

**CONFIDENTIAL  
QUESTIONNAIRE**

In order to develop a sound plan to ensure your future financial security, some facts, figures and feelings need to be uncovered. Take the time to complete this form as accurately as possible.

<b>Client</b>	<b>Spouse</b>		<b>Dependents</b>	
Name	Name		Name	
			Age	
Occupation	Occupation		At Home?	
Business	Business		Name	
			Age	
Address			At Home?	
City	State	Zip	Name	
Phone	Fax		Age	
E-Mail Address			At Home?	

**DETERMINE YOUR NET WORTH --**

**ASSETS**

**Personal**

**Retirement**

Residence	\$ _____	IRA - client	\$ _____
Second Home	_____	IRA - spouse	_____
Collectibles	_____	Keogh plan - client	_____
Automobiles	_____	Keogh plan - spouse	_____
Other _____	_____	401(k) or 403(b) - client	_____
Other _____	_____	401(k) or 403(b) - spouse	_____

**Investment**

**Business**

Cash (checking, CDs)	\$ _____	Investment Real Estate	\$ _____
Bonds - bond funds	_____	Business _____	_____
Tax Free - tax free funds	_____	Business _____	_____
Cash Value of Insurance	_____	Notes Receivable	_____
Stocks - stock funds	_____		
Limited Partnerships	_____		
Other _____	_____	<b>TOTAL ASSETS</b>	\$ _____
Other _____	_____		

**Brian Doherty, J.D., LL.M., CFP®**  
**Attorney and Certified Financial Planner™**

161 Fox Den Circle Naples, Florida 34104  
 239-262-4332 (Tel) • 239-262-7454 (Fax)  
 877-362-7526 (Toll Free)

www.dohertypa.com • bdoherty@dohertypa.com

*“Helping Clients Solve Financial Problems”*

## LIABILITIES

Mortgage - Residence	\$ _____	Credit Card Balances	\$ _____
Investment R. Estate Loans	_____	Mortgage - Second Home	_____
Automobile Loans	_____	Business Loans	_____
Unsecured Bank Loans	_____	Other	_____

### TOTAL ASSETS

(from page 1) \$ \_\_\_\_\_

**TOTAL LIABILITIES** \$ \_\_\_\_\_

### NET WORTH

(assets minus liabilities) \$ \_\_\_\_\_

---

## DETERMINE YOUR CASH FLOW --

### Annual Income

Employment	\$ _____
Business Income	_____
Social Security	_____
Other Government	_____
Taxable Invstmnts	_____
Nontxable Invstmnts	_____
Pensions (receiving)	_____
Other Taxable	_____
Other Nontaxable	_____

**TOTAL INCOME** \$ \_\_\_\_\_

### DISCRETIONARY INCOME --

(income minus expenses)

\$ \_\_\_\_\_

### Annual Expenses

#### Committed Expenses -

**Liabilities** (mortgages, loans,  
credit cards) \$ \_\_\_\_\_

**Taxes** (federal, state and  
local income taxes) \_\_\_\_\_

**Household** (taxes, rent,  
utilities, insurance) \_\_\_\_\_

**Personal** (food, clothing,  
auto, transportation) \_\_\_\_\_

**Other Committed** (medical,  
daycare, alimony,  
insurance premiums) \_\_\_\_\_

#### Discretionary Expenses -

entertainment/dining \_\_\_\_\_

travel \_\_\_\_\_

charitable contributions \_\_\_\_\_

non-charitable gifts \_\_\_\_\_

hobbies \_\_\_\_\_

home improvements \_\_\_\_\_

miscellaneous \_\_\_\_\_

**TOTAL EXPENSES** \$ \_\_\_\_\_

# INSURANCE CONSIDERATIONS --

## Life Insurance Policies

---

	Policy #1	Policy #2	Policy #3
Company Name	_____	_____	_____
Financial Rating	_____	_____	_____
Owner	_____	_____	_____
Insured	_____	_____	_____
Beneficiary	_____	_____	_____
Death Benefit	_____	_____	_____
Outstanding Loan Amnt	_____	_____	_____
Annual Premium	_____	_____	_____
Reason for Purchase	_____	_____	_____
Is that Reason Still Valid?	_____	_____	_____

---

## Current Health --

	Client	Spouse
Rate your health (for your age) excellent, good, fair, poor?	_____	_____
Known health problems and medications taken	_____ _____ _____	_____ _____ _____
Do you use tobacco?	_____	_____

---

## Programs and Strategies of Particular Interest to Me:

- Investing During Retirement       Taking Retirement Plan Distributions  
 Preserving My Estate for My Heirs       Maximizing My Planned Giving  
 Minimizing My Tax Liability       Benefiting from Social Security & Medicare  
 Utilizing Long-Term Care to Protect Assets       Other: \_\_\_\_\_

## Notes/Remarks:

---

---

---

---

---

---

---

---

## YOUR FINANCIAL CONCERNS --

Experience has taught in order to make financial planning profitable, a clear understanding of your specific needs and priorities must emerge. Please focus on the following areas and rate according to your particular circumstances.

Not Important? -- Important?-- Very Important?

1. Having cash available for emergencies \_\_\_\_\_
2. Having protection against disability, hospitalization, early death, nursing home needs \_\_\_\_\_
3. Having adequate estate liquidity to ensure proper transfer of assets to heirs \_\_\_\_\_
4. Minimizing income taxes and estate taxes \_\_\_\_\_
5. Assets well managed to allow participation in market expansions \_\_\_\_\_
6. Having adequate resources so retirement is enjoyable \_\_\_\_\_
7. Having affairs in order for a smooth transition of assets at death \_\_\_\_\_
8. When investing, rate your willingness to risk the loss of original principal in exchange for the opportunity to achieve a higher rate of return:

**Highly Stable Investments 1 -- 2 -- 3 -- 4 Aggressive Investments**  
**(circle a number from one to four)**

9. When making investment decisions, rate the following factors importance ("1" being the most important, "5" being the least important):

     Diversification         Stability         Rate of Return         Growth Potential         Liquidity

---

**Checklist --** During the financial planning process, it will be important for Mr. Doherty to review the following items:

- |   |   |
|---|---|
| <input type="checkbox"/> Bank and brokerage statements                                | <input type="checkbox"/> Data regarding mortgages and loans |
| <input type="checkbox"/> Recent state and federal tax returns                         | <input type="checkbox"/> Employee benefit plan statements   |
| <input type="checkbox"/> Life and health insurance policies                           | <input type="checkbox"/> Retirement plan statements         |
| <input type="checkbox"/> Property and casualty policies                               | <input type="checkbox"/> Latest estate planning documents   |
| <input type="checkbox"/> Sources and amounts of income                                | <input type="checkbox"/> Data on unique financial events    |
| <input type="checkbox"/> Other information relevant to the financial planning process |   |