Client Questionnaire

* Required

General Information

1. **Name** *

2. **Email address** *

3. **Spouse/Partner's Name**

4. **Email address (spouse/partner)**

5. **Child/Children Names**

6. **Age (including spouse/partner/child)** *

7. **Martial status** *

   Mark only one oval.

   - Single
   - Married
   - Other:

8. **Phone number** *

9. **Office location preference** *
Mark only one oval.
- Santa Cruz
- Silicon Valley
- Sacramento
- Davis

Working Together

10. **What are the top motivations that caused you to reach out to us?** *

11. **What would the best possible outcome of our working together?** *

Current Employment & Income

If you are retired, skip to the next section.

12. **Your Employer (s)**
For couples, please list each separately. For example: Mr: Company XYZ, Mrs: Company XYZ

13. **Title (s) / Job Position (s)**
    For couples, please list each separately. For example: Mrs: Engineer, Mrs: CEO

14. **Estimated annual compensation (Salary, Bonus, & RSU's/Stock Options)**
    For couples, please list each separately. For example: Mr: $100K Salary, $30K Bonus, $50K RSU's, Mrs: $150K Salary, $60K Bonus, $70K Stock Options

Current Retirement Income (If applicable)

Income that you are currently receiving, if retired. If you are still working, skip this section. For couples, please list each separately.

15. **Estimated Social Security Income**
    For example: Mr: $2,000/month, Mr: $3,000/month

16. **Estimated Pension Income**
    Please list company. For example: Mr: Company XYZ $2,000/month, Mrs: Company XYZ $3,000/month

17. **Estimated Annuity Income**

Please list company. For example: Mrs: Company XYZ $2,000/month, Mrs: Company XYZ $3,000/month

Assets & Liabilities

Please list approximate values. Use as much of the text box as necessary. For couples, please list each separately.

Retirement Assets

This includes 401(k)'s, 403(b)'s, 457(b)'s, IRA's, Roth IRA's and annuities. For example:
- Mr. IRA: $500K
- Mrs. 401K: $1M
- Mr. IRA: $200K
- Mrs. Roth IRA: $700K

18. **Retirement Accounts & Estimated Values**

Investment Assets

This includes Bank (Checking & Saving), Brokerage, or Trust Accounts. For example:
- Joint Checking: $500K
- Joint Savings: $500K
- Trust: $1M
- Mr. Brokerage: $200K
- Mrs. Brokerage: $700K

19. **Investment Accounts & Estimated Values**

Other Assets

Do you have other assets we should be aware of? Examples: 529 College Savings Plan, home, rentals, or your own business? For example:
- Child 529: $500K
- Primary Residence: $1M
- Rental: $500K
- Business: $700K

20. **Other Assets & Estimated Values**

Debts or Liabilities

Do you have debts or liabilities we should be aware of? Examples: mortgage, credit cards or student loans? For example:
- Mortgage: $500K
- Credit Card: $10K
- Student Loans: $55K

21. **Debts & Approximate Values**

Other Helpful Information

Estate Planning

22. **When was the last time you reviewed or updated your estate plan (wills, trusts, power-of-attorney, healthcare directives, etc.)?**

Check all that apply.

- [ ] I/we have not created a formal estate plan yet
- [ ] 1 year or less
- [ ] 1 - 5 years
- [ ] 5 - 10 years
- [ ] 10 years or more
- [ ] Other: ______________________

Your Investment Management Preference

23. **Check the one that best fits your personality, knowledge, experience, and time availability:** *

Check all that apply.

- [ ] Prefer to make my own investment decisions
- [ ] Prefer to make my own investment decisions with occasional "as needed" advice from a financial professional
- [ ] Prefer to "team" with a financial professional for ongoing advisory services during the year
- [ ] Other: ______________________

Your Financial Planning Preference

24. **Check the one that best fits your personality, knowledge, experience, and time availability:** *

Check all that apply.

- [ ] Prefer to make my own financial planning decisions
- [ ] Prefer to make my own financial planning decisions with occasional "as needed" advice from a financial professional
- [ ] Prefer to "team" with a financial professional for ongoing advisory services during the year
- [ ] Other: ______________________

Other Professionals

25. **Are you currently working with another financial professional?**

Mark only one oval.

- ( ) Yes (see next question)
- ( ) No

26. **If yes, how satisfied are you? What prompted you to seek another opinion?**

Comments

27. **Any other information you would like to share that you feel would be helpful for us to know?**