



Roadmap to your *Financial Future*



NaviPlan

Pre-Meeting Questionnaire

Client (please print)

Co-Client (please print)

Meeting Date

Roadmap to your *Financial Future*

The purpose of this questionnaire is to help gather data and prepare for a meeting with your financial representative. By taking the time to strategize now, you will be able to lay out a path to help assure your future financial security.

Four steps to financial security:

- STEP 1** *Set Financial Goals* - What's most important to you?

- STEP 2** *Prioritize Those Goals* - You may not be able to tackle everything at once, so it's important to work on your most important and time-sensitive goals first.

- STEP 3** *Develop a Strategy and Take Action* - By starting now, you're more likely to achieve your goals.

- STEP 4** *Review and Update Your Strategy Regularly* - Things will change. Making minor corrections along the way can help you reach your ultimate goal of financial security.

Please take the time to complete this questionnaire the best you can. If you can't answer a question or need more help, just make a note in the margin. Let your financial representative know of the areas where you had questions so you can discuss them during your meeting together.

Remember: Financial planning can be a life-long process, by setting goals, developing and implementing strategies, and monitoring progress on a regular basis, the likelihood of achieving your results is greatly increased!

Personal Information
Client

Name _____
(First/Middle/Last)

Date of Birth _____

Male Female

Co-Client

Name _____
(First/Middle/Last)

Date of Birth _____

Male Female

Are you married? Yes No

Address _____

City _____ State _____ Zip _____

Home Phone _____ E-mail _____

Employer Information

	Client	Co-Client
Employer	_____	_____
Position / Title	_____	_____
Phone	_____	_____
E-mail	_____	_____

Dependent Information

Dependent's Name	Date of Birth
_____	_____
_____	_____
_____	_____
_____	_____

Do you have children with special needs? _____

Do you plan on having additional children? _____

Are there family members that financially depend on you (e.g., parents, grandchildren)? _____

Education Goals

Many people want to help fund education costs for their children and grandchildren. The sooner you begin to develop a strategy for education savings, the more time your money will have to accumulate. Please enter information about any education expenses you would like to help fund.

Child's Name	If you have a specific school in mind, please list below	Approximate Annual Amount In today's dollars <i>See Table Below</i>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Education Savings

Enter any savings already accumulated for your children's education _____

Total amount saved to date \$ _____

Additional amount saved each month \$ _____

Retirement

Many people underestimate the amount of money they will need to enjoy a comfortable retirement. Begin saving as soon as possible to ensure you will have enough to maintain a comfortable lifestyle during retirement.

	Client		Co-Client	
At what age do you plan to retire?	_____		_____	
Does your employer offer any retirement plans into which contributions can be made, such as 401(k)'s or other retirement plans?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, are you contributing the maximum allowable amount?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does your company provide a pension plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you contribute to Social Security?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Major Purchase Goals

A major purchase goal can include money to purchase a second home, pay for a wedding, or any other substantial one-time purchase in the future.

Goal	Amount Needed	Amount Saved	Date Needed
_____	\$ _____	\$ _____	\$ _____
_____	\$ _____	\$ _____	\$ _____

Emergency Fund Goal

An emergency fund is a reserve of assets that can be easily sold to cover any unforeseen expenses that may arise. Three to six months of expenses is a guideline that is considered an appropriate goal amount.

Expenses (3-6mths in total)	Amount Saved
\$ _____	\$ _____

Survivor Needs

The death of a wage earner can have a significant impact on household income. Financial experts recommend that every strategy include an analysis of needs in the event of a death.

In the event of death, should your children's education goals be funded? Yes No

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Life Insurance

Complete the information below, or have your policies available.

Insured	Insurance Benefit	Insurance Company	Annual Premium	Type*
_____	\$ _____	_____	\$ _____	_____
_____	\$ _____	_____	\$ _____	_____
_____	\$ _____	_____	\$ _____	_____
_____	\$ _____	_____	\$ _____	_____

*Insurance types include: **Group**, **Term**, **Whole Life**, **Universal Life**, and **Other**

Disability Insurance

A disability can have a significant impact on a family's financial security. Complete the information below, or have your policies available.

Insured	Insurance Company	Monthly Benefit	Group or Personal	Annual Premium	Waiting Period	Benefit Period
_____	_____	\$ _____	_____	\$ _____	_____	_____
_____	_____	\$ _____	_____	\$ _____	_____	_____
_____	_____	\$ _____	_____	\$ _____	_____	_____

Long-Term Care Insurance

Has anyone in your family experienced a long-term care need? Consider the affect on you and your family if you had a long-term care need tomorrow (due to stroke, car accident, etc.). If you have any long-term care policies please enter the details below.

Insured	Insurance Company	Daily Benefit	Annual Premium	Elimination Period (Days)	Benefit Period (Years)
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____

Income Information

Enter annual employment income below. Include income received from employers as well as self-employment income and any other income sources.

	Client	Co-Client
Annual Gross Income	\$ _____	\$ _____
Annual Self-employment Income	\$ _____	\$ _____

Other Income (e.g., rental property income, alimony, child support)

Description	Annual Amount
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____

Residence and Mortgage

Description	Market Value	Mortgage Balance
_____	\$ _____	\$ _____
_____	\$ _____	\$ _____

Other Lifestyle Assets (E.g. cottage, personal property)

Description	Market Value
_____	\$ _____
_____	\$ _____

Asset Information

Enter the total amount of savings, checking, CDs, Money Market accounts, stocks, bonds, mutual funds, real estate (excluding your residence), etc., or have available your statements for these accounts. Do not include assets for education needs or retirement plans such as 401(k)'s and IRAs.

	Client	Co-Client
Total Amount	\$ _____	\$ _____
Total Monthly Savings	\$ _____	\$ _____

Retirement Assets

Enter the totals for your retirement plans including 401(k)'s, IRAs, variable annuities, etc., or have available your statements for these accounts.

	Client	Co-Client
Total Amount	\$ _____	\$ _____
Total Monthly Savings	\$ _____	\$ _____
Monthly Company Contributions to retirement Plans	\$ _____	\$ _____

Rent - Monthly Rent \$ _____ Own - Mortgage Amount \$ _____

Approximate Market Value of Home \$ _____

Documents Needed

The following documents will be needed to properly study, analyze, and prepare a strategy for you. This material will be treated confidentially and returned when the process is completed, or earlier if requested.

From Your:

Personal Files

- Latest income tax returns
- Loan documents
- Trust agreements
- Wills

Employer

- Payroll or other income statements
- Pension plans
- Retirement savings plans
- Employee benefits booklets

Bank or Credit Union

- Checking account statements
- Credit card statements
- Savings/CDs/Money Market account statements

Broker or Mutual Fund Company

- Latest monthly statements

Insurance Company

- Latest life insurance/annuity account statements
- Long-term care policy information
- Health insurance and major medical policy information
- Disability income insurance policy information