

Client Questionnaire



Client Name

Spouse Name

Graham J Wilson

Advisor Name

Date

Family Information

Client

Name (First/Last)			
Date of Birth:		Gender:	Male: <input type="checkbox"/> Female: <input type="checkbox"/>
Marital Status: <small>(single, married, separated, divorced, domestic partnership, widow, widower)</small>		Previous Marriages?:	Yes: <input type="checkbox"/> No: <input type="checkbox"/>
Citizenship: <small>(U.S. Citizen, Resident Alien, Non-Resident Alien)</small>			
Capital Loss Carry Forwards:			Yes: <input type="checkbox"/> No: <input type="checkbox"/>

Spouse

Name (First/Last)			
Date of Birth:		Gender:	Male: <input type="checkbox"/> Female: <input type="checkbox"/>
		Previous Marriages?:	Yes: <input type="checkbox"/> No: <input type="checkbox"/>
Citizenship: <small>(U.S. Citizen, Resident Alien, Non-Resident Alien)</small>			

Contact Info

Address Line 1:	
Address Line 2:	
City, State, Zip	
Home Phone:	
Cell Phone:	
Spouse Cell Phone:	
Fax:	
E-mail:	

Employment – Client

Employer Name	
Employer Address Line 1:	
Employer Address Line 2:	
City, State, Zip	
Work Phone:	
Work Fax:	
Work Email Address:	
Title/Position:	
Years Employed:	
Previous Employer:	
Previous Title/Position:	
Years Employed (Previous):	

Family Information

Employment – Spouse

Employer Name	
Employer Address Line 1:	
Employer Address Line 2:	
City, State, Zip	
Work Phone:	
Work Fax:	
Work Email Address:	
Title/Position:	
Years Employed:	
Previous Employer:	
Previous Title/Position:	
Years Employed (Previous):	

Children

First Name	Last Name	Date of Birth	Special Needs? (Yes / No)	Marital Status (<i>single, married, separated, divorced, domestic partnership, widow, widower</i>)	From Previous Marriage? (Yes / No)	Citizenship (<i>U.S. Citizen, Resident Alien, Non-Resident Alien</i>)

Family Information

Grandchildren

First Name	Last Name	Date of Birth	Gender	Special Needs? <i>(Yes / No)</i>	Marital Status <i>(single, married, separated, divorced, domestic partnership, widow, widower)</i>	Citizenship <i>(U.S. Citizen, Resident Alien, Non-Resident Alien)</i>

Advisors

Advisor Type <i>(Accountant, Attorney, etc.)</i>	First Name	Last Name	Company	Address	Phone, Fax, Email

Family Information - Notes:

Property

Real Estate

	Primary Residence	Secondary Residence	Investment Property	Investment Property
Property Name:				
Address 1:				
Address 2:				
City, State, Zip:				
Property Type: <i>(Residence, Non-Res)</i>				
Purchase Year:				
Purchase Amount:				
Current Value:				
Home Value:				
Tax Basis:				
Pre-Retire Gross Growth:				
Post-Retire Gross Growth:				
Owner: <i>(Client, Spouse, Joint, etc.)</i>				

Mortgages

	Primary Residence	Secondary Residence	Investment Property	Investment Property
Mortgage Name:				
Institution Name:				
Institution Website Address:				
Loan Type <i>(Mortgage, Home Equity Loan):</i>				
Property Name:				
Original Loan Amount:				
Date of Loan:				
Current Balance:				
as of Date <i>(Current Balance):</i>				
Interest Rate:				
Loan Term (Years):				
Payment Frequency <i>(Mthly, Qttly, Semi-Ann, Annually):</i>				
Repayment Type: <i>(Principal and Interest, Interest Only):</i>				
Payment:				
Balloon Period (years):				
Is Interest Deductible? <i>(Yes / No)</i>				
Insured for Life?: <i>(Yes / No)</i>				
Paid off at Death of <i>(Client, Spouse, First to Die):</i>				

Investments

Taxable

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Tax Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Realization Model: <i>(By Portfolio/Growth Rate, Tax-Free Income, Income Only, Enhanced Income, Growth & Income, Growth, Aggressive)</i>					
Owner: <i>(Client, Spouse, Joint, etc.)</i>					
Under Our Management?: <i>(Yes / No)</i>					
Exclude from Planning?: <i>(Yes / No)</i>					
% is Qualified Dividends:					
% is Investment Income subject to Ordinary Income Tax:					
% is Capital Gains (short or long term):					
% is Non-Taxable:					
% Turned over Annually:					
% Distributed Annually – Pre-Retire:					
% Distributed Annually – Post-Retire:					
<input type="checkbox"/> Complete if known, if not we will assist					

Investments

Cash/Cash Equivalent

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Asset Type <small>(Cash, CDs, T-Bills, Checking, Savings, Money Market, Cash Management Account)</small>					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Tax Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Is this Asset Tax Free? <small>(Yes / No):</small>					
Owner: <small>(Client, Spouse, Joint, etc.)</small>					
Current Manager?					
Designated for Specific Use?: <small>(Yes / No)</small>					

Investments

Qualified Retirement (401(k), IRA, Money Purchase, Profit Sharing, 403(b), Pension, SEP, Other)

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Type (Traditional 401(k), Roth 401(k), IRA, Money Purchase, Profit Sharing, Traditional 403(b), Roth 403(b), Pension, SEP, Other)					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Established Year:					
Roth Value:					
Roth Cost Basis:					
Non-Roth Post-tax Cost Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: (Client, Spouse)					
Beneficiary:					
Current Manager?					
Designated for Specific Use?: (Yes / No)					
Apply RMD?: (Yes / No)					

Contributions

General Contribution Information

Contributions Based On: (All Earned Income, Salary)	
Apply Contribution Limits: (Yes / No)	

Employee Contributions (For 401(k) or 403(b))

Type: (None, Percent of Salary, Fixed Amount, Maximum, Maximum After Matching)	
Percent:	
Dollar Amount:	

Employer Contributions (For 401(k), Money Purchase, 403(b), SEP, or Profit Sharing)

Type: (None, Percent of Salary, Match Percent, Fixed Amount, Maximum)	
Employer Percent Match of Employee Contribution:	
Maximum Employer Contribution Percent of Employee Salary:	
Amount:	

Non-Roth Post-Tax Contributions

Type: (None, Percent of Salary, Fixed Amount, Maximum After Matching)	
Percent:	
Amount:	

Investments

Roth IRAs

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: <i>(Client, Spouse)</i>					
Beneficiary:					
Current Manager?					
Designated for Specific Use?: <i>(Yes / No)</i>					

529 Plans

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Total Value:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Grantor:					
Beneficiary:					
Current Manager?					
Designated for Specific Use?: <i>(Yes / No)</i>					

Stock Options / Grants

Yes:

No:

Pages 12-14

Annuities (Fixed/Variable)

Yes:

No:

Page 15

Deferred Compensation

Yes:

No:

Page 16

Investments

Stock Options

	(1)	(2)	(3)	(4)	(5)
Asset Name					
Institution Name:					
Institution Website Address:					
Ticker Symbol:					
Description:					
Asset Class:					
Sector:					
Current Stock Price:					
Growth Rate:					
Vest at Death? <i>(Yes / No)</i>					
Owner:					
Cash Account:					

Grants

	(1)	(2)	(3)	(4)	(5)
Grant Number:					
Grant Date:					
Grant Type <i>(NQ, ISO, DQ, Restricted, Restricted 83(b))</i> :					
Shares Granted:					
Exercise Price:					
Exercise Price Discount:					
FMV at Purchase <i>(Restricted / Restricted. 83(b) only)</i>					
First Vest Date:					
Vesting Frequency <i>(Monthly, Quarterly, Semi-Annually, Annually)</i>					
Vesting Periods:					
Expiration Date:					
Shares Sold:					

Investments

Option Lots (1)

	(1)	(2)	(3)	(4)	(5)
Date Purchased:					
Shares Purchased:					
FMV per share at Purchase:					
Shares Sold? <i>(Yes/No)</i> :					
Sale Price:					
Date Sold:					

Option Lots (2)

	(1)	(2)	(3)	(4)	(5)
Date Purchased:					
Shares Purchased:					
FMV per share at Purchase:					
Shares Sold? <i>(Yes/No)</i> :					
Sale Price:					
Date Sold:					

Option Lots (3)

	(1)	(2)	(3)	(4)	(5)
Date Purchased:					
Shares Purchased:					
FMV per share at Purchase:					
Shares Sold? <i>(Yes/No)</i> :					
Sale Price:					
Date Sold:					

Investments

Strategy

Plan Strategy

Exercise: <i>(As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>	
Sell: <i>(As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>	

Grant and Vesting Period Strategies (1)

	(1)	(2)	(3)	(4)	(5)
Grant Strategy - Exercise: <i>(Use plan strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Grant Strategy - Sell: <i>(Use plan strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (1) – Exercise: <i>(Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (1) – Sell: <i>(Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (2) – Exercise: <i>(Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (2) – Sell: <i>(Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (3) – Exercise: <i>(Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (3) – Sell: <i>(Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (4) – Exercise: <i>(Use grant strategy, As soon as possible, As late as possible, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					
Change Strategies (4) – Sell: <i>(Use grant strategy, As soon as possible, Hold # of Years, Never, Calendar Year, When client is (age), Client's Retirement, When spouse is (age), Spouse's Retirement)</i>					

Investments

Annuities (Fixed/Variable)

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website:					
Asset Type (Fixed / Variable):					
Type of Funds (Qualified, NQ, Tax Free):					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Tax Basis:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: (Client, Spouse, Joint, etc.)					
Beneficiary:					
Payout Begins (Retirement, at Death, Calendar Year, etc.):					
Annuitization Type: (Life, Term Certain)					
Based on the Lifetime of (Client, Spouse, Survivorship):					
Guaranteed Years of Payout:					
Term (years):					

Investments

Deferred Compensation

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Institution Name:					
Institution Website Address:					
Holdings Value:					
Cash Value:					
Margin Balance:					
Total Value:					
Pre-Retire Gross Growth:					
Post-Retire Gross Growth:					
Owner: <i>(Client, Spouse)</i>					
Beneficiary:					
Under Our Management?: <i>(Yes / No)</i>					
Exclude from Planning?: <i>(Yes / No)</i>					

Contributions

General Contribution Information

Contributions Based On: <i>(All Earned Income, Salary)</i>	
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Employee Contributions

Type: <i>(None, Percent of Salary, Fixed Amount,)</i>	
Percent:	
Amount:	

Employer Contributions

Type: <i>(None, Percent of Salary, Match Percent, Fixed Amount)</i>	
Employer Percent Match of Employee Contribution:	
Maximum Employer Contribution Percent of Employee Salary:	
Amount:	

Investments – Notes:
