



The Answer To Your Financial Questions

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PERSONAL SURVEY FORM

INSTRUCTIONS:

Personal Financial Planning means different things to different people. For some it means getting a better handle on cash flow and managing money, while others want to make more informed decisions based on sound financial principles, still others have immediate concerns that require specialized knowledge or capabilities not at their disposal.

This **personal survey form** is designed to help us determine whether personal financial planning is likely to be beneficial and cost effective for you.

There are two parts to this form. When answering the questions in Part A please explain your responses and answer all questions as best you can. If a question does not pertain to your situation or concerns, please so indicate.

The questions in Part B will provide us with the necessary personal information and identify the advisers you are currently working with.

PART A - QUESTIONS

1. Describe any specific financial concerns:

CLIENT _____

SPOUSE _____

2. Describe any significant changes you expect in your annual income in the next five years:

3. Are you satisfied with the amount you have available for savings or investment after payment of monthly living expenses? _____

4. When did you last review and update:

a. Life insurance policies? _____

b. Disability income policies? _____

c. Excess liability (umbrella) policy? _____

5. In the past, have you ever hired a Financial Advisor to prepare a Comprehensive Financial Plan?

How would you describe the experience? _____

6. Have you established college funds for your children/grandchildren?

7. At what age do you expect to retire?

CLIENT _____

SPOUSE _____

8. Are you currently maintaining a retirement fund or is one being maintained on your behalf, (e.g., employer's retirement plan?)

CLIENT _____

SPOUSE _____

9. When did you last review and update your estate plan and your wills? _____

10. Does your executor know the location of your key documents, the names of your Financial Advisers, and the value of your assets and liabilities?

CLIENT _____

SPOUSE _____

11. When did you last review your investment portfolio?

12. Are you pleased with the diversification and performance (growth and income) of your investment portfolio?

13. Are you satisfied with the extent to which you have been able to shelter your income from taxes?

14. Did you know your projected income tax before last year ended?

15. How much time are you willing to commit to the development and implementation of your Financial plan?

less than 10 hours

more than 30 hours

up to 20 hours

don't know

up to 30 hours

16. Who is the primary contact person? (Client, spouse, or both)

17. Preferred method of contact during business hours? Rank in order among the following:

In person, Telephone, E-Mail, Fax

Other(explain) _____

18. Do you anticipate any of the following life events in the family in the next 12 months?

Change of employment, Start a new business, Marriage, Birth of a child or grandchild, Dependent entering college, Retirement, Major asset purchase.

Details _____

PART B - PERSONAL DATA

Client

1. Name: _____

Title: _____

Birthdate: _____ Citizenship _____

Social Security Number: _____

2. Mailing address: _____

Home phone: _____

3. Employer: _____

Occupation: _____

Work phone: _____

E-mail address: _____

Spouse

1. Name: _____

Title: _____

Birth Date: _____ Citizenship _____

Social Security Number: _____

2. Mailing address: _____

Home phone: _____

3. Employer: _____

Occupation: _____

Work phone: _____

E-mail Address: _____

4. Children or other Dependent:

<u>Name</u>	<u>Birth Date</u>	<u>Social Security Number</u>	<u>Marital Status</u>	<u>Support Provided</u>

5. Other persons for whom you provide support:

<u>Name</u>	<u>Relationship</u>	<u>Age</u>	<u>Amount Provided</u>

6. Financial Advisers:

<u>Firm Name</u>	<u>Address</u>	<u>Telephone</u>
___ Attorney: _____		
___ Accountant: _____		
___ Trust Officer: _____		
___ Broker: _____		
___ Life Insurance Agent: _____		
___ Investment Advisor: _____		
___ Other: _____		

7. Summary of Financial Data:

(Client)

(Spouse)

- a. Approximate annual family income: _____
- b. Approximate net worth: (combined) _____
- c. Approximate annual amount saved or invested: _____
- d. Marginal Tax Bracket (if known): _____