MSB Wealth Management, Inc.

353 BANK DRIVE ▪ McHENRY, ILLINOIS 60050 ▪ (815) 331-6464

Confidential Questionnaire

Answering this questionnaire will ensure that the time spent with your Wealth Advisor is efficient and productive.

Personal Information

Client Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?
Home Address Street		City	State		Zip
Home Phone	Home Fax	Home Email			
Occupation				Employer	
Work Address Street		City	State		Zip
Client Work Phone	Work Fax	Work Email			
Spouse/Partner Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?
Spouse Occupation				Spouse Employer	
Spouse Work Phone	Work Fax	Work Email			

Dependents (please include adult dependents)

Dependent Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?	From revious Marriage? (y/n)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?	From previous Marriage? (y/n)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?	From previous Marriage? (y/n)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?	From previous Marriage? (y/n)
Dependent Last Name	First Name	MI	Date of Birth	State of Birth	Citizenship?	From previous Marriage? (y/n)

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Anticipated Changes

Please check all that are likely to occur within the next 12 months.

Marriage		Make an Investment		Retirement	
Have a child		Inheritance		Increase Savings	
Graduation		Buy or Sell a Home		Dependent Parent	
Divorce		Job hange or Promotion		Obtain a Loan	
Buy a Business		Sell a Business		Death of a Family Member	
Payoff a Loan		Bonus or Salary Increase		Return to Work	

Other:

Household Income

Under $50,000		$150,000 - $250,000	
$50,000 - $70,000		$250,000 - $500,000	
$70,000 - $100,000		$500,000 - $1M	
$100,000 - $150,000		$1M+	

Types of Assets Owned

	Home		Business/Practice
	Second Home		IRA/SEP
	Other Residential Real Estate		Other Retirement Plans
	Savings Account/CD's		Tax-Free Funds
	Money Market Account		Limited Partnerships
	Commercial Real Estate		Commercial Notes/Trust Deeds
	Stocks/Bonds		Stock Options
	Term Life Insurance		Annuities
	Cash Value Life Insurance		Unit Investment Trusts
	Mutual Funds		Separate Accounts

Other:

What is the best investment you ever made?

What is the worst investment you ever made?

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Assets and Liabilities

	Total Assets		Total Liabilities
	Under $100,000		Under $100,000
	$100,000 - $250,000		$100,000 - $250,000
	$250,000 - $500,000		$250,000 - $500,000
	$500,000 - $1,000,000		$500,000 - $1,000,000
	$1,000,000 - $2,500,000		$1,000,000 - $2,500,000
	$2,500,000 - $5,000,000		$2,500,000 - $5,000,000
	$5,000,000 - $10,000,000		$5,000,000 - $10,000,000
	$10,000,000+		$10,000,000+

How much of a financial risk taker are you?

1 2 3 4 5 6 7 8 9 10

Low Risk High Risk

Is there any other pertinent information that you would like us to know?

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Values Questionnaire

It is important for your financial planning team to learn what is important to you. Your PWA team can help you make investment-related decisions tailored to your financial situation, needs, goals, risk tolerance, and time horizon. To help us create a starting point for a conversation about your goals, please cross out any items below that are NOT important to you and then number the remaining in order of priority.

- ◊ ________ Personal Challenges/Growth
- ◊ ________ Feeling Important
- ◊ ________ Feeling Valuable
- ◊ ________ Privacy
- ◊ ________ Time With Family
- ◊ ________ Spirituality
- ◊ ________ Planning for Future Generations
- ◊ ________ Control
- ◊ ________ Free Time
- ◊ ________ Managing /Protecting Assets
- ◊ ________ Managing Taxes
- ◊ ________ Estate Planning
- ◊ ________ Current Income
- ◊ ________ Future Income
- ◊ ________ Mentoring/Influencing Others
- ◊ ________ Altruism

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Values Questionnaire Continued

Please answer the questions below to help your financial planning team get to know you better.

What do you expect from a planning relationship?

How would you define success?

Are you detail or concept oriented?

Do you work from your head or your heart?

What is your biggest success?

What are your major regrets?

How does someone earn your trust?

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Vital Document Checklist

Below are documents we recommend providing us in order to begin your financial plan. Please check any documents you have and are returning to us to make sure we inventory all information provided.

Income and Expense Documents

- ☐ Values Questionnaire (Form Supplied)
- ☐ Living expenses (Form Supplied)
- ☐ Most recent payroll stubs
- ☐ Recent credit card statement(s)

Account Statements

- ☐ Retirement plan
- ☐ 401k
- ☐ 403b
- ☐ 457b
- ☐ Traditional IRA
- ☐ Simple IRA
- ☐ Roth IRA
- ☐ SEP IRA
- ☐ Inherited IRA Accounts
- ☐ Annuities
- ☐ Checking and/or savings/cash/CD's
- ☐ Personal Brokerage

Real Estate and Physical Assets

- ☐ Property appraisals (if available)
- ☐ Recent mortgage statement(s)
- ☐ Second home
- ☐ Current deed title to physical real estate
- ☐ Boats/yacht

Insurance and Benefits Documents

- ☐ Most recent Social Security benefit estimate statement (www.ssa.gov)
- ☐ Pension benefit statements and description if available (including survivor benefits)
- ☐ Personal employment benefit statements and company
- ☐ Personal Life Insurance Policy Statements
- ☐ Personal Disability Insurance Statements
- ☐ Personal Long-Term Care Insurance Statements

Legal Documents

- ☐ Legal Wills
- ☐ Durable powers of attorney
- ☐ Healthcare Directives/Living Wills
- ☐ Trusts you may have (Living Trust, Life Insurance, etc.)
- ☐ Trusts you administer
- ☐ LLC documents
- ☐ Pre/Post Nuptial agreement

Business Owners Planning

- ☐ Company benefit booklet(s) including 401(k), health plan, disability and any other benefits
- ☐ Most recent balance sheet
- ☐ Most recent corporate tax return
- ☐ Business related life insurance policies
- ☐ Business related disability policies
- ☐ Company qualified Plan Documentations of Summary Plan Description if readily available
- ☐ Most recent 5500 statement (Qualified & Group Plans)
- ☐ Business buy-sell agreement, deferred compensation arrangement or stock options documents
- ☐ Any recent (within 3 years) business valuation appraisals