_\_

Do you closely track your expenses? \_\_\_\_\_

Looking for help with...	Yes	Maybe	No
Spending and savings planning (cash flow)			
College funding			
Retirement planning			
Investments			
Tax planning			
Insurance review			
Estate planning			
Debt management			
Developing a comprehensive financial plan			
Other:			
Other:			

Additional comments on the advice that you seek: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_