

## FINANCIAL PLANNING INTERVIEW FORM

DATE \_\_\_\_\_

Name: \_\_\_\_\_ (Spouse) \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: Home: \_\_\_\_\_ Work: \_\_\_\_\_

E-mail: \_\_\_\_\_

Date of Birth \_\_\_\_\_ Spouse: Date of Birth \_\_\_\_\_

Health history: \_\_\_\_\_

Occupation: \_\_\_\_\_  
(previous occupation if retired)

Family: Child One: (dob \_\_\_\_\_ ) Child Two: (dob \_\_\_\_\_ ) Child Three: (dob \_\_\_\_\_ )  
Name: \_\_\_\_\_

Residence: \_\_\_\_\_

Occupation: \_\_\_\_\_

Spouse: \_\_\_\_\_

Children/ages: \_\_\_\_\_

(additional children please list on reverse side)

### Primary (Mark with P) and Secondary (Mark with S) Investment Objectives

Growth \_\_\_\_\_ Growth with Income \_\_\_\_\_ Income with Growth \_\_\_\_\_ Income Only \_\_\_\_\_

### Investment Time Horizon

Less than 18 months (very short) \_\_\_\_\_ Less than 5 years (short) \_\_\_\_\_

5 to 10 years (intermediate) \_\_\_\_\_ 10 years or longer (long-term) \_\_\_\_\_

Investment Knowledge None \_\_\_\_\_ Limited \_\_\_\_\_ Moderate \_\_\_\_\_ Extensive \_\_\_\_\_

Investment Risk Tolerance Low \_\_\_\_\_ Medium \_\_\_\_\_ High \_\_\_\_\_ Speculation \_\_\_\_\_

### Investment Experience (indicate by number of years)

Stocks \_\_\_\_\_ Bonds \_\_\_\_\_ Mutual Funds \_\_\_\_\_ Options/Futures \_\_\_\_\_

Other Brokerage Firm Accounts: \_\_\_\_\_