

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



CONFIDENTIAL QUESTIONNAIRE

Client	Co-Client
Legal First Name:	Legal First Name:
Nickname:	Nickname:
Middle Name:	Middle Name:
Last Name:	Last Name:
Birth date:	Birth date:
SSN:	SSN:
Country of Citizenship:	Country of Citizenship:
Marital Status:	
How did you hear of ElderAdo Financial?	

Home Address	Home Address <i>(If different)</i>
Preferred Mailing Address: <input type="checkbox"/> Physical Address <input type="checkbox"/> PO Box	Preferred Mailing Address: <input type="checkbox"/> Physical Address <input type="checkbox"/> PO Box
Street:	Street:
PO Box:	PO Box:
City:	City:
State:	State:
Zip:	Zip:
Cell:	Cell:
Home Phone:	Home Phone:
Email:	Email:

Employment	Employment
Name of Employer:	Name of Employer:
Street or PO Box:	Street or PO Box:
City/State/Zip:	City/State/Zip:
Phone:	Phone:
Email:	Email:
Occupation:	Occupation:

**Regulatory Questions**

- ☐ Check box if you, any member of your immediate family, personal or business associate is a senior political figure.  
Please explain: \_\_\_\_\_
- Specify any publicly traded company of which you are a director, 10% shareholder or officer: \_\_\_\_\_
- Specify any securities firm with which you or immediate family are affiliated: \_\_\_\_\_

## Wills / Trusts

Do you have a will? Yes \_\_\_ No \_\_\_ Date \_\_\_\_\_ Do you have a trust? Yes \_\_\_ No \_\_\_ Date \_\_\_\_\_

### Children *(add additional sheet as needed)*

Child #1	Birth Date:	SSN:
Address:	Beneficiary % (if applicable):	
Child #2	Birth Date:	SSN:
Address:	Beneficiary % (if applicable):	
Child #3	Birth Date:	SSN:
Address:	Beneficiary % (if applicable):	

### Current Assets/Investments *(attach separate sheet as needed or include copies of statements)*

Type of Asset <i>(IRA, Savings, Annuity, 401(k), gold, 457, etc.)</i>	Owner of Asset <i>(Self, Spouse, Child)</i>	Invested In <i>(Stock, Cash, CD, Mutual Fund, ETF, etc.)</i>	Value	Are you satisfied with service, investment return, etc.?
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	

### Current Real Estate Holdings *(attach extra sheet as needed)*

Type Of Real Estate	Owner of Asset <i>(Self, Spouse, Child)</i>	Fair Market Value <i>(How much it's worth)</i>	Balance <i>(How much owed)</i>	Interest Rate
Primary Residence		\$	\$	%
Second Residence		\$	\$	%
Investment Property		\$	\$	%
Investment Property		\$	\$	%

## Investing with ElderAdo

What is your primary financial concern? \_\_\_\_\_

What are your expectations concerning working with us? *(Performance reports, customer service, how often contacted, etc.)*

\_\_\_\_\_

What is your preferred contact method: ☐ Cell ☐ Home Phone ☐ Work Phone ☐ Email ☐ Work Email ☐ Other \_\_\_\_\_

We deliver performance reports to clients electronically through a secure web portal.

What is your preferred email for these reports? \_\_\_\_\_

Is there a certain time of year that we should call you and/or send correspondence to any alternative location? ☐ Yes ☐ No

Please explain & provide alternative address: \_\_\_\_\_

## Investment Account Profile

### Time Horizon – *Your current situation and future income needs*

#### What is your current age?

- ☐ Less than 45      ☐ 45 to 55      ☐ 56 to 65      ☐ 66 to 75      ☐ Older than 75

#### When will you need to make withdrawals from your investment for income or other needs?

- ☐ Immediately      ☐ Within 5 years      ☐ 5-10 years      ☐ 10 to 20 years      ☐ Not for at least 20 years

### Long-Term Goals & Expectations – *Your views of how an investment should perform over the long-term*

#### What is your long-term goal for this investment?

- ☐ To grow aggressively  
☐ To grow significantly  
☐ To grow moderately  
☐ To grow with caution  
☐ To avoid losing money

#### Assuming normal market conditions, what would you expect from this investment over time?

- ☐ To generally keep pace with the stock market  
☐ To slightly trail the stock market, but make a good profit  
☐ To trail the stock market, but make a moderate profit  
☐ To have some stability, but make modest profits  
☐ To have a high degree of stability, but make small profits

#### Suppose the stock market performs unusually poorly over the next decade.

#### What would you expect from this investment?

- ☐ To lose money  
☐ To make very little or nothing  
☐ To make a little gain  
☐ To make a modest gain  
☐ To be little affected by what happens in the stock market

### Short-Term Risk Attitudes – *Your attitude towards short-term volatility*

#### Which of these statements would best describe your attitudes about the next 3 years performance?

- ☐ I don't mind if I lose money  
☐ I can tolerate a loss  
☐ I can tolerate a small loss  
☐ I'd have a hard time tolerating any losses  
☐ I need to see at least a little return

#### Which of these statements would best describe your attitudes about the next 3 months performance?

- ☐ Who cares? One calendar quarter means nothing  
☐ I wouldn't worry about losses in that time frame  
☐ If I suffered a loss of greater than 10%, I'd get concerned  
☐ I can only tolerate small short-term losses  
☐ I'd have a hard time stomaching any losses

## Investment Account Profile cont.

### Investment Approach

**The goals for this account are:**

☐ Retirement ☐ Education ☐ Emergency Funds ☐ Vacation ☐ Car ☐ Home ☐ Other \_\_\_\_\_

**My investment objectives for this account are (select all that apply):**

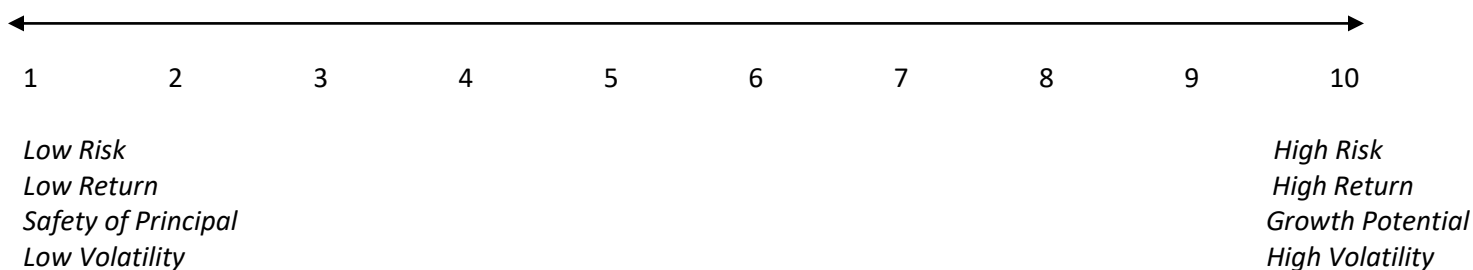
☐ Safety of Initial Investment ☐ Income ☐ Growth ☐ Tax Advantaged ☐ Diversification  
☐ Steady Income Stream ☐ Other \_\_\_\_\_

**What's the worst investment you've made (if applicable)?** \_\_\_\_\_

**The Investment Styles for This Account Are:**

☐ Conservative ☐ Moderately Conservative ☐ Moderate ☐ Moderately Aggressive ☐ Aggressive

### Sliding Scale: On a scale of 1-10 indicate your preference for your investments.



I agree that the above statements are accurate and true to the best of my knowledge.

I also understand that Elderado Financial will use this information to provide advice and recommendations.

**Client Printed Name:** \_\_\_\_\_

**Client Signature:** \_\_\_\_\_

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

**Spouse Printed Name:** \_\_\_\_\_

**Spouse Signature:** \_\_\_\_\_

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