

# WOODWARD FINANCIAL ADVISORS, INC

## CONFIDENTIAL QUESTIONNAIRE

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NAME

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STREET ADDRESS

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CITY, STATE, ZIP

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HOME PHONE

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DATE

### DOCUMENT LIST

*Please provide copies of the following documents:*

1. Current federal and state tax return + W-2.
2. Current pay stub, all employers.
3. Bank and credit union statements for savings accounts, mortgages and loans.
4. Mutual fund statements and/or brokerage account statements.
5. Retirement plan statements (pension, deferred compensation, profit sharing, 401(k) and 403(b), Keogh, IRAs and tax-sheltered annuities).
6. Social Security Benefit Statement.
7. Stock option grant schedule.
8. Insurance Policies: Life, Homeowners, Disability, Auto, Long Term Care.
9. Wills, Trusts and related estate planning documents.
10. Separation or divorce agreement.

**PERSONAL INFORMATION**

Name : \_\_\_\_\_

Birthdate/Age: \_\_\_\_\_

U.S. Citizen?: \_\_\_\_\_

Email: \_\_\_\_\_

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

Employer: \_\_\_\_\_

Office Phone: \_\_\_\_\_

**Children**

Name 1	Sex	Birthdate	Marital Status	# of Children
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Name 2	Sex	Birthdate	Marital Status	# of Children
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Name 3	Sex	Birthdate	Marital Status	# of Children
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Is anyone else dependent on you for support? (Parents, siblings, etc.)

\_\_\_\_\_

Have you been married previously? \_\_\_\_\_

Have you ever filed for bankruptcy? \_\_\_\_\_

Have you ever filed a lawsuit or been sued? \_\_\_\_\_

Do you have these documents?

- Will      Date \_\_\_\_\_
- Durable Power of Attorney
- Health Care Power of Attorney
- Advance Directive (Living Will)

## Financial Goals and Priorities

1. What significant personal or financial changes do you expect to make in the next six months - three years?
2. Are you satisfied with your financial progress so far?
3. What are your three most critical financial goals?
4. What other financial issues would you like to address?

## Common Goals and Issues

- Establish spending and saving priorities; manage debt wisely.
- Plan for life's larger events: college expenses, marriage, family, career, retirement, and aging.
- Reduce taxes.
- Learn and understand more about investments.
- Simplify my financial life.
- Obtain a personal "roadmap" for financial decisions to relieve uncertainty or anxiety.
- Establish sound financial practices to set the stage for financial success.
- Achieve financial harmony within my family.
- Understand how to best utilize financial resources.
- Establish adequate insurance protection for family, property, and financial liability.
- Obtain objective advice to avoid common financial pitfalls.

## Data Sheet

### Major Assets

Checking	_____
Savings, Money Market, CDs	_____
Taxable Accounts (Stocks, Bonds, Mutual funds)	_____
Retirement Plans (401k, 403b, IRAs)	_____
Annuities	_____
Life Insurance Cash Values	_____
Home (approximate market value)	_____
Other Assets	_____
Any pension benefit?	_____
Are any of these asset earmarked for specific use?	_____

### Debts/Liabilities

	<u>Balance</u>	<u>Int. Rate</u>
Home Mortgage	_____	_____
Home Equity Loans	_____	_____
Credit Card Balance	_____	_____
Personal Loans, Auto Loans	_____	_____
Student Loans	_____	_____
Life Insurance Policy Loans	_____	_____
Other Debt	_____	_____
Auto Lease	_____	_____
Child Support	_____	
Alimony Payment	_____	

**Approximate Annual Income**

Salary	_____
Self-employment Income	_____
Pension Income	_____
IRA Withdrawal	_____
Interest & Dividends	_____
Capital Gains	_____
Business Income	_____
Other Income	_____

**Annual Savings**

Contributions to Employer Retirement Plan	_____
Employer Contribution to Retirement Plan	_____
Contribution to IRA	_____
Additional Savings	_____

**Estimated Annual Living Expenses (excluding taxes)** \_\_\_\_\_

**Last Year's Tax Data**

	<u>Federal</u>	<u>State</u>
Adjusted Gross Income	_____	_____
Taxable Income	_____	_____
Income Tax	_____	_____