

# Initial Meeting Questionnaire

Name(s) \_\_\_\_\_

Occupation(s) \_\_\_\_\_

What are the questions or issues that you are most concerned with addressing?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

Have you worked with a financial advisor in the past?      Yes \_\_\_\_\_ No \_\_\_\_\_

Do you have/use a budget?      Yes \_\_\_\_\_ No \_\_\_\_\_

Do you have savings set aside in case of an emergency?      Yes \_\_\_\_\_ No \_\_\_\_\_

Are you contributing the maximum amount(s) possible to your qualified retirement plans (401k, 403b, etc.) and/or IRAs each year?      Yes \_\_\_\_\_ No \_\_\_\_\_

Do you receive a tax refund each year?      Yes \_\_\_\_\_ No \_\_\_\_\_

Describe your typical vacation \_\_\_\_\_  
\_\_\_\_\_

Do you book your travel arrangements online, or use an agency? \_\_\_\_\_

Do you consider yourself a spender, or a saver? \_\_\_\_\_

What do you enjoy doing in your leisure time? \_\_\_\_\_

If you enjoy reading, what was the last good book you read? \_\_\_\_\_  
\_\_\_\_\_

When receiving information from someone, do you prefer to have them “tell you the time” (just give me the answers), or “teach you how to build a clock” (I like the details)? \_\_\_\_\_  
\_\_\_\_\_

What would you most like to accomplish as a result of working with a financial advisor? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Is there anything else you'd like us to know about you or your situation? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_