

Financial Planning Considerations Questionnaire



FAIRWAY
FINANCIAL PARTNERS

As a fiduciary and Investment Advisor Representative, I am committed to acting in the best interests of investors. This includes providing suitable recommendations based on each investor's unique financial situation. To fulfill this duty, I must understand your financial goals, risk tolerance, and current financial picture.

Please complete the following form. Fields marked with an asterisk (*) are required.

General Information

Partner 1

*First Name: _____

*Last Name: _____

Phone: _____

Email: _____

*Age: _____

*Employment Status:

Employed Self-Employed
Retired Unemployed

*Annual Income (Pre-Tax): \$ _____

*Anticipated Retirement Age: _____

Primary Residence Address: _____

City: _____ State: _____ Zip: _____

*Marital Status: Single Married Domestic Partnership Divorced Widowed

*Number of Dependents: _____ Ages of Dependents: _____

Household Financial Assets

*What is your total net worth (excluding primary residence)? \$ _____

Including: Brokerage Accounts, Cash and Cash Equivalents (CDs, Money Market);
Other Properties Net Equity; 529 Plans, Life Policy, Cash Values, Alternative
Investments), 401(k), Traditional IRA, 403(b), Roth 401(k) Roth IRA, and Pensions

What is the total of your retirement assets as a portion of your net worth? \$ _____

Including: 401(k), Traditional IRA, 403(b), Roth 401(k) Roth IRA, and Pensions

Investment Experience

***How many years of investment experience do you have?**

In vehicles such as CDs, Stocks, Bonds, Annuities, and Mutual Funds

Partner 1

None <1 Year 1-4 Years 5+ Years

Partner 2

None <1 Year 1-4 Years 5+ Years

Federal Marginal Tax Rate

***Please select your federal marginal tax rate. If Partners file separately, please select one for each.**

Partner 1

10% 12% 22% 24%
32% 35% 37% Unsure

Partner 2

10% 12% 22% 24%
32% 35% 37% Unsure

Household Financial Goals

***What are your short-term (five years or less) financial goals and/or objectives?**

Build an Emergency Fund	Accumulate Wealth	Start a Business
Save for Retirement or Retire	Fund a Large Purchase	Evaluate Life Insurance Needs
Create an Estate Plan	Pay Off Student Loans	Protect Current Income Stream
Eliminate Debt	Invest for Children's Education	Reduce Current Tax Liabilities

***What are your long-term (greater than five years) financial goals and/or objectives?**

Eliminate Debt	Offset Inflation	Diversify Retirement Income
Maximize Earning Potential	Fund Education	Reduce Retirement Tax Liabilities
Optimize Estate Plan	Secure Retirement Income	Downsize Primary Residence
Pay Off Mortgage	Plan for Long-Term Care Needs	Maximize Social Security Benefits
Accumulate Wealth	Purchase a Second Home	Start a Business

Household Advice and Service Preferences

***How do you prefer to interact with your financial advisor? Please select all that apply.**

Advice Preferences

Rely on advice from my advisor
Make my own investment decision
Incorporate my advisor's advice in my decision

Service Preferences

Account monitoring service
Ongoing account management service
Account monitoring and management service

Financial Planning Considerations

***Please answer the following questions.**

- 1. Today, what is your confidence level that you have a sufficient amount of financial assets to accomplish your life goals before and during your retirement?**

High Medium Low Unsure

- 2. When you think about financial planning, please rank your investment objectives from 1 to 5**

Ranking: 1 being the most important and 5 the least important

____ Wealth Accumulation ____ Capital Preservation ____ Securing Retirement
____ Tax Mitigation ____ Wealth Transfer

- 3. Do you own life insurance?**

Yes No Joint Unsure

- 4. Assuming you have an income gap (expenses exceed income), what percentage (if any) would you like to secure with an investment that can help generate a guaranteed income source?**

100% 75% 50% Other _____

- 5. Balanced against your interest in investing for future growth, how concerned are you about being able to quickly access your financial assets to meet unexpected financial challenges (like medical or home repair expenses)?**

High Medium Low Unsure

- 6. How concerned are you about the risk of inflation impacting your financial objectives?**

High Medium Low Unsure

- 7. If the market experienced significant decline (~20%), how confident are you that you would not have to sell your financial assets to meet your financial objectives?**

High Medium Low Unsure

- 8. To what extent are you concerned that your financial plan could be impacted by your death or that of your partner?**

High Medium Low Unsure

- 9. When you think about financial planning, how concerned are you about limiting the impact of increasing taxes?**

High Medium Low Unsure

- 10. When thinking about your investment portfolio how would you rate the current allocation (check the box):**

Conservative

20% Equities

80% Fixed Income

Moderate

Conservative

35% Equities

65% Fixed Income

Moderate

Balanced

50% Equities

50% Fixed Income

Moderate

Aggressive

70% Equities

30% Fixed Income

Aggressive

80% Equities

20% Fixed Income

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