CLIENT QUESTIONNAIRE – MANAGED ACCOUNT ADDENDUM

Primary Contact

Name:	
SSN or Tax ID:	Phone:
E-mail Address:	

Spouse/Partner Information (if applicable)

Name:	
SSN or Tax ID:	Phone (if different):
E-mail Address:	

Beneficiary Information (if applicable)

Name & Address	SSN	DOB	Relationship

Managed Account Information

Account Type*	Account Owner	Institution	Account Number	Approximate Value*	Account Purpose*	To Be Managed By CWM? (yes/no)
Example *ROTH IRA*	*Jim Smith*	*ABC Broker* *1234 Money Ave.* *Golden, NY 12345*	*111-11-55555*	*$350,000*	*Retirement*	

Instructions:

Account Type – 401k, 403b, Money Market, CD, IRA, Roth IRA, Taxable Brokerage, Pension, etc.

Approximate Value - +/- $1,000

Account Purpose – retirement, emergency fund, educational funding, house purchase savings, etc.

Account Goals and Requirements

Time Horizon

When do you expect to begin withdrawing money from your investment account(s)?

Once you begin withdrawing money from your investment account, how long do you expect the withdrawals to last?

Cash Requirements

When you begin to take distributions how much do you need, and how often?

Typically CWM will keep 3 to 6 months of distributions in cash in the account. If you require additional cash to be available please state how much:

Tax Considerations

SKIP IF YOUR ONLY INVESTMENT ACCOUNT IS AN IRA
What is your marginal tax rate? If you do not know please indicate what your Adjusted Gross Income (AGI) was from last year (see IRS form 1040 line 38, 1040A line 21, or 1040EZ line 4):

Investment Experience:

Have you ever invested in any of the following? (check all that apply)

☐ Individual Stocks

☐ Individual Bonds

☐ Mutual Funds

☐ ETF's

☐ Futures Contracts

☐ Options

☐ Gold Bullion or Coins

☐ Annuity Contracts

☐ Real Estate (direct purchase of property)

☐ Private Placements in REIT's or Oil & Gas ventures

Document List

The following is a list of documents necessary to complete the financial planning process. Some of the documents in the list may not apply. Please be sure to bring all of the documents (or a copy) to your financial planning meeting. If you do not have these documents, please call your insurance agent, broker, tax accountant, or attorney as appropriate to obtain them.

Required Documents (if applicable):

____ Bank account statement(s) (last two months)
____ Certificate of Deposit (CD) statement(s) (most recent)
____ Money market account statement (most recent month or quarter)
____ Brokerage account statement(s) (most recent quarter, or online screen shot)
____ IRA account statement(s) (most recent quarter, or whole year if you are drawing on it)
____ 401k account statement(s) (most recent quarter, or online screen shot)
____ 401k Summary Plan Description
____ Pension plan statement(s) (most recent quarter)
____ Pension plan Summary Plan Description
____ Annuity contract(s)
____ Trust document(s)
____ Investment advisor contract(s)
____ 529 plan statement (last month or quarter)
____ Pay statement from employment (recent)
____ Last year's K-1 from partnerships or business
____ Last year's 1040, and state tax form
____ Home mortgage annual summary statement (last year)
____ Credit card statement (only if you carry a balance) (most recent)
____ Car loan statement
____ Student loan statement