

BERNARD R. WOLFE & ASSOCIATES, INC.

Client Questionnaire

www.bernardwolfe.com
5550 Friendship Blvd Ste 570
Chevy, Chase MD 20815
301-652-9677

Home and Personal Information

Last Name(s): _____

Financial Objectives

Primary Financial Concerns: _____

Primary Financial Objectives and/or Aspirations: _____

Non-Financial Objectives and/or Aspirations: _____

What are your expectations of us: _____

Contacts

Accountant Yes No

Estate Attorney Yes No

Client

Name: _____ Age: _____

Occupation: _____ Job Title: _____

Annual Compensation

Annual Salary: _____

Father Living: Yes No

Mother: Yes No

Spouse

Name: _____ Age: _____

Occupation: _____ Job Title: _____

Annual Compensation

Annual Salary: _____

Father Living: Yes No

Mother: Yes No

Children

Yes No

Age(s): _____

Savings & Investments

Bank and Savings

	Balance	Name(s) on Account
Checking	\$	
Checking	\$	
Savings	\$	
Savings	\$	
Money Market	\$	
Money Market	\$	
CD	\$	
CD	\$	
EE Savings Bonds	\$	
EE Savings Bonds	\$	

Non-retirement Investment Assets

	Balance	Name(s) on Account
Brokerage Account	\$	
Mutual Fund	\$	
Mutual Fund	\$	
Mutual Fund	\$	
Stock/Bond	\$	
Stock/Bond	\$	
Annuity	\$	
Annuity	\$	
Annuity	\$	
Partnership	\$	
Partnership	\$	
529 College Savings	\$	
529 College Savings	\$	
529 College Savings	\$	
529 College Savings	\$	

Retirement Assets

Personal Retirement Accounts

	Institution	Balance	Monthly Additions	Name on Account
IRA		\$	\$	
IRA		\$	\$	
IRA		\$	\$	
IRA		\$	\$	
Roth IRA		\$	\$	
Roth IRA		\$	\$	
SEP/Simple		\$	\$	
SEP/Simple		\$	\$	
Keogh		\$	\$	
Keogh		\$	\$	

Employee-Sponsored Plans

	Balance	% of Salary Contributions	Annual Employee Contributions	Annual Employer Match/Deposit	Name on Account
401(K) / 403(b)	\$	%	%	%	
401(K) / 403(b)	\$	%	%	%	
Pension/Profit Sharing	\$	%	%	%	
Pension/Profit Sharing	\$	%	%	%	
Deferred Comp	\$	%	%	%	
Employer Stock Purchase Plan	\$	%	%	%	

Vested Benefits if

	Employment Terminated	Benefits at 65 if Employer Continues	Survivor Benefit %	Name on Account
Defined Benefit Pension				
Defined Benefit Pension				

Projected Benefits at Age 62

	Benefits at 65 if Employer Continues	
Social Security		Client
Social Security		Spouse

Real Assets

Real Estate

	Estimated Market Value	Years Owned	Owner
Primary Residence	\$		
Second Residence, Land	\$		
Rental Property	\$		
Rental Property	\$		
Commercial Rental Property	\$		
Commercial Rental Property	\$		

Personal Assets

	Estimated Market Value
Automobile #1	\$
Automobile #2	\$
Auto #3, Boat, RV	\$

Client Suitability

Liquid Net Worth: _____

Estimated Net Worth (excluding primary residence): _____

Product Knowledge:

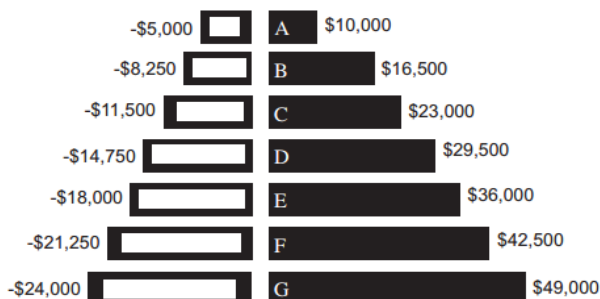
Please indicate the level of product knowledge below (Example: "N" None, "L" Limited, "G" Good, or "E" Extensive)

Stocks	_____	Options	_____
Bonds	_____	Variable Annuities	_____
Mutual Funds	_____	Variable Life	_____
Alternative Investments	_____		

Please answer 1, 2, & 3

1) This graph shows the potential range of gains or losses of a \$100,000 investment in each of seven hypothetical portfolios at the end of a 1-year period. The number to the right of each bar shows the best potential gain for that portfolio, while the number to the left of each bar shows the worst potential loss. Given that this is the only information that you have on these seven hypothetical portfolios, which one would you choose to invest in?

- Portfolio A
- Portfolio B
- Portfolio C
- Portfolio D
- Portfolio E
- Portfolio F
- Portfolio G



2) Inflation (rising prices for goods and services) can have a significant effect on your investments by decreasing their potential purchasing power over time. Aggressive investments have historically outpaced inflation over the long run, but have had more instances of short-term losses than more conservative investments. How do you feel about inflation and its impact on your investments?

- You are satisfied with your investments keeping pace with inflation. Limiting the potential for short-term loss is your main goal, and you are willing to sacrifice the potential for higher returns.
- You prefer that your investments significantly outperform inflation. You are willing to assume a greater potential for short-term loss in order to achieve that goal.
- You would like your investments to outpace inflation. You are willing to assume some potential for short-term loss in order to achieve that goal.

3) **Investment Goals** Rank your investment goals for this account or intended use of assets in order of importance (1 being the highest)

- ____ Education Funding
- ____ Retirement
- ____ Charitable Giving
- ____ Estate Appreciation
- ____ Gifting
- ____ Other: _____

Estate & Risk Planning

Estate

Current Will: Yes No How recent: _____/yrs. State Executed: _____

Durable Power of Attorney: Yes No How recent: _____/yrs

Advanced Medical Directive: Yes No How recent: _____/yrs

Revocable Trust: Yes No How recent: _____/yrs

Irrevocable Life Insurance Trust: Yes No How recent: _____/yrs

Annual Gifts: Yes No How recent: _____/yrs Have you paid a gift tax Yes No

Do you have a Financial Plan: Yes No How recent: _____/yrs

Risk Management

Long Term Care Insurance: Yes No

Life Insurance: Yes No