

AIS Financial Confidential Questionnaire



Answering this questionnaire will ensure that the time spent with your Advisor is efficient and productive.

Personal Information					
Client Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?
Home Address Street		City		State	Zip
Mailing Address		City		State	Zip
Home Phone	Home Fax	Personal Email			
Occupation		Employer			
Work Address Street		City		State	Zip
Client Work Phone	Work Fax	Work Email			
Spouse/Partner Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?
Spouse Occupation		Spouse Employer			
Spouse Work Phone	Work Fax	Work Email			

Dependents (please include adult dependents)					
Dependent Last Name	First Name	Date of Birth	State of Birth	Citizenship?	From Previous Marriage? Y/N
Dependent Last Name	First Name	Date of Birth	State of Birth	Citizenship?	From Previous Marriage? Y/N
Dependent Last Name	First Name	Date of Birth	State of Birth	Citizenship?	From Previous Marriage? Y/N
Dependent Last Name	First Name	Date of Birth	State of Birth	Citizenship?	From Previous Marriage? Y/N
Dependent Last Name	First Name	Date of Birth	State of Birth	Citizenship?	From Previous Marriage? Y/N

Financial Position	Level of Importance of this Area (1 = Low; 5 = High)					Level of Satisfaction with Current Results				
Budgeting (living within your means)	1	2	3	4	5	1	2	3	4	5
Amount of emergency cash reserves	1	2	3	4	5	1	2	3	4	5
Safety or rate of return on cash reserves	1	2	3	4	5	1	2	3	4	5
Liquidity of cash reserves	1	2	3	4	5	1	2	3	4	5
Cost of debt	1	2	3	4	5	1	2	3	4	5
Other (please explain):	1	2	3	4	5	1	2	3	4	5

Risk Management	Level of Importance of this Area (1 = Low; 5 = High)					Level of Satisfaction with Current Results				
Your family's lifestyle in event of death or disability	1	2	3	4	5	1	2	3	4	5
Payment of medical expenses	1	2	3	4	5	1	2	3	4	5
Personal or business liability coverage	1	2	3	4	5	1	2	3	4	5
Replacement of auto, home, or other property in event of loss	1	2	3	4	5	1	2	3	4	5
The level of volatility of your investments	1	2	3	4	5	1	2	3	4	5
Unforeseen costs of caring for an aging or disabled relative	1	2	3	4	5	1	2	3	4	5
Other (please explain):	1	2	3	4	5	1	2	3	4	5

Wealth Accumulation	Level of Importance of this Area (1 = Low; 5 = High)					Level of Satisfaction with Current Results				
Education for children or grandchildren	1	2	3	4	5	1	2	3	4	5
New or second home	1	2	3	4	5	1	2	3	4	5
Special vacation	1	2	3	4	5	1	2	3	4	5
Weddings, Bar- or Bat-Mitzvahs	1	2	3	4	5	1	2	3	4	5
Purchase of business	1	2	3	4	5	1	2	3	4	5
Liquidity of cash reserves	1	2	3	4	5	1	2	3	4	5
Other (please explain):	1	2	3	4	5	1	2	3	4	5

Tax Planning	Level of Importance of this Area (1 = Low; 5 = High)					Level of Satisfaction with Current Results				
Taking advantage of all available tax reduction strategies	1	2	3	4	5	1	2	3	4	5
Reducing federal/state income taxes on earned income	1	2	3	4	5	1	2	3	4	5
Reducing federal/state income taxes on investment income	1	2	3	4	5	1	2	3	4	5
Reducing federal/state income taxes on future income	1	2	3	4	5	1	2	3	4	5
Alternative Minimum Tax	1	2	3	4	5	1	2	3	4	5
Sale of a highly appreciated or low cost basis asset or real estate	1	2	3	4	5	1	2	3	4	5
Other (please explain):	1	2	3	4	5	1	2	3	4	5

Retirement Planning	Level of Importance of this Area (1 = Low; 5 = High)					Level of Satisfaction with Current Results				
Level of retirement income	1	2	3	4	5	1	2	3	4	5
Duration of retirement	1	2	3	4	5	1	2	3	4	5
Continuation of retirement income at death for co-client	1	2	3	4	5	1	2	3	4	5
Taxation of retirement (including social security)	1	2	3	4	5	1	2	3	4	5
Maintaining purchasing power during retirement	1	2	3	4	5	1	2	3	4	5
Preparation for nursing home/ care costs for client or co-client	1	2	3	4	5	1	2	3	4	5
Other (please explain):	1	2	3	4	5	1	2	3	4	5

Estate Planning	Level of Importance of this Area (1 = Low; 5 = High)					Level of Satisfaction with Current Results				
Care of dependents at premature death	1	2	3	4	5	1	2	3	4	5
Disposition of assets at death	1	2	3	4	5	1	2	3	4	5
Reducing estate transfer costs (probate, state and federal death taxes)	1	2	3	4	5	1	2	3	4	5
Legacy for heirs or charity	1	2	3	4	5	1	2	3	4	5
Ease of administration for your executors	1	2	3	4	5	1	2	3	4	5
Financial assistance to your dependents' guardians in the event of your death	1	2	3	4	5	1	2	3	4	5
Other (please explain):	1	2	3	4	5	1	2	3	4	5


Other:	Level of Importance of this Area (1 = Low; 5 = High)					Level of Satisfaction with Current Results				
Charitable Giving	1	2	3	4	5	1	2	3	4	5
Consolidated inventory of assets, accounts and property	1	2	3	4	5	1	2	3	4	5
Understanding your employee benefits package	1	2	3	4	5	1	2	3	4	5
Understanding if your existing financial arrangements will achieve your goals	1	2	3	4	5	1	2	3	4	5
Coordination of and communication between advisors (attorney, CPA, etc)	1	2	3	4	5	1	2	3	4	5
Having a step-by-step plan to accomplish your goals	1	2	3	4	5	1	2	3	4	5
Other (please explain):	1	2	3	4	5	1	2	3	4	5

Anticipated Changes					
Please check all that are likely to occur within the next 12 months					
<input type="checkbox"/>	Marriage	<input type="checkbox"/>	Make an investment	<input type="checkbox"/>	Retirement
<input type="checkbox"/>	Have a Child	<input type="checkbox"/>	Inheritance	<input type="checkbox"/>	Increase Savings
<input type="checkbox"/>	Graduation	<input type="checkbox"/>	Buy or Sell a home	<input type="checkbox"/>	Dependent Parent
<input type="checkbox"/>	Divorce	<input type="checkbox"/>	Job change or Promotion	<input type="checkbox"/>	Obtain a loan
<input type="checkbox"/>	Buy a Business or Practice	<input type="checkbox"/>	Sell a Business	<input type="checkbox"/>	Death of a family member
<input type="checkbox"/>	Pay off a loan	<input type="checkbox"/>	Bonus or Salary Increase	<input type="checkbox"/>	Return to work

Household Income			
	Under \$50,000		\$150,000 - \$250,000
	\$50,000 - \$75,000		\$250,000 - \$500,000
	\$75,000 - \$100,000		\$500,000 - \$1M
	\$100,000 - \$150,000		\$1M+

Types of Assets Owned			
	Home		Business/ Practice
	Second Home		IRA/SEP
	Other Residential Real Estate		Other Retirement Plans
	Savings Accounts/ CDs		Tax-Free Funds
	Money Market Account		Limited Partnerships
	Commercial Real Estate		Commercial Notes/ Trust Deeds
	Stocks/ Bonds		Stock Options
	Term Life Insurance		Annuities
	Cash Value Life Insurance		Unit Investment Trusts
	Mutual Funds		Separate Accounts
Other (please explain):			
How many years of investing experience do you have?			
What is the best investment you ever made?			
What is the worst investment you ever made?			

Assets & Liabilities			
	Total Assets		Total Liabilities
	Under \$100,000		Under \$100,000
	\$100,000 - \$249,999		\$100,000 - \$249,999
	\$250,000 - \$499,999		\$250,000 - \$499,999
	\$500,000 - \$999,999		\$500,000 - \$999,999
	\$1,000,000 - \$1,999,999		\$1,000,000 - \$1,999,999
	\$2,000,000 - \$3,499,999		\$2,000,000 - \$3,499,999
	\$3,500,000+		\$3,500,000 +

How Much of a Financial Risk Taker are You?	
 1 2 3 4 5 6 7 8 9 10	Low Risk High Risk