

CONFIDENTIAL

**PERSONAL FINANCIAL PLANNING
QUESTIONNAIRE**

FOR

DATE

Locker Financial Services, LLC
Lauren Locker, CFP®
Andrew Chan, CFP®, CIMA®

Legal Name Birth date Yes No

CLIENT: Are you a US citizen?

Are you a veteran?

Co-CLIENT: Are you a US citizen?

Are you a veteran?

Maiden Name:

Single Married Civil Union Divorced Domestic Partnership

CURRENT MARRIAGE/CIVIL UNION/DOMESTIC PARTNERSHIP:

Date: City: State:

ADDRESS: Street City State Zip

Residence:

Home Phone: Cell phone

E-mail Address: Preferred phone: Cell Home Work

EMPLOYER:

CLIENT

Co-CLIENT

Employer: Employer:

Address: Address:

Occupation: Occupation:

Title/Professional Specialty: Title/Professional Specialty:

Work Phone # Work Phone

Annual Gross Salary: Annual Gross Salary:

Annual Bonus/Commission: Annual Bonus/Commission:

How Long at this Position: How Long at this Position:

CHILDREN:

| | | | | |
|------|--------|------------|----------------|-----------------|
| Name | Gender | Birth date | Marital Status | No. of Children |
|------|--------|------------|----------------|-----------------|

LIVING PARENTS AND/OR DEPENDENTS:

| | | |
|------|--------------|------------|
| Name | Relationship | Birth date |
|------|--------------|------------|

Is there anyone other than your immediate family for whom you are financially responsible or for whom you might become financially responsible?

YES NO If YES, please explain below:

If the answer to the above question is YES, would this responsibility terminate at your death or continue?

Are there any health problems with any members of your family?

YES NO If YES, please explain below:

| | | | | |
|--|-----|--------|-----|-----------|
| | | Client | | Co-Client |
| Have you begun any investment or savings programs for your children's education? | YES | NO | YES | NO |

Do you plan to pay for a child's wedding, bar mitzvah or other special event?

YES NO If YES, please explain on the following page:

When?

How much?

Child?

Occasion

How old is/(are) the automobile(s) that you currently own?
Regarding a new auto, are you planning to:

Purchase or Lease Date:

Approximate amount:

Frequency of replacement:

At what age do you wish to retire?

Client

Co-Client

If you own a home, do you plan on
selling your home at your retirement?

Client
Y N

Co-Client
Y N

Do you have a will?

Do you have a trust?

Do you have a durable power of attorney?

Do you have a health care directive?

Do you expect an inheritance?

Client: \$

Co-Client: \$

From whom:

From whom:

Do you have homeowners/rental insurance?

Do you have an umbrella policy?

On occasion, the press has contacted me to request the names of clients who would be willing to be interviewed for various news articles in a variety of publications on subjects that would apply to that client(s). Are you willing to be interviewed?

SUMMARY

(Additional notes can be added at the end of the questionnaire or attach additional pages, if necessary)

1. Are you presently satisfied with your life from a financial point of view?
2. Is there anything else I should know about you regarding financial planning?
3. In summary, what do you expect me to accomplish for you in the total financial planning process?
4. Please describe any financial decisions you are now in the process of making:
5. Identify the topics that you would like to discuss at our meeting:

Investment Risk/Return Data

Do you have a savings and investment target amount you aim for each year?

How much? Have you been successful?

Do you have a formal budget you use for family expenditure?

Do you feel you need one?

Are you satisfied with your investment results? YES NO

If so, why? If not, why not?

What is most important to you in investing your money (return, safety of principal, diversification, etc.)?

Are there any investments you would rule out for yourself?

Are there any investments you would prefer over others? Why?

What is your attitude toward investment risk?

Why have you chosen the investments in your portfolio?

How do you arrive at investment decisions?

Are any of your assets earmarked for a specific use at this point?

Client

Co-Client

Date

Additional Notes