Discovery Questionnaire

The DFS Group LLC
FINANCIAL

Introduction

Thank you for requesting a consultation. This questionnaire is intended to help you gather your financial information and generate thoughts, questions, and opinions about your current financial outlook and goals. The completion of this document will allow us to have a meaningful and productive conversation about your financial future. Please complete this questionnaire to the best of your knowledge and bring it with you to your appointment.

All information you divulge, whether verbal or written, will remain completely and permanently confidential.

Document Checklist

Personal Assets

- ☐ Real estate tax records
- ☐ Time share information
- ☐ Kelley Blue Book or NADA value for all vehicles
- ☐ Personal property that may have value

Cash and Equivalents (most recent statements)

- ☐ Checking accounts
- ☐ Savings accounts
- ☐ Credit union or money market accounts
- ☐ Certificates of deposit

Non-retirement Investments (most recent statements)

- ☐ Stock and bond statements
- ☐ Mutual fund statements
- ☐ All non-qualified company plan information
- ☐ Stock options/phantom stock
- ☐ Restricted stock
  - ☐ Stock purchase plans
  - ☐ Incentive plans
  - ☐ Deferred compensation plans
  - ☐ Limited partnership
  - ☐ 529 plans or UTMA/UGMA accounts

Retirement Investments (most recent statements)

- ☐ Annuity statements
- ☐ IRA statements
- ☐ 401(k) or other defined contribution statements
- ☐ Pension information

Insurance Information (policies or most recent statements)

- ☐ Life insurance
- ☐ Disability insurance
- ☐ Long-term care
- ☐ Automobile insurance
- ☐ Homeowners insurance
- ☐ Umbrella

Debt Information

- ☐ Mortgage statement
- ☐ Other secured credit statements (auto, boat, etc.)
- ☐ Credit card statements
- ☐ Recent credit report from annualcreditreport.com

Income/Expense Information

- ☐ Paycheck stubs (two most recent)
- ☐ Tax returns (previous two years)
- ☐ Social Security statements
- ☐ Estimated future cash flow

Other Information

- ☐ Current will
- ☐ Current trust agreements
- ☐ Divorce decrees, if applicable

Personal Information

Client

Full name		Birthdate	
Street address	City	State	Zip code
Phone	Work phone	Email	

Preferred method of communication (number in order of preference):

Phone	Email	Mail

Occupation	Hire date	
Employer	Employer address	
City	State	Zip code

Co-Client

Full name		Birthdate	
Street address	City	State	Zip code
Phone	Work phone	Email	

Preferred method of communication (number in order of preference):

Phone	Email	Mail

Occupation	Hire date	
Employer	Employer address	
City	State	Zip code

Additional Information

Family/Important Person

Full name	Relationship to you	Birthdate
Street address	State	Zip code
Phone	Work phone	Email
Marital status	Spouse/ partner	
Child		Birthdate
Child		Birthdate
Child		Birthdate

Full name	Relationship to you	Birthdate
Street address	State	Zip code
Phone	Work phone	Email
Marital status	Spouse/ partner	
Child		Birthdate
Child		Birthdate
Child		Birthdate

Trusted Contact

Full name	Relationship to you	Birthdate
Street address	State	Zip code
Phone	Work phone	Email
Marital status	Spouse/ partner	

Financial Planning

Please check any services you are interested in:

	Yes	No
Investment management		
Cash flow and budgeting		
Education planning		
Retirement planning		
Tax planning		
Insurance review		
Debt management		
Financial organization/management		
Estate planning		
Financial concepts		

Financial Concepts

Please rate the importance of the following:

	Not Important	Somewhat Important	Important
Capital appreciation			
Capital preservation			
Low volatility			
Inflation protection			

Financial Planning Details

Financial Priorities

What does money mean to you?

____

____

What are you looking for in a financial professional?

____

____

What are your short-term financial goals?

- ☐ Eliminate credit card debt
- ☐ Establish emergency savings fund
- ☐ Increase discretionary income
- ☐ Home improvements or furnishings
- ☐ Holiday spending
- ☐ Purchase vehicle
- ☐ Purchase real estate
- ☐ Save for a down payment
- ☐ Vacation fund
- ☐ Other ____________________

What are your long-term financial goals?

- ☐ Save for retirement
- ☐ Pay off a mortgage
- ☐ Become debt-free
- ☐ Start a business
- ☐ Save for college
- ☐ Transition assets to heirs
- ☐ Other ____________________

What can we do to make your experience with us the best it can be?

____

____

Do you consider yourself a spender or saver?

- ☐ Spender
- ☐ Saver

What is your current asset structure? Would you like that structure to change?

____

____

Do you anticipate a major change in your income or net worth in the future? If so, describe:

- ☐ Yes ____
- ☐ No

Assuming everyone needs some amount of liquidity, how soon will you need the money you are investing today?

- ☐ < 1 year
- ☐ 1-5 years
- ☐ 5-10 years
- ☐ 10-15 years
- ☐ 15-20 years
- ☐ 20-25 years
- ☐ > 25 years

Do you anticipate having financial responsibility for anyone apart from yourself in the future? If so, describe:

- ☐ Yes ____
- ☐ No

At what age do you hope to retire?

- ☐ 45-50
- ☐ 50-55
- ☐ 55-60
- ☐ 60-65
- ☐ 65-70
- ☐ 70-75
- ☐ I'll work forever!

Do you expect an inheritance? If so, approximately how much?

- ☐ < $100,000
- ☐ $100,000 - $250,000
- ☐ $250,000 - $500,000
- ☐ $500,000 - $750,000
- ☐ $750,000 - $1M
- ☐ $1M - $5M
- ☐ > $5M
- ☐ N/A

Have you ever been declined or rated for life or disability insurance? If yes, why?

- ☐ Yes ____
- ☐ No

What do you hope to achieve in life?

____

____

What values or philosophies are most important to you?

____

____

What are your hobbies?

☐ Outdoor activities	☐ Film/movies	☐ Gardening	☐ Collecting
☐ Sports	☐ Camping	☐ Exercise	☐ Crafting
☐ Boating	☐ Yoga	☐ Leisure	☐ Cooking
☐ Community involvement	☐ Travel	☐ Gaming	☐ Hosting
☐ Art	☐ Writing	☐ Biking	☐ Spirituality
☐ Hunting	☐ Photography	☐ Motorcycling	☐ Clubs/organizations
☐ Music	☐ Landscaping	☐ Model building	☐ Other ________

What kind of retirement do you envision?

____

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If you had complete financial security, how would you spend your time?

____

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