

NORTON FINANCIAL CONSULTANTS



Financial Planning Questionnaire

Today's Date: _____

Personal Data:

Name: _____ Date of Birth: _____

Driver's Lic/ State of issue: _____ Tax ID #: _____
Govt ID #: _____

Name: _____ Date of Birth: _____

Driver's Lic/ State of issue: _____ Tax ID #: _____
Govt ID #: _____

Address: _____
Street City State Zip code

Telephone Home: _____ Office: _____ Cell phone: _____
Numbers: Office: _____ Cell Phone: _____

Email Address(es): _____

Employer Name: _____ Occupation: _____

Employer Address: _____

Employer Name: _____ Occupation: _____

Employer Address: _____

165 Main Street, Suite 206-A
Medway, MA 02053-1584

Telephone (508) 429-7000
Toll-Free (844) 310-7000
Fax (508) 429-7409
Toll-Free Fax (866) 315-7799
www.nortonfinancial.com

Royal Palm Financial Center
759 SW Federal Highway, Suite 201-G
Stuart, FL 34994

Names of Children/Dependents:	Date of Birth	Tax ID #	Relationship
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Do you or any of your children/dependents have any special needs or considerations that will impact your financial planning? Yes / No (if yes, please explain)

Primary Objectives (Rank in priority from 1 to 10, with one indicating the most importance, and 10 indicating the least importance of having adequate funds to do the following :)

- Maintain current standard of living _____
- Expand current standard of living _____
- Enjoy a comfortable retirement _____
- Take care of self/family during a period of long-term disability _____
- Invest and accumulate wealth _____
- Reduce Tax Burden _____
- Provide funds for college education for children _____
- Take care of family in the event of death _____
- Develop an Estate Plan _____
- Other (specify) _____



What economic fears or concerns do you have? (Check those that apply)

- Loss of Job
- Cost of Living increasing faster than my income
- Inability to save regularly
- The threat of retiring on inadequate resources
- Effect of health on my career or assets
- Concern of Investment programs being ineffective
- Concern over economic effect of premature death
- Concern that I am paying too much in taxes
- Fear that heirs will not handle money properly
- Concern that current financial plan doesn't meet my overall objectives

What do you want most from financial planning? (In order of priority, summarize your objectives)

1. _____
2. _____
3. _____
4. _____



Factors affecting your Financial Planning:

Retirement:

At what age would you like to retire? _____

Are you considering a career change prior to retirement, (if yes, explain) Yes / No

Educational Funding:

Do your children attend private school currently? Yes / No
(if yes, will this continue through high school?)

Do you anticipate that your child(ren) will attend a four year private college / public college (circle one) Yes / No

Do you anticipate paying for the full cost of college for your child(ren) Yes / No

Other Objectives:

Do you have any additional objectives requiring capital or income? Yes / No
(if yes, explain)



Investment Attitude Risk Questionnaire

Circle a number in answer to each of the six risk tolerance questions below. These answers will help select your Asset Allocation Target Portfolio.

1. How important is capital preservation?

Not at all

 1 2 3 4 5 6 7 8 9

Moderately important

Very important

2. How important is growth?

Not at all

 1 2 3 4 5 6 7 8 9

Moderately important

Very important

3. How important is low volatility?

Not at all

 1 2 3 4 5 6 7 8 9

Moderately important

Very important

4. How important is inflation protection?

Not at all

 1 2 3 4 5 6 7 8 9

Moderately important

Very important

5. How important is current cash flow?

Not at all

 1 2 3 4 5 6 7 8 9

Moderately important

Very important

6. How much risk are you willing to take to achieve a higher return?

Not at all

 1 2 3 4 5 6 7 8 9

A Moderate amount

A lot

What Average Annual Rate of Return* do you want to earn on your portfolio to reach your financial goals?

Average Annual Rate of Return* You Want: _____ %

* This rate of return is hypothetical and used for comparison purposes only. It is not related to any specific investment and there is no guarantee you will actually receive this rate.

