



## **Financial Plan Data Gathering Questionnaire**

*Personal and Confidential*

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_

## Lifestyle Goals - Before and After Retirement

### Retirement Age

When would you like to retire? Enter your Ideal Age, which is the earliest age you might like to retire. Then enter an Acceptable Age, which is the latest you could retire and still be satisfied. Finally, indicate how willing you are to delay retirement.

	Client 1		Client 2	
<b>Retirement Age</b>	Ideal Age _____	Acceptable Age _____	Ideal Age _____	Acceptable Age _____
<b>How willing are you to retire later?</b>	<input type="checkbox"/> Very Willing <input type="checkbox"/> Somewhat Willing <input type="checkbox"/> Slightly Willing		<input type="checkbox"/> Very Willing <input type="checkbox"/> Somewhat Willing <input type="checkbox"/> Slightly Willing	
<b>Who can retire first?</b> Select One:	<input type="checkbox"/> Either can retire first <input type="checkbox"/> Both retire in the same yr <input type="checkbox"/> Only Client 1 can retire first. <input type="checkbox"/> Only Client 2 can retire first.			

### Lifestyle Goals

First, enter any pre-retirement Goals that will be funded with withdrawals from your Investment Portfolio Then, think about all the Goals you would like to attain during your Retirement. Include what you need, like buying cars every few years; what you want, like taking nice trips every year; and even what you wish you could do, like helping your kids, grandkids or favorite charity. Make each need, want or wish a separate Goal, with a description, an annual cost and how often it will occur. Then put a number from 10 - 1, (10 being the highest) in the box next to each Goal to indicate its importance.



Car(s)

 \_\_\_\_\_  
 \_\_\_\_\_


Travel

 \_\_\_\_\_  
 \_\_\_\_\_


Major Purchase

 \_\_\_\_\_  
 \_\_\_\_\_


Home Improvement

 \_\_\_\_\_  
 \_\_\_\_\_


Health Care Costs

 \_\_\_\_\_  
 \_\_\_\_\_


New Home

 \_\_\_\_\_  
 \_\_\_\_\_


Start a Business

 \_\_\_\_\_  
 \_\_\_\_\_


College / Private School

 \_\_\_\_\_  
 \_\_\_\_\_


Leave Bequest

 \_\_\_\_\_  
 \_\_\_\_\_


Gift or Donation

 \_\_\_\_\_  
 \_\_\_\_\_


Wedding / Celebration

 \_\_\_\_\_  
 \_\_\_\_\_


Provide Care

 \_\_\_\_\_  
 \_\_\_\_\_


Anything Else (Other)

 \_\_\_\_\_  
 \_\_\_\_\_

 \_\_\_\_\_  
 \_\_\_\_\_

Now that you've identified your Lifestyle Goals, it's time to create a Goal for your basic Retirement Living Expenses.

### Retirement Living Expenses

Everyone must pay the bills. This Goal is for your basic day-to-day living expenses during retirement (e.g. food, clothes, utilities, etc.). By making this amount a separate Goal, you can see what it takes to "pay-the-bills" for the rest of your life. This should make your Retirement more secure and leave you free to enjoy spending money to fulfill your Retirement Lifestyle Goals.

Importance	Ideal Amount	Acceptable Amount
10	\$ _____ per year	\$ _____ per year

## Personal Information & Resources

### Personal Information

	Client 1	Client 2
Name		
Date of Birth	____/____/____	____/____/____
Employment Income	\$	\$
Net Worth (approx.)	<input type="checkbox"/> < \$250K <input type="checkbox"/> < \$500K <input type="checkbox"/> \$500K - \$1M <input type="checkbox"/> \$1M - \$2M <input type="checkbox"/> > \$2M	
State of Residence		

### Risk Tolerance

What type of Investor are you? Select one description based upon your willingness to accept investment risk.

Very Conservative  
  Conservative  
  Moderate  
  Aggressive  
  Very Aggressive



### Social Security Benefits

	Client 1	Client 2
Are you eligible?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If receiving now, enter amount	\$ _____ Per Month	\$ _____ Per Month

### Other Retirement Income *(Do not include income such as interest & dividends from investments)*

Description	Client 1		Client 2	
	Income / Month	Year It Ends	Income / Month	Year It Ends
	\$		\$	
	\$		\$	
	\$		\$	

### Investment Assets

Description	Client 1		Client 2	
	Value	Additions / Year	Value	Additions / Year
Employer Plans (e.g., 401k, 403b)	\$	\$ or %	\$	\$ or %
Traditional IRA	\$	\$	\$	\$
Roth IRA	\$	\$	\$	\$
Tax-Deferred (e.g. annuities)	\$	\$	\$	\$
529 Plans	\$	\$	\$	\$

Description	Total	
	Value	Additions / Year
Taxable	\$	\$

How much of your investments are in stocks? Enter the approximate dollar amount or percentage.		
\$	or	%

### Cash from other sources that will be used to fund Goals *(e.g. inheritance, sale of property)*

Description	Year Received	Amount (After-tax)
		\$
		\$
		\$

## Budget

### Personal and Family Expenses

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Alimony		
Bank Charges		
Books/Magazine		
Business Expense		
Care for Parent/Other		
Cash - Miscellaneous		
Cell Phone		
Charitable Donations		
Child Activities		
Child Allowance/Expense		
Child Care		
Child Support		
Child Tutor		
Clothing - Client		
Clothing - Spouse		
Clothing - Children		
Club Dues		
Credit Card Debt Payment		
Dining		
Education		
Entertainment		
Gifts		
Groceries		
Healthcare - Dental		
Healthcare - Medical		
Healthcare - Prescription		
Healthcare - Vision		
Hobbies		
Household Items		
Laundry/Dry Cleaning		
Personal Care		
Personal Loan Payment		
Pet Care		
Public Transportation		
Recreation		
Self Improvement		
Student Loan Payment		
Vacation/Travel		
Other		

### Personal Insurance Expenses

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Disability for Client		
Disability for Spouse		
Life for Client		
Life for Spouse		
LTC for Client		
LTC for Spouse		
Medical for Client		
Medical for Spouse		
Umbrella Liability		
Other		

### Taxes

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Client FICA		
Client Medicare		
Spouse FICA		
Spouse Medicare		
Federal Income		
State Income		
Local Income		
Other		

### Income

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Employment		
Other		

## Budget

### Home Expenses #1

Description: \_\_\_\_\_

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
First Mortgage		
Second Mortgage		
Equity Line		
Real Estate Tax		
Rent		
Homeowner's Insurance		
Association Fees		
Electricity		
Gas/Oil		
Trash Pickup		
Water/Sewer		
Cable/Satellite TV		
Internet		
Telephone (land line)		
Lawn Care		
Maintenance - Major Repair		
Maintenance - Regular		
Furniture		
Household Help		
Other		

### Vehicle Expenses #1

Description: \_\_\_\_\_

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Loan Payment		
Lease Payment		
Insurance		
Personal Property Tax		
Fuel		
Repairs/Maintenance		
Parking/Tolls		
Docking/Storage		
Other		

### Vehicle Expenses #2

Description: \_\_\_\_\_

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Loan Payment		
Lease Payment		
Insurance		
Personal Property Tax		
Fuel		
Repairs/Maintenance		
Parking/Tolls		
Docking/Storage		
Other		

## Budget

### Home Expenses #2

Description: \_\_\_\_\_

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
First Mortgage		
Second Mortgage		
Equity Line		
Real Estate Tax		
Rent		
Homeowner's Insurance		
Association Fees		
Electricity		
Gas/Oil		
Trash Pickup		
Water/Sewer		
Cable/Satellite TV		
Internet		
Telephone (land line)		
Lawn Care		
Maintenance - Major Repair		
Maintenance - Regular		
Furniture		
Household Help		
Other		

### Vehicle Expenses #3

Description: \_\_\_\_\_

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Loan Payment		
Lease Payment		
Insurance		
Personal Property Tax		
Fuel		
Repairs/Maintenance		
Parking/Tolls		
Docking/Storage		
Other		

### Vehicle Expenses #4

Description: \_\_\_\_\_

Category	Monthly Budget Amount	
	Current	Alt 1 / Retirement
Loan Payment		
Lease Payment		
Insurance		
Personal Property Tax		
Fuel		
Repairs/Maintenance		
Parking/Tolls		
Docking/Storage		
Other		

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