



## NEW CLIENT DOCUMENT CHECKLIST

To make the most of our time together, please complete the enclosed client data sheet, Investor Profile Questionnaire and bring them both with you to your scheduled appointment along with the pertinent documents listed below as they pertain to your financial life.

### Please Bring These Pertinent Financial Documents

- ☐ Applicable Investment Property and/or Business Documentation (Income and Expenses)
- ☐ Insurance Policy Declarations Pages (Home, Auto, Life, LTC, Disability, Medical, etc.)
- ☐ Retirement Plan Statements (IRA, Roth, 401(k)/PSP, 403(b)/TSA, SEP, SIMPLE, etc.)
- ☐ Estate Planning Documents (Trusts, Wills, Powers of Attorney, etc.)
- ☐ Liability Statements (Mortgages, Credit Cards, Student Loans, etc.)
- ☐ Social Security Statement(s) – can be retrieved at [www.ssa.gov](http://www.ssa.gov)
- ☐ Brokerage, Mutual Fund and/or Money Market Statements
- ☐ One Form of Identification (Driver's License, Passport, etc.)
- ☐ Pension Plan Documents (PERS, STRS, FERS, etc.)
- ☐ Bank, Savings and/or Credit Union Statements
- ☐ Most Recently Updated Budget
- ☐ Employee Benefits Booklet(s)
- ☐ Most Recent Tax Return
- ☐ Most Recent Paystub(s)

Electronic PDF copies are welcome for each of the above. If you would like to submit them in advance, we would be happy to establish a secured online vault for you to upload them to. Alternatively, you are welcome to bring original hard-copies to the office, which we will scan in and hand (or mail) back to you; no need to make copies. If you have questions regarding any of the above, please call or email the office in advance of your appointment and we will be happy to walk you through how they may apply to you. We look forward to seeing you.

- *Your RedRock Financial Team*

A large, stylized graphic of three overlapping mountain peaks or a stylized 'R' in a light red color, located at the bottom right of the page.

DATE:

<b>Client</b>	Name & Nickname:	Citizenship:
	Marital Status:	Previously Married:
	Date of Birth:	Birth State:
	SSN:	Military:
	Home Address:	Home Phone:
	Mailing Address:	Cell Phone:
	Primary Email:	Preferred Comm. Method:
	Employer Name:	Job Title & Years:
	Employer Address:	Industry:
	Business Phone:	Business Email:
	Trusted Contact Person:	Relation:
	Phone Number:	Email:

<b>Co-Client</b>	Name & Nickname:	Citizenship:
	Marital Status:	Previously Married:
	Date of Birth:	Birth State:
	SSN:	Military:
	Home Address:	Home Phone:
	Mailing Address:	Cell Phone:
	Primary Email:	Preferred Comm. Method:
	Employer Name:	Job Title & Years:
	Employer Address:	Industry:
	Business Phone:	Business Email:
	Trusted Contact Person:	Relation:
	Phone Number:	Email:

<b>Beneficiaries</b>	Name:	SSN:	Birthday:	Relationship:
	Name:	SSN:	Birthday:	Relationship:
	Name:	SSN:	Birthday:	Relationship:
	Name:	SSN:	Birthday:	Relationship:
	Name:	SSN:	Birthday:	Relationship:
	Name:	SSN:	Birthday:	Relationship:
	Name:	SSN:	Birthday:	Relationship:
	Name:	SSN:	Birthday:	Relationship:

<b>Financial</b>	Estimated Household Income: \$			
	Estimated Household Net Worth (Do Not Include Primary Residence): \$			
	Estimated % of your net worth invested in each asset class (must total 100% - do not include primary residence)		What year did you first invest in each of the following: (N/A if not applicable)	
	Cash	%		Annuities
	Mutual Funds	%		Mutual Funds
	Real Estate	%		Stocks
	Alternative Investments	%		Bonds
	Stocks	%		Partnerships
	Annuities	%		Margin
	Insurance	%		Options
Bonds	%		Other (please specify)	
Other (please explain)	%			

<b>Professional</b>	CPA:	Phone:
	Attorney:	Phone:
	Insurance Agent:	Phone:
	Notes:	

# INVESTOR PROFILE QUESTIONNAIRE

Name \_\_\_\_\_

Address \_\_\_\_\_

Day phone \_\_\_\_\_

Evening phone \_\_\_\_\_

Email \_\_\_\_\_

Financial advisor \_\_\_\_\_



# INVESTOR PROFILE QUESTIONNAIRE

## Building Your Financial Foundation.

The Investor Profile Questionnaire is designed to help you gain an in-depth understanding of your investment objective, which serves as the foundation of your portfolio and guides us in making investment recommendations. Your **investment objective** is based on many factors, including your time horizon, financial goals, and risk tolerance. To build your portfolio, you must clearly define your financial goals. Short-term goals may include buying a house or financing a dream vacation. Long-term goals may include saving for your child's education or planning for your retirement.

Your **time horizon** defines when you hope to achieve a goal. It could be 1 to 5 years, 5 to 10 years, 15 years, 30 years, or more.

Risk is an unavoidable part of investing. Historically, investments with higher return potential have required a higher tolerance for risk. Therefore, by clearly defining your **risk tolerance**, we'll be better prepared to choose the most appropriate investments for your portfolio.

Over time, your goals and financial situation may change. It's important for us to discuss any changes, as your original investment objective may need to be re-evaluated.

## Determining Your Investment Objective.

This self-scoring questionnaire will help us determine your investment objective. Answer each question by writing the corresponding number in the box to the right of each question, then total the numbers for each section. Fill in the scorecard on the last page to determine your investment objective.

## Time Horizon

Your Score

### 1. What is your age?

- 56 and over .....1  
46-55 .....2  
36-45 .....3  
20-35.....4

### 2. What is your primary financial goal?

- Wealth preservation .....1  
Retirement planning .....2  
Wealth accumulation .....3

### 3. What is the time frame in which you hope to achieve your financial goals?

- 0-5 years .....1  
5-10 years .....2  
10 years or longer .....3

Time Horizon Total

## Financial Goals

### 4. Which of the following best describes your financial goals?

- Preserving principal and earning a moderate amount of current income .....1  
Generating a high amount of current income .....2  
Generating some current income and growing assets over an extended time frame .....3  
Growing assets substantially over an extended time frame .....4

### 5. In five years, how do you expect your standard of living to compare to what it is today?

- Less than it is today .....1  
The same as it is today .....2  
Somewhat higher than it is today .....3  
Substantially greater than it is today .....4

### 6. Five years from today, you expect your portfolio value to be:

- Portfolio value is not my primary concern; I am more concerned with current income .....1  
The same as or slightly more than it is today .....2  
Greater than it is today .....3  
Substantially greater than it is today .....4

### 7. Generating current income from your portfolio is:

- A primary concern (only if you are about to retire) .....1  
Not important .....2

### 8. With the income generated from your portfolio, you plan to:

- Use it for living expenses .....1  
Use some and reinvest some .....2  
Reinvest all income .....3

Financial Goal Total

## Risk Tolerance

Your Score

### 9. Imagine you've just received a large amount of money. How would you invest it?

- I would invest in something that offered moderate current income and was very conservative. ....1
- I would invest in something that offered high current income with a moderate amount of risk. ....2
- I would invest in something that offered high total return (current income plus capital appreciation) with a moderately high amount of risk. ....3
- I would invest in something that offered substantial capital appreciation even though it has a high amount of risk. ....4

### 10. Which of the following statements would best describe your reaction if the value of your portfolio were to suddenly decline by 15%?

- I would be very concerned because I can't accept fluctuations in the value of my portfolio. ....1
- If the amount of income I receive was unaffected, it wouldn't bother me. ....2
- Although I invest for long-term growth, even a temporary decline would concern me. ....3
- Because I invest for long-term growth, I would accept temporary fluctuations due to market influences. ....4

### 11. Which of the following investments would you feel most comfortable owning?

- Certificates of deposit.....1
- U.S. government securities .....2
- Blue-chip stocks.....3
- Stocks of new growth companies .....4

### 12. Which of the following investments would you least like to own?

- Stocks of new growth companies .....1
- Blue-chip stocks.....2
- U.S. Government securities.....3
- Certificates of deposit.....4

### 13. Which of the following investments do you feel are the most ideal for your portfolio?

- Certificates of deposit.....1
- U.S. government securities .....2
- Blue-chip stocks.....3
- Stocks of new growth companies .....4

### 14. How optimistic are you about the long-term prospects for the economy?

- Very pessimistic .....1
- Unsure .....2
- Somewhat optimistic .....3
- Very optimistic .....4

### 15. Which of the following best describes your attitude about investments outside the U.S.?

- Unsure .....1
- I believe the U.S. economy and foreign markets are interdependent. ....2
- I believe overseas markets provide attractive investment opportunities. ....3

Risk Tolerance Total

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## Investor Scorecard

Time Horizon Total .....

x 1 =

Financial Goals Total .....

x 2 =

Risk Tolerance Total .....

x 3 =

The total for each section is multiplied by a number that represents the overall importance of that section when determining your investment objective.

**Total Score**

Match your total score with one of the investment objectives listed below. If your score is near the top or bottom of an Adjusted Total Range, you may want to examine the next or previous objective to determine which represents your needs more accurately.

**34-57**

**58-83**

**84-99**

**100-114**

**115-125**

**Income with  
Capital Preservation**

**Income with  
Moderate Growth**

**Growth  
with Income**

**Growth**

**Aggressive  
Growth**

INCREASING RISK, VOLATILITY, AND RETURN EXPECTATIONS

- Need for capital preservation and current income
- No focus on growth
- Lowest tolerance for risk
- Shortest investment horizon

- Need for current income
- Moderate focus on growth
- Low tolerance for risk
- Short/intermediate investment horizon

- Equal focus on growth and current income
- Moderate tolerance for risk
- Intermediate investment horizon

- Little need for current income
- Focus on growth
- High tolerance for risk
- Intermediate/long investment horizon

- No need for current income
- Focus on aggressive growth
- Highest tolerance for risk
- Long investment horizon

The investment objectives shown are for illustrative purposes only. Your investment objective is based on many factors including, your financial situation, tolerance for risk, time horizon, and other financial needs. Consult your financial advisor if you have any questions.

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Not Insured by FDIC/NCUA or Any Other Government Agency	Not Bank/Credit Union Guaranteed	Not Bank/Credit Union Deposits or Obligations	May Lose Value
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