QUESTIONNAIRE

This questionnaire is designed to help us know more about your life — please fill out as much as is comfortable. While it helps us know more about you financially, it also helps us know about your situation and your goals. Attached is a separate list of items for you to bring to your meeting.

If you have any questions or need help in completing this questionnaire, please give our office a call at 785-232-3266 and we would be happy to assist you.

Date: ________________

	CLIENT 1	CLIENT 2
Legal Name		
Known as (Nickname)		
Home Address		
City, State, Zip Code		
Home Phone		
Cell Phone		
Email		
Social Security Number		
Birthdate		
Birthplace		
Employer		
Business Phone		
Job Title		
Date Started		
Future Job Plans		
Wedding Anniversary		
Any Prior Marriages?		

NAMES OF CHILDREN:	OF THIS MARRIAGE?	DATE OF BIRTH	SCHOOL GRADE	SOC. SEC. NUMBER	HEALTH/COMMENTS

Additional Notes (Family Health History, Dependent Parents, etc.):

What financial situation(s) require immediate attention?

What are your most important personal and financial goals for the next:

1 year? ______

3 years? ______

5 years? ______

beyond? ______

Answer yes or no to the following and make notes to yourself regarding any concerns you may have. Please bring any papers relating to the items you wish to discuss.

YES	NO	
○	○	1. Are you anticipating any major changes, i.e. marriage, divorce, moving, new occupation, retirement?
○	○	2. Do you have any health concerns?
○	○	3. Are you anticipating any major expenditures, i.e. autos, vacations, new home?
○	○	4. Will you be receiving any lump sum payments soon?
○	○	5. Have you established any Wills and/or Trusts?
○	○	6. Are you the beneficiary of any trusts?
○	○	7. Will you be receiving any significant inheritance?
○	○	8. Are there any investments you are opposed to for any reason?

RETIREMENT	CLIENT 1	CLIENT 2
At what age do you wish to be able to retire?		
At what age do you expect to retire?		
What minimum annual income will you need?		
If you plan on working after retirement, estimate income		

Briefly discuss your retirement plans (where you'll live, travel, hobbies, lifestyle):

COLLEGE PLANS	CHILD 1	CHILD 2	CHILD 3
College of choice			
Year begin			
Annual cost			
Percentage you plan to pay			

FAMILY SECURITY

Do you feel your current estate planning accomplishes your objectives? ______

Why or why not?

Attorney ______

ITEMS NEEDED:

Please bring the following items to your meeting. This allows us to have a more productive and meaningful conversation concerning your situation.

1. Your most recent pay stubs.
2. Your most recent Social Security statements.
3. Most recent statements from brokerage and mutual fund accounts and/or information on stock certificates you own.
4. Most recent statements from checking, savings, money market and CD accounts.
5. Most recent statements from retirement accounts (IRA, 403(b), 401(k), Keogh, etc.)
6. Information on deferred compensation agreements, pension statements and/or stock options statements.
7. Employee benefit summaries and latest statements (information on life, disability, and medical insurance, etc.)
8. Most recent tax return (personal and corporate—if applicable).
9. Estate documents (Last Will and Testament, Trust, Power of Attorney, Living Will).
10. Life insurance policies, latest statements and loan data.
11. Disability insurance policies.
12. Long-term care insurance policies.
13. Medical, homeowners and auto insurance policies.
14. Mortgage, car loan, and other debt statements.
15. Information on personal assets as well as any other assets (partnerships, real estate, notes, etc.)
16. Other: ____________________
17. Other: ____________________
18. Other: ____________________

CLAYTON FINANCIAL SERVICES, INC.

Registered Investment Advisor

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