



Confidential Investment Planning Questionnaire

Our first visit is simply exploratory to discuss the desires, concerns and goals you have for your family so we can determine if we are a fit for you. That said, we would like a brief understanding of your situation prior to our meeting to allow us to be better prepared:

- The first three pages of the questionnaire assists us in getting to know you and in determining what areas of your finances we may potentially be able to help you with.
- If you would also desire a **Complimentary Financial Snapshot**, then complete the fourth page of this form and we would be happy to create a **MoneyEdge Express Report** for you. That report is for informational purposes only.
- It should take you no more than a few minutes for you to complete the forms but please feel free to spend more time if you choose to expand on the questions. Any information you provide is kept strictly confidential.

If you become a client of our firm, the information on these forms do not take the place of information you may provide through the Client Information and Suitability form (CIS). In the event of a discrepancy between these items, the information on the CIS will prevail.

Client Name: _____

Date Completed: _____

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PERSONAL INFORMATION

Please Type or Print

In order to set up a preliminary financial profile report prior to our meeting, please provide the following:

Primary: First Name Last Name DOB

Occupation / Company:

Spouse: First Name Last Name DOB

Occupation / Company:

Address: Street City State Zip

Children:

Lives in Household? Plan for Education?

	DOB:	Yes	No	Yes	No
CHILD 1:					
CHILD 2:					
CHILD 3:					
CHILD 4: n					

NOTES:

GOALS & OBJECTIVES

(Please Type or Print)

What 2 or 3 items are most important to your family's finances at this time?

- 1.
- 2.
3. _____

At what age would you like to be financially independent? Primary: Spouse:
(Debt-free and your investments are large enough so you could retire *if you wanted to*)

What do you think is your life expectancy? Primary: Spouse:

Should we include your projected Social Security income? Primary: Yes No
(Please provide your most recent Social Security statement(s)) Spouse: Yes No

What is your **monthly** retirement income goal (before taxes in **today's dollars**)? per month
(Rule of thumb: use no lower than 75% of your current take-home pay)

INVESTMENT PROFILE

1. Investment Experience: *1 = none, 2 = occasional, 3 = frequent, 4= extensive*
(Use one number to signify your investment experience for each category)

Stocks	Bonds	Options	Commodities	Investment Real Estate
Mutual Funds	Ins/Annuities	REITs/LPs	Other _____	

2. Estimated Annual Household Expenses (food, mortgage, utilities, debts, insurance, taxes, etc.): _____ / yr

3. Any Special Expenses Planned Any planned non-recurring expense, such as a new home, car, education or medical expenses, major home repairs or improvements, etc.? If none, put \$0

to be used for _____ Planned Time Frame: 0-2 yrs 2-5 yrs 5+ yrs

4. Investment Risk Tolerance _____ **Primary Spouse**

Conservative

Desire to preserve principal with minimal risk even if the account may not keep up with inflation.

Moderately Conservative

Willing to accept low risk and low volatility to see returns slightly above inflation

Moderate

Willing to accept some risk and tolerate some volatility to seek higher returns over time

Moderately Aggressive

Willing to accept higher risk including high volatility to seek higher returns over time

Aggressive

Willing to accept maximum risk and volatility to aggressively seek maximum returns over time

5. I / We would like a complimentary, comprehensive Financial Review to see where I / we stand.

6. Completed Dave Ramsey 7 Baby Steps

(Check All That Apply)

1. \$1,000 Emergency Fund
2. Pay off all debt - Debt Snowball
3. Fully Fund Emergency Fund
4. Invest 15% in Retirement
5. Save for College Fund
6. Pay off home mortgage
7. Build Wealth & Give

Additional Areas of Interest

(Check All That Apply)

- Getting out of Debt
- Starting Investments / Traditional IRAs / Roth IRAs
- 401(k) / 403(b) Rollovers
- Reduce Taxes
- Better Return on Investments
- Education Planning
- Insurance (Term Life/Disability/Long Term Care/Liability)
- Other

7. Estimated Investable Assets

Under \$50,000 \$50,000-\$100,000 \$100,000-\$250,000 \$250,000- \$500,000 \$500,000+

Other Notes or Comments:

ADDITIONAL INFORMATION

Please Check Yes or No

- | | | | |
|--|----------------------|-------------------------|-------------------|
| 1. Do you currently have an <i>active</i> financial adviser? | Yes | No | |
| 2. Do you currently have a CPA or professional tax preparer? | Yes | No | |
| 3. Do you and/or your spouse have a current will? | Yes | No | Year of will: |
| 4. Do you and/or your spouse have a Medical Power of Atty? | Yes | No | |
| 5. Do you have a living trust? | Yes | No | Year of trust: |
| 6. Do you have a child or parent with special needs? | Yes | No | |
| 7. Do you have any adopted children? | Yes | No | |
| 8. Have either you or your spouse been divorced or widowed? | Yes | No | |
| 9. Do you or your spouse support any Charities, Religious or any other groups to be considered as part of your financial plan? | Yes | No | |
| 10. How do you file your taxes? | | | |
| Single | Married Filing Joint | Married Filing Separate | Head of Household |

Comments on Above Questions:

THE AGENDA FOR OUR FIRST MEETING

1. Review of your Confidential Questionnaire and a discussion of your goals and objectives. Plus, if you completed page 4 of the questionnaire, review the complimentary **MoneyEdge Express** snapshot of your finances.
2. Discuss our client education approach vs. the traditional industry model.
3. Discuss our advanced financial software program, **MoneyEdge Advanced**, and how it can help you plan for the future.
4. Present our firm's investment philosophy and how it will apply to your situation.
5. Evaluate any current investments or information and determine their suitability.
6. Review how you become a client of our firm and how we get compensated.
7. Discuss the financial process moving forward, the level of service we provide and review any additional concerns you may have.
8. Give out homework assignments and determine a time-line and plan of action.

To work effectively with you and your family we need to understand not only **where you want to go...** but also **where you are right now!**

- To take advantage of the Complementary Financial Snapshot, please fill out the **MoneyEdge Express Data Input Form**, attached.
- Review the **MoneyEdge Checklist** and bring as many of the financial statements and pertinent information to the initial meeting as possible.

And remember, your plan can only be as good as the information you provide!