Data Gathering

Questionnaire
**Personal Information**

**CLIENT 1**

Name________________________________________
Address______________________________________
City, State____________________________________
Zip___________________________________________
Phone: Home____________________________
       Work____________________________
       Cell___________________________
Email______________________________________
Birth date__________________________
Marital Status  □ Single □ Married □ Widowed
Are you a citizen of the United States? □ Yes □ No
Occupation____________________________
Employer______________________________
Salary____________________________________

**CLIENT 2**

Name________________________________________
Address______________________________________
City, State____________________________________
Zip___________________________________________
Phone: Home____________________________
       Work____________________________
       Cell___________________________
Email______________________________________
Birth date__________________________
Marital Status  □ Single □ Married □ Widowed
Are you a citizen of the United States? □ Yes □ No
Occupation____________________________
Employer______________________________
Salary____________________________________

Tax Bracket  □ 10%  □ 15%  □ 25%  □ 28%  □ 33%  □ 35%

I/We are subject to Alternative Minimum Tax □ Yes □ No
Do you have capital loss carry forwards? □ Yes □ No  If yes, how much? ________________

Dependents (list name and birth dates)
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________

Do you have an attorney? □ Yes □ No
Do you have a tax advisor? □ Yes □ No
Do you have a financial consultant? □ Yes □ No
Asset/Liability Ownership

Investment Account Information

(Please list Benjamin F. Edwards & Co. account numbers, and provide recent statements for any accounts held outside of Benjamin F. Edwards & Co., e.g. brokerage statements, company plan statements, etc.)

<table>
<thead>
<tr>
<th></th>
<th>CLIENT 1</th>
<th>CLIENT 2</th>
<th>JOINT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Outside Investment Account Values</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Checking &amp; Saving</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Money Market</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>CDs</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Taxable Accounts</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Employer Retirement Plans (401k,403b etc.)</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>IRAs</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Roth IRAs</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Annuities*</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Life Insurance Cash Value**</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Other Asset values</strong></th>
<th>CLIENT 1</th>
<th>CLIENT 2</th>
<th>JOINT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Home</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Business</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Real Estate</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Other(____________________)</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Liabilities</strong></th>
<th>CLIENT 1</th>
<th>CLIENT 2</th>
<th>JOINT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Term Debt (Auto Loans, Credit Cards, Margin Debt etc.)</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Home Mortgage</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Real Estate Mortgage</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Business Loans</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
<tr>
<td>Other (________)</td>
<td>$________</td>
<td>$________</td>
<td>$________</td>
</tr>
</tbody>
</table>

*List Annuity Contracts

<table>
<thead>
<tr>
<th>Owned By</th>
<th>Type of Contract*</th>
<th>Issuer</th>
<th>Beneficiary</th>
<th>Death Benefit</th>
<th>Cash Value</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Life Insurance Policies

<table>
<thead>
<tr>
<th>Company</th>
<th>Type*</th>
<th>Owner</th>
<th>Insured</th>
<th>Beneficiary</th>
<th>Death Benefit</th>
<th>Policy Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* G-Group Term, SL-Survivorship Life, SPWL-Single Premium Whole Life, T-Term, UL-Universal Life, WL-Whole Life
Financial Planning Goals

Financial Objectives

Rank the following in order of importance

<table>
<thead>
<tr>
<th>Financial Goal</th>
<th>Not Important</th>
<th>Very Important</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asset Allocation Analysis</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td>Educational Savings Plan</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td>Retirement Planning</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td>Other Goal</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
</tbody>
</table>

Investment Attitude Risk

1. How important is capital preservation?
   - Not at all
   - Moderately important
   - Very important
   - [ ] 1  [ ] 2  [ ] 3  [ ] 4  [ ] 5  [ ] 6  [ ] 7  [ ] 8  [ ] 9

2. How important is growth?
   - Not at all
   - Moderately important
   - Very important
   - [ ] 1  [ ] 2  [ ] 3  [ ] 4  [ ] 5  [ ] 6  [ ] 7  [ ] 8  [ ] 9

3. How important is low volatility?
   - Not at all
   - Moderately important
   - Very important
   - [ ] 1  [ ] 2  [ ] 3  [ ] 4  [ ] 5  [ ] 6  [ ] 7  [ ] 8  [ ] 9

4. How important is inflation protection?
   - Not at all
   - Moderately important
   - Very important
   - [ ] 1  [ ] 2  [ ] 3  [ ] 4  [ ] 5  [ ] 6  [ ] 7  [ ] 8  [ ] 9

5. How important is current cash flow?
   - Not at all
   - Moderately important
   - Very important
   - [ ] 1  [ ] 2  [ ] 3  [ ] 4  [ ] 5  [ ] 6  [ ] 7  [ ] 8  [ ] 9

6. How much risk are you willing to take to achieve a higher return?
   - None
   - A moderate amount
   - A lot
   - [ ] 1  [ ] 2  [ ] 3  [ ] 4  [ ] 5  [ ] 6  [ ] 7  [ ] 8  [ ] 9
Financial Planning Goals (continued)

Investment Profile/Portfolio Objective
What is the primary goal for these assets? (Check one)

☐ Conservative Income - Primary goal is to generate income with tolerance for a relatively low degree of risk and volatility associated with fixed income security. Willing to tolerate a minor degree of risk involving equity securities.

☐ Moderate Income – Primary goal is to generate income with tolerance for a moderate degree of risk and volatility associated with fixed income securities. Willing to tolerate moderate risk involving equity securities.

☐ Aggressive Income – Primary goal is to generate income with tolerance for a potentially substantial degree of risk and volatility associated with fixed income securities. Willing to tolerate higher risk involving equity securities to maximize income.

☐ Conservative Growth & Income - Primary goal is to achieve a blend of both current income and appreciation of account value with tolerance for a relatively low degree of risk and volatility associated with fixed income and equity securities.

☐ Moderate Growth & Income - Primary goal is to achieve a blend of both current income and appreciation of account value with tolerance for a moderate degree of risk and volatility associated with fixed income and equity securities.

☐ Aggressive Growth & Income - Primary goal is to achieve a blend of both current income and appreciation of account value with tolerance for a potentially substantial degree of risk and volatility associated with fixed income and equity securities.

☐ Conservative Growth - Primary goal is to generate capital appreciation with tolerance for a relatively low degree of risk and volatility associated with equity securities.

☐ Moderate Growth - Primary goal is to generate capital appreciation with tolerance for a moderate degree of risk and volatility associated with equity securities.

☐ Aggressive Growth - Primary goal is to generate capital appreciation with tolerance for a potentially substantial degree of risk and volatility associated with equity securities.
## Retirement Planning Goal

**Goal Importance**
*If not important, you may skip to the next section*

<table>
<thead>
<tr>
<th>Not at all</th>
<th>Moderately important</th>
<th>Very important</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
</tr>
<tr>
<td>□ 4</td>
<td>□ 5</td>
<td>□ 6</td>
</tr>
<tr>
<td>□ 7</td>
<td>□ 8</td>
<td>□ 9</td>
</tr>
</tbody>
</table>

**Amount**

<table>
<thead>
<tr>
<th>Retirement Income need</th>
<th>Client 1</th>
<th>Client 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>$____________</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Anticipated Retirement Age**

<table>
<thead>
<tr>
<th>Client 1</th>
<th>Client 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>______</td>
<td>______</td>
</tr>
</tbody>
</table>

**Inflate?** □ Yes □ No

**Inflation Rate?** $__________

---

## Retirement Income Sources

<table>
<thead>
<tr>
<th>Client 1</th>
<th>Client 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Security</td>
<td>$_______________________</td>
</tr>
<tr>
<td>Pension</td>
<td>$_______________________</td>
</tr>
<tr>
<td>Other</td>
<td>$_______________________</td>
</tr>
</tbody>
</table>

---

## Annual Savings

<table>
<thead>
<tr>
<th>Client 1</th>
<th>Client 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Taxable Savings</td>
<td>$_______________________</td>
</tr>
<tr>
<td>Employer Retirement Plan</td>
<td></td>
</tr>
<tr>
<td>Employee contribution</td>
<td>$_______________________</td>
</tr>
<tr>
<td>Employer contribution</td>
<td>$_______________________</td>
</tr>
<tr>
<td>IRA/Roth IRA contribution</td>
<td>$_______________________</td>
</tr>
</tbody>
</table>

---

## Education Planning Goal

**Goal Importance**
*If not important, you may skip to the next section*

<table>
<thead>
<tr>
<th>Not at all</th>
<th>Moderately important</th>
<th>Very important</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
</tr>
<tr>
<td>□ 4</td>
<td>□ 5</td>
<td>□ 6</td>
</tr>
<tr>
<td>□ 7</td>
<td>□ 8</td>
<td>□ 9</td>
</tr>
</tbody>
</table>

**List all children or grandchildren whose education you will be funding**

<table>
<thead>
<tr>
<th>Name</th>
<th>Age</th>
<th>College to Attend (you may list public or private if unknown)</th>
<th>Funds Set Aside</th>
<th>Indicate Savings Vehicle*</th>
<th>% Funded By You</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Educational Savings Vehicles – Custodial Account, 529 Plan, Education Savings Account, Other*
Stock Options/Restricted Stock Positions

If you would like a Stock Option Analysis, please complete this page and attach a copy of your option summary statement. If applicable, please also include your restricted stock vesting schedule and we will incorporate these benefits into your plan.

Goal Importance
If not important, you may skip to the next section

<table>
<thead>
<tr>
<th>Not at all</th>
<th>Moderately important</th>
<th>Very important</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td>☐ 4</td>
<td>☐ 5</td>
<td>☐ 6</td>
</tr>
<tr>
<td>☐ 7</td>
<td>☐ 8</td>
<td>☐ 9</td>
</tr>
</tbody>
</table>

Name of Company_________________________________

Stock Symbol_____________________________________

Price Target________________ Time Horizon for Price Target________________

Stock Option Goals (check all that apply):
☐ Exercise and sell to raise cash
☐ Exercise and sell for diversification
☐ Exercise at price target
☐ Exercise and hold for investment
☐ Exercise at or close to expiration

Restrictions
☐ I am an SEC insider/control person.
☐ I am subject to window periods. Please describe open windows_______________________________
☐ Due to my employment, I am required to maintain a certain position in my company’s stock. Please list the amount, if applicable:_______________________________

Outside of stock options and restricted stock grants, I hold approximately _________________ shares of my company’s stock.
Anything Else We Should Know

Do you have a living trust?  □ Yes  □ No
Do you have income from real estate?  □ Yes  □ No
Do you expect to care for a child or parent?  □ Yes  □ No
Do you expect an inheritance?  □ Yes  □ No
Do you have long term care protection?  □ Yes  □ No

Please use this section to describe anything else you would like us to incorporate into the analysis. Items might include additional goals, sale of property, etc.

________________________________________
________________________________________
________________________________________
________________________________________

This questionnaire provided by your Benjamin F. Edwards financial consultant is solely incidental to his or her conduct as a broker. It was developed as a tool to assist you in identifying certain financial goals and objectives and should not be considered an overall financial plan. Any decision to buy or sell securities should be made by you and in the context of your overall financial plan.