Sheri Lucas, RICP®, AIF®
Investment Planner
Branch Owner

Kristina Gilley, CFP®
Investment Planner
Registered Representative

Dana Krutka
Client Care Manager
Registered Representative

Goal Planning Questionnaire

Please include the following items that apply to you:

- ☐ Federal Income Tax Return
- ☐ Investment / Brokerage / Bank Statement(s)
- ☐ Insurance Statement(s) (life, disability, long term care)
- ☐ Mortgage Statement
- ☐ 401k Employer retirement plan statement(s) & options available to you currently
- ☐ Severance Package Details
- ☐ Social Security statement(s)
- ☐ Deferred Compensation / Stock Option Statement(s)
- ☐ Other statements / Documents that will complete your financial picture

Notes:

8041 Hosbrook Road, Suite 416, Cincinnati, OH 45236 • Phone (513) 793-1990 • Fax (513) 792-8374
sheri.lucas@raymondjames.com • kristina.gilley@raymondjames.com • dana.krutka@raymondjames.com

Check the items most important to you:

- ☐ Choosing an Investment Advisory Team
- ☐ Student Debt/ Credit Card Debt
- ☐ 401k Review
- ☐ Saving for a Large Purchase
- ☐ Saving for your Education or children's
- ☐ Saving for Retirement
- ☐ Budget Planning
- ☐ Investment Portfolio X-Ray
- ☐ IRA Rollover from Employer Plans
- ☐ Employee Stock Option strategies
- ☐ Charitable Gift Strategies
- ☐ Roth IRA Strategies
- ☐ Capital Gains Tax Planning
- ☐ Life Insurance Review
- ☐ Estate Planning
- ☐ Social Security Maximization
- ☐ Pension Payout Options (Lump-Sum vs. Payments)
- ☐ Other:

	Client (C)	**Co-Client (Co)**
Name		
Date of Birth		
Address		
Phone Number		
Email		
Employment Status	☐ Employed ☐ Retired ☐ Business Owner ☐ Homemaker ☐ Presently Not Working	☐ Employed ☐ Retired ☐ Business Owner ☐ Homemaker ☐ Presently Not Working
Employer		
Job Title		
Employer Address		
Employment Income	$	$
Target Retirement Age		

Children, Grandchildren & Heirs		
Name	**Relationship**	**Date of Birth**

RISK TOLERANCE

On a scale of 1 to 10 (1=lowest, 10=highest), how would you rate your willingness to take risk with your investments?

Client _____________ **Co-Client** _____________

GOAL BUILDER

This is the fun part about the Retirement-Income planning process. Spending beyond basic retirement living expenses can make retirement enjoyable. Take time to think about the purchases and activities that will make retirement satisfying for you.

Goal	Needs, Want or Wish?	How Often?	Amount
Home	☐ Need ☐ Want ☐ Wish		$
Car	☐ Need ☐ Want ☐ Wish		$
College	☐ Need ☐ Want ☐ Wish		$
Travel	☐ Need ☐ Want ☐ Wish		$
Other:	☐ Need ☐ Want ☐ Wish		$
Other:	☐ Need ☐ Want ☐ Wish		$

INVESTMENT ASSETS & SAVINGS

List any investment assets held outside of Raymond James. Include employer retirement plans, IRAs, brokerage accounts, etc.

Account Description Include account type & where it is held	Client			Co-Client		
	Current Value	Your Additions %/$	Employer Additions %/$	Current Value	Your Additions %/$	Employer Additions %/$
	$			$		
	$			$		
	$			$		
	$			$		
	$			$		
	$			$		
	$			$		
	$			$		
	$			$		
	$			$		

LIABILITES

List any loans/debt (e.g. home mortgage, home equity, credit cards, education, etc.) Fill out or provide statements.

Loan	Balance	% Rate	Term	Monthly Payment
	$			
	$			
	$			
	$			

INCOME SOURCES

List any pensions, rental income, part-time work, inheritance, etc.

Description	(C)	(Co)	Amount % or $	Starts	Ends	Survivor Pension
						%
						%
						%
						%
						%

Please list any other assets (nonfinancial) such as home, business, collectibles, investment properties, etc.

Asset Description	Owner	Current Value
Home		$
		$
		$
		$