

Confidential Financial Questionnaire

Client: _____

Date: _____



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- *Financial Adviser offering investment advisory services through Eagle Strategies LLC, a Registered Investment Adviser
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Confidential Financial Questionnaire

Overview

The first step in creating a meaningful financial plan is to have a thorough understanding of the client's current situation, their needs and objectives. The attached *confidential* financial questionnaire will give me the information I need to understand you as individuals, your dreams and aspirations, as well as the details of your particular assets. The more information that I have, the better position that we may be in together to create a meaningful financial plan.

Instructions

1. This confidential questionnaire is your first step in organizing your resources in order to focus on a financial plan. Please fill in the information requested, being as complete in your answers as possible. Only I, my authorized professional staff and those who assist me, while maintaining confidentiality, will have access to this information.
2. A review of your financial situation requires that the clearest picture of your past and present financial decisions be presented. These decisions can be reflected in a number of documents (see Checklist of Needed Documents).
3. Please answer the Financial Priorities checklist attached.
4. I will be able to assist you in organizing your resources when you provide these documents along with this completed questionnaire. You can be sure that your documents will be maintained in a confidential manner during the review period. All of your documents will be returned promptly to you in the same condition that they were received.
5. We stand ready to assist you in gathering information requested. Please call if any items need clarification or if you have any questions.

Your assistance in the above matter is most appreciated. I am looking forward to being of service to you.

Confidential Financial Questionnaire

Disclaimer

The responses that you provide to this questionnaire/ fact finder are intended to assist you in gathering important information about yourself, such as your financial goals, objectives and time horizon, and to help you to make a more informed decision regarding your specific situation. Your responses are not intended to represent a comprehensive basis for evaluating suitability (or, if applicable, conducting underwriting) on any specific insurance, annuity, or investment product.

In the event that you decide to purchase any product, you will be required to complete a separate policy application/contract and/or Investor Profile, which will serve as the basis for the Company's conducting suitability and/or an underwriting analysis with regard to the specific product that you wish to purchase.

In the event of any discrepancy between the information that you provide in completing this questionnaire/ fact finder and that which you furnish in completing an Investor Profile and/or product application/ contract, the information contained in the Company product application/contract and/or Investor Profile will govern and will serve as the basis for the Company's assessing the appropriateness for you of the product to which such document(s) pertain.

Checklist of Needed Documents

Needed

Obtained

Financial

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Recent statements available for financial assets (savings, checking, credit union, CD, etc.) |
| <input type="checkbox"/> | <input type="checkbox"/> | Recent statements available for all investments (mutual funds, annuities, IRA, 401K etc.) |
| <input type="checkbox"/> | <input type="checkbox"/> | A prospectus for each existing investment you own, where applicable. |
| <input type="checkbox"/> | <input type="checkbox"/> | Manner of title holding of any stock (how ownership appears on the certificates), current value of each stock, and cost basis. |
| <input type="checkbox"/> | <input type="checkbox"/> | Paycheck stub(s) for you and your spouse showing deductions from gross income. |
| <input type="checkbox"/> | <input type="checkbox"/> | Personal Income Tax Returns: Last 2 years (federal and state) |
| <input type="checkbox"/> | <input type="checkbox"/> | Life/Health/Disability/Long Term Care Insurance Policies |
| <input type="checkbox"/> | <input type="checkbox"/> | Annuity Policies |
| <input type="checkbox"/> | <input type="checkbox"/> | Employee Benefit Plan Descriptions (Pension, Profit Sharing, Group Insurance, etc.) |

Estate

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Present Wills |
| <input type="checkbox"/> | <input type="checkbox"/> | Trust Documents – created by you or others for your (or your family’s) benefit. |
| <input type="checkbox"/> | <input type="checkbox"/> | Pre or Post-Nuptial Agreements and Divorce Decrees/Property Settlements |
| <input type="checkbox"/> | <input type="checkbox"/> | Deeds to Real Estate |
| <input type="checkbox"/> | <input type="checkbox"/> | Gift Tax Returns |

Business

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Business Tax Returns: Last 2 years (include P&L and balance sheets) |
| <input type="checkbox"/> | <input type="checkbox"/> | Any Partnership Agreements |
| <input type="checkbox"/> | <input type="checkbox"/> | Business Buy-Sell Agreements and Employment Contracts |
| <input type="checkbox"/> | <input type="checkbox"/> | Any available financial statements (assets and liabilities). |

Miscellaneous

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Any other documents you feel will be helpful. |
| <input type="checkbox"/> | <input type="checkbox"/> | Other documents to bring: _____ |
| | | _____ |
| | | _____ |

Financial Priorities

For: _____

Please number, in order of priority, the six areas that you feel are most important to you at this time, "1" being the most important.

_____ Accumulate sufficient assets to provide a comfortable retirement income.

_____ Protect assets and their accumulation from the effects of inflation.

_____ Provide educational funds for my children/grandchildren.

_____ Provide support for a dependent other than a child.

_____ Minimize my personal income taxes.

_____ Develop an appropriate investment strategy.

_____ Arrange my portfolio to reduce the risk of loss.

_____ Provide an adequate standard of living in the event of death.

_____ Establish proper wills and trusts for non-tax purposes.

_____ Reduce or avoid taxes on my estate.

_____ Reduce insurance costs while being sure that coverage is appropriate.

_____ Organize my important papers, documents and financial affairs.

_____ Use the tax advantages of charitable giving.

_____ Provide an adequate standard of living in the event of disability.

_____ Manage my affairs well during retirement.

_____ Protect assets in the event of long-term care (nursing home, etc.).

_____ Preserving estate for the benefit of children/grandchildren.

Financial Attitude Questions for:

For: _____

Who and what do you care about and why? _____

What is the most important thing to you in this world? _____

What is your most important financial goal? _____

What is your biggest financial fear? _____

What keeps you up at night? _____

What is your best source of financial comfort? _____

What is the one thing you value most in a financial adviser? _____

What is important to you about money? _____

How do you feel about providing for your children/grandchildren's education?

What effect would inheriting a substantial amount of money have on your children/grandchildren?

What do you want your life insurance to do for you/your family? _____

In your estimation, what is the greatest financial risk you face for the rest of your life?

Are your current financial plans exposing you to or defending you from that risk? How?

Do you expect any significant changes to your income/asset situation in the next 5 years? If so, explain.

On a scale of 1-10 would you consider yourself a (1) aggressive or (10) conservative investor? _____

Assuming you owned \$100,000 of a particular stock, which scenario would bother you more?

____ You sold the stock - and it went up 50% ____ You kept the stock - and it dropped 50%

On a scale of 1-10 how important is it to you to preserve your estate for the benefit of your children/grandchildren with (1) being unimportant and (10) being very important? _____

What percentage of your estate would you like to leave to: (Should total 100%)

Family: _____ Charity: _____ Government: _____

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Confidential Financial Questionnaire

Personal:	Today's Date:	
Your Name: _____	Birthdate: _____	
Spouse Name: _____	Birthdate: _____	
Address: _____ _____	Phone: _____	
Email Address: _____	Cell: _____	
Spouse Email _____		
Employer: _____	Occupation: _____	Phone: _____
Spouse Employer: _____	Occupation: _____	Phone: _____
Income Last Year:	Base: \$ _____	Bonus: \$ _____
	Soc. Sec.: \$ _____	Pension: \$ _____
	Other: \$ _____	
Spouse Income:	Base: \$ _____	Bonus: \$ _____
	Soc. Sec.: \$ _____	Pension: \$ _____
	Other: \$ _____	
Royalties/Rental	\$ _____	\$ _____
	\$ _____	\$ _____
Fees/Commissions	\$ _____	\$ _____
	\$ _____	\$ _____
Trust Income	\$ _____	\$ _____
	\$ _____	\$ _____
Family:		
Child's Name: _____	Birthdate: _____	Marrital Status: _____
		# Children & Names _____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
Parents:	Father Age: _____	Occupation: _____
	Mother Age: _____	Health _____
	_____	Estate: _____
Spouse's Parents:	Father Age: _____	Occupation: _____
	Mother Age: _____	Health _____
	_____	Estate: _____

Confidential Financial Questionnaire

Liabilities

	<u>Purchase Price</u>	<u>Purchase Year</u>	<u>Ownership</u>	<u>Current Market Value</u>	<u>Gross Rental Income</u>	<u>Net Rental Income</u>
1. Your Residence	\$ _____			\$ _____	\$ _____	\$ _____
2. Other Home/Investment	\$ _____			\$ _____	\$ _____	\$ _____
3. Other Home/Investment	\$ _____			\$ _____	\$ _____	\$ _____
4. Land/ Investment	\$ _____			\$ _____	\$ _____	\$ _____
5. Land/ Investment	\$ _____			\$ _____	\$ _____	\$ _____
6. Other	\$ _____			\$ _____	\$ _____	\$ _____

Mortgages

	<u>Interest Rate</u>	<u>Monthly Pmnt (inc. taxes)</u>	<u>Remaining Balance</u>
1. Your Residence	_____ %	\$ _____	\$ _____
2. Other Home/Investment	_____ %	\$ _____	\$ _____
3. Other Home/Investment	_____ %	\$ _____	\$ _____
4. Land/ Investment	_____ %	\$ _____	\$ _____
5. Land/ Investment	_____ %	\$ _____	\$ _____
6. Other	_____ %	\$ _____	\$ _____

Type of Loan/Charge Account

	<u>Payment</u>	<u>Rate</u>	<u>Remaining Balance</u>	<u>Insured Yes/No</u>
1	\$ _____	_____ %	\$ _____	
2	\$ _____	_____ %	\$ _____	
3	\$ _____	_____ %	\$ _____	
4	\$ _____	_____ %	\$ _____	
5	\$ _____	_____ %	\$ _____	
6	\$ _____	_____ %	\$ _____	

Autos \$ _____ Artwork \$ _____ Personal \$ _____ Boats /Campers \$ _____
 Antiques \$ _____ Jewelry \$ _____ Furnishings \$ _____

Confidential Financial Questionnaire

Life Insurance (Can skip this section if statements or policies are provided.)

<u>Insured</u>	<u>Owner</u>	<u>Company</u>	<u>Type</u>	<u>Face Amnt</u>	<u>Premium</u>	<u>Cash Value</u>	<u>Beneficiary</u>
				\$	\$	\$	
				\$	\$	\$	
				\$	\$	\$	
				\$	\$	\$	
				\$	\$	\$	

Disability Insurance/Long-Term Care Insurance

	You:	Monthly Amount: \$ _____	Duration: _____	Personal or Employer? _____
	Spouse:	Monthly Amount: \$ _____	Duration: _____	Personal or Employer? _____

Retirement Savings:

Future/Current Pension	Name	Amount	Starts When	Company	Survivor benefit
1	_____	\$ _____	_____	_____	_____
2	_____	\$ _____	_____	_____	_____
3	_____	\$ _____	_____	_____	_____
4	_____	\$ _____	_____	_____	_____

How much do you add monthly to 401(k)/IRAs?

	You \$ _____	Match _____ %	Profit Sharing _____
	Spouse \$ _____	Match _____ %	Profit Sharing _____

Notes: _____

Confidential Financial Questionnaire

Retirement Planning:

Age you would like to retire: _____ Spouse: _____

Do you anticipate working part-time after retirement? _____

If yes, how much would you expect to make in today's dollars, i.e., do not adjust for inflation? _____

How long would you expect to work part-time? _____

Does spouse anticipate working part-time after retirement? _____

If yes, how much would spouse expect to make in today's dollars, i.e.,do not adjust for inflation? _____

How long would spouse expect to work part-time? _____

Would you/spouse be willing to work part-time, in same or different job, if it meant you could meet your retirement age goal or would you prefer to postpone your retirement so you could retire completely?

Please describe briefly how you would like to spend your retirement years. What activities would you participate in?

In today's dollars, if you plan to travel, what would your annual travel budget be? \$ _____

Additional Notes: _____

Confidential Financial Questionnaire

Estate & Other Considerations

Do you have a . . .	Will? _____	Marital property agreement? _____	Trust for minors? _____
	Living trust? _____	Health care power of attorney? _____	Durable power of attorney? _____

Describe current estate plan. _____

Describe estate planning objectives. _____

Special goals, objectives, dreams. _____

Do you expect any inheritances? _____

From whom? _____	When? _____	How much? \$ _____
From whom? _____	When? _____	How much? \$ _____

Additional Notes:

Confidential Financial Questionnaire

For Planner Use	Do Not Answer					
	Age	Working?	Own/Rent	Income	Real Estate	Estate value
F	_____	_____	_____	_____	_____	_____
M	_____	_____	_____	_____	_____	_____
B	_____	_____	_____	_____	_____	_____
S	_____	_____	_____	_____	_____	_____
FIL	_____	_____	_____	_____	_____	_____
MIL	_____	_____	_____	_____	_____	_____
BIL	_____	_____	_____	_____	_____	_____
SIL	_____	_____	_____	_____	_____	_____



FINANCIAL PLANNING EXPENSE WORKSHEET

Name: _____

Date: _____

<u>HOUSING</u>	<u>Pre-Retire</u>	<u>Retirement</u>	<u>CLOTHING</u>	<u>Pre-Retire</u>	<u>Retirement</u>	<u>ENTERTAINMENT</u>	<u>Pre-Retire</u>	<u>Retirement</u>
Mortgage	_____	_____	Husband	_____	_____	Dining Out	_____	_____
Property Taxes	_____	_____	Wife	_____	_____	Country Club - Clubs/golf	_____	_____
Assoc Dues	_____	_____	Children	_____	_____	Sports Theatre Tickets	_____	_____
Electricity/Gas	_____	_____	TOTAL	=====	=====	Movies/Videos	_____	_____
Garbage Pickup	_____	_____	<u>FURNISHINGS</u>			Computer etc.	_____	_____
Telephone	_____	_____	Inside	_____	_____	TOTAL	=====	=====
Internet Provider	_____	_____	Outside	_____	_____	<u>VACATIONS/HOLIDAYS</u>		
Cable TV	_____	_____	TOTAL	=====	=====	Travel Tickets	_____	_____
Water	_____	_____	<u>PERSONAL CARE/CASH</u>			Hotels	_____	_____
Pool Service	_____	_____	Dry Cleaning	_____	_____	TOTAL	=====	=====
Lawn Service	_____	_____	Hair/Nails/Facials	_____	_____	<u>CHARITABLE CONTRIB</u>		
Maid Service	_____	_____	Cosmetics	_____	_____	House of Worship	_____	_____
Maintenance	_____	_____	Shoe Shine	_____	_____	TOTAL	=====	=====
Home/Casualty/Flood Ins	_____	_____	Lunch/Snacks	_____	_____	<u>GIFTS</u>		
Security System	_____	_____	Massage	_____	_____	Holidays	_____	_____
Pest/Bug Service	_____	_____	Health Club	_____	_____	Birthdays	_____	_____
TOTAL	=====	=====	TOTAL	=====	=====	Weddings	_____	_____
<u>CHILD CARE</u>			<u>MEDICAL/DENTAL/PHARM</u>			TOTAL	=====	=====
Support Payments	_____	_____	Monthly Insurance Premium	_____	_____	<u>MISCELLANEOUS</u>		
Private School/College	_____	_____	Deductable & Co-Pay	_____	_____	Support-Alimony-Kids/Parents	_____	_____
Daycare	_____	_____	Dental & Vision	_____	_____	TOTAL	=====	=====
Sports Activities	_____	_____	Medication	_____	_____	<u>Insurance</u>		
TOTAL	=====	=====	Long Term Care Ins. Premium	_____	_____	Life insurance - W	_____	_____
<u>TRANSPORTATION</u>			Disability Ins. Premium	_____	_____	Life insurance - H	_____	_____
Insurance	_____	_____	TOTAL	=====	=====	Life Insurance - other	_____	_____
Gas	_____	_____	<u>EDUC/SELF-IMPROVEMENT</u>			Umbrella Ins.	_____	_____
Maintenance	_____	_____	Classes	_____	_____	TOTAL	=====	=====
Monthly Loan	_____	_____	Hobbies	_____	_____	TOTAL	=====	=====
Tags/Inspection	_____	_____	Association Fees	_____	_____	TOTAL	=====	=====
TOTAL	=====	=====	TOTAL	=====	=====	TOTAL	=====	=====
<u>FOOD/BEVERAGES</u>			<u>DEBT/INSTALLMENT PAY</u>			TOTAL	=====	=====
Groceries	_____	_____	Student Loans	_____	_____	TOTAL	=====	=====
Household Supplies	_____	_____	Credit Card	_____	_____	TOTAL	=====	=====
Wine/Beer/etc.	_____	_____	Rental Property Mtge.	_____	_____	TOTAL	=====	=====
TOTAL	=====	=====	TOTAL	=====	=====	TOTAL	=====	=====
						TOTAL	=====	=====



FINANCIAL PLANNING INCOME WORKSHEET

Name: _____

Date: _____

<u>INCOME</u>	<u>Pre-Retire</u>	<u>Retirement</u>	<u>Start Age:</u>	<u>Notes:</u>
H- Gross Salary				
W- Gross Salary				
H- Social Security				
W- Social Security				
H- Pension				
W- Pension				
H- IRA Distribution				
W- IRA Distribution				
Other _____:				
Other _____:				
Other _____:				
Other _____:				
Total Monthly Income				



Assets & Liabilities

Name: _____

Date: _____

<u>Personal Assets</u>	<u>Pre-Retire</u>	<u>Retirement</u>	<u>Liabilities</u>	<u>Pre-Retire</u>	<u>Retirement</u>
Residence	_____	_____	Mortgage	_____	_____
Seasonal Residence	_____	_____	Equity line or loan	_____	_____
Automobiles	_____	_____	Auto Loan	_____	_____
Household Furnishings	_____	_____	Installment Debt	_____	_____
Personal Property	_____	_____	Charge Cards	_____	_____
Other	_____	_____	Other Debts	_____	_____
Other	_____	_____	Other Debts	_____	_____
Other	_____	_____	TOTAL	=====	=====
Total	=====	=====			