



CLIENT QUESTIONNAIRE

Primary Contact			
Name:			
Street Address:			
City:	State:	Zip Code:	
Country of Citizenship:	Phone:		
Date of Birth:	Alternate Phone:		
E-mail Address:			
Highest Level of Education:			
Preferred Method of Contact:	Phone	E-mail	Mail (Please circle one)

Spouse/Partner Information (if applicable)	
Name:	
E-mail Address:	
Date of Birth:	Phone (if different):
Highest Level of Education:	
Are you legally married?	Anniversary (optional):
Country of Citizenship:	

Dependents (if applicable)			
<u>Name</u>	<u>Relationship</u>	<u>Date of Birth</u>	<u>Live with You?</u>

Financial Concerns and Objectives

What brings you here today (concerns)? What keeps you up at night (concerns)? What do you want to accomplish with our time together (objectives)? What financial goals do you have for yourself (objectives)?

Primary Contact:

Concerns:



Objectives:



Spouse/Partner:

Concerns:



Objectives:



Giving this information is optional, but can potentially aid in speeding your services. Cascade Wealth Management will not contact them about your accounts or your affairs without first obtaining your permission.

Current Investment Advisor (if applicable)		
Name:		
Firm Name:		
Street Address:		
City:	State:	Zip Code:
Country:	Phone:	
E-mail Address:		

Tax Advisor (if applicable)		
Name:		
Firm Name:		
Street Address:		
City:	State:	Zip Code:
Country:	Phone:	
E-mail Address:		

Attorney (if applicable)		
Name:		
Firm Name:		
Street Address:		
City:	State:	Zip Code:
Country:	Phone:	
E-mail Address:		

Schedule of Real Estate						
If one of the prefilled description lines does not apply, just leave that line blank.						
Description	Address	Estimated Value*	Basis*	Financed (y/n)	Annual Property Taxes	Annual Insurance Premium
Primary Residence						
Vacation Home						
Rental						

Instructions

Estimated Value – If you have not had a recent appraisal or used an online service to determine the value, leave this space blank.

Basis – Original purchase price plus documentable cost of improvements less depreciation taken on your income taxes.

Liability Information							
If you use a credit card for your ongoing expenses that is paid off completely every month, <u>do not</u> include it here.							
Type*	Issuer/Note Holder	Original Balance (Mortgage or Note Only)	Original Term (Mortgage or Note Only)	Original Financing Date (Mortgage or Note Only)	Current Balance	Interest Rate (% <u>and</u> Fixed, Variable Rate <u>and</u> Interest Only if applicable) <u>Ex:</u> 8.5% - Fixed	Monthly Payment* (Principal and Interest Only)
Mortgage							

Instructions

Type – Examples include: Mortgage (first, second), Line of Credit, Credit Card, Personal Loan, Promissory Note, etc.

Monthly Payment – Include only the principal and interest portion of your payment (frequently mortgage payments include escrow amounts for insurance and property taxes).

Sources of Income				
Type *	Source *	Frequency (monthly, weekly, etc)	Amount	Tax Status (taxable or exempt)
Employment				

Instructions

Type – examples include: employment, self employment, owned business, pension, social security, annuity, trust, alimony, etc.

Source – who writes the check?

Tax Status – Is the income taxable to you? If you don't know, leave blank.

Regular Savings Programs			
Description	Amount	Frequency (monthly, quarterly, yearly)	Account (401k, IRA, Money Market, etc.)
Retirement Savings Contribution			
Education Account			
Savings Account			

Regular Expenditures (do not include debt payments here)		
Other possible expenses: alimony, childcare, car lease, rent, storage unit rent, parking, charity, etc.		
Description	Amount	Frequency (monthly, quarterly, yearly)
Food		Monthly
Gasoline		Monthly
Utilities (gas, electricit, garbage, water, sewer) – DO NOT INCLUDE PHONE, CABLE or INTERNET		Monthly
Phone (including cell)		Monthly
Cable and Internet		Monthly
Vehicle Maintenance		
Home Maintenance		
Insurance (car)		
Insurance (home or renters)		
Insurance (Disability)		
Insurance (Life)		
Insurance (Medical)		
Entertainment (meals out, etc.)		Monthly
Medical Expenses (not including insurance premiums or amounts paid for by insurance)		
Gym		
Miscellaneous		Monthly
Clothing		

Tip: Using a tool such as Microsoft Money, Quicken, or Mint.com can help you to capture realistic numbers for “Recurring Expenses” relatively quickly.

Personal Interests and Hobbies

We want to know more about you to help you better align your finances to meet your life goals and interests. Often people do not allow themselves enough time or financial resources to pursue their true passion. Let us help you make your life more fulfilling by making sure we know enough about you. Still concerned? Ask your advisor for a copy of our privacy policy. We will not give or sell your information to anyone without your express written permission.

Primary Contact:

Partner/Spouse:

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