STOREY
& ASSOCIATES

# FINANCIAL DATA GATHERING QUESTIONNAIRE

*Personal and Confidential*

## INVESTMENT ASSETS

*Please provide us with the following statements for your banking and investments accounts.*
*These accounts can be held either individually by you or by your spouse or held jointly.*
**(STATEMENTS PROVIDED SHOULD BE DATED WITHIN THE LAST 30 DAYS)**

1. Bank Accounts (Checking, Savings, Money Markets and Certificates of Deposit) ☐
2. Investment Accounts – Employer Plans (401k, 403b, P/S Plan) ☐
3. Investment Accounts – IRA's/Roth IRA's ☐
4. Investment Accounts – Brokerage Accounts (Joint and Individual Accounts) ☐
5. Investment Accounts – Stock Options – **If Applicable** ☐
6. Investment Accounts – Restricted Stock Plans – **If Applicable** ☐
7. Investment Accounts – Annuities (Variable and Fixed Rate Contracts) ☐

## EDUCATION PLANNING ASSETS

*Please provide us with the following statements for your children's college savings accounts.*

1. Educational Savings Accounts/529 Plans/UTMA's – For each individual child or trust. ☐

## REAL & PERSONAL PROPERTY

*Please list your Homes, Automobiles, Boats, Furnishings, Other Personal Property*

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: ____________

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: ____________

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: ____________

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: ____________

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: ____________

## BUSINESS PROPERTY AND INTERESTS & RENTAL REAL ESTATE

*Please list any business property or business ownerships, along with any rental real estate that you or your spouse own.*

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: __________

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: __________

Description: ______________________________

Ownership: Joint ☐ Client ☐ Spouse ☐ Trust ☐ Estimated Value: __________

## INSURANCE POLICIES

*Please provide a copy of your most recent policy or declarations page for each of the items requested below, including any policies for both you and your spouse.*

1. Life Insurance Policies – (Whole, Term, Universal, Variable, and Employer-Provided Policies) ☐
2. Property & Casualty Insurance Policies – Homeowners Policy ☐
   **Please provide for each home owned.**
3. Property & Casualty Insurance Policies – Automobile Policy ☐
   **Please provide for each automoblie owned.**
4. Property & Casualty Insurance Policies – Umbrella Policy ☐
5. Disability Insurance Policies – **If Applicable** ☐
6. Long Term Care Insurance Policies – (Home Care, Nursing Home/Other Policies) ☐

## FUTURE ASSETS – (INHERITANCE, GIFTS, SETTLEMENT, ETC.)

*Will you or your spouse be receiving any assets in the future (See Examples Above)?* Yes ☐ No ☐

- If yes, please provide details and an estimate of the value of the amount: $
- If yes, please provide details and an estimate of the value of the amount: $

## RETIREMENT INCOME

### SOCIAL SECURITY – STATE FUNDED RETIREMENT PLANS

1. Social Security Benefit Statement – Both you and your spouse ☐
2. State – Funded Retirement Plan Statement (Annual Statement) ☐

# EMPLOYEE BENEFITS

## Pension – Lump Sum Distribution

*Will anyone be receiving a lump sum distribution from your company pension plan?* Yes ☐ No ☐

- If yes, please provide a copy of your most recent statement from your employer. ☐
- If yes, please provide a copy of your spouse's most recent statement from their employer. ☐
- Please estimate the value of the amounts (if applicable): $
- Please estimate the value of the amounts (if applicable): $

## Pension – Monthly Benefits

*Will you or your spouse be receiving a monthly distribution from your company pension plan?* Yes ☐ No ☐

*Are you receiving it now or in the future?* Now ☐ Future ☐

- If in the future, please provide a copy of your most recent statement from your employer. ☐
- If in the future, please provide a copy of spouse's most recent statement from their employer. ☐
- If you are currently receiving a benefit, please provide the amount: $
- If you are currently receiving a benefit, please provide the amount (Spouse): $

## Deferred Compensation Plans

*Are you or your spouse participating in a deferred compensation plan with your company?* Yes ☐ No ☐

***If yes,*** *are you receiving the benefits now or will you be receiving it in the future?* Now ☐ Future ☐

*Deferred Compensation – (Receiving Now)*

- If yes, please provide a copy of your most recent statement from your former employer. ☐
- If yes, please provide a copy of your spouse's most recent statement from their former employer. ☐

*Deferred Compensation – (Future)*

- If yes, please provide a copy of your most recent statement from your employer. ☐
- If yes, please provide a copy of your spouse's most recent statement from their employer. ☐

## INCOME TAX RETURNS & PLANNING

1. Please provide the **prior 2 years** of your individual tax returns (Federal, State, and Local) and any other tax returns that you have prepared or have had prepared (Trusts, Businesses, Etc.) ☐
2. Please provide the most recent paystubs for both you and your spouse. ☐

## ESTATE PLANNING

*Do you and your spouse have the following documents?*
***If yes, please provide us a copy of each.***

| | Client | Spouse |
|---|---|---|
| WILLS: | Y ☐ N ☐ | Y ☐ N ☐ |
| LIVING TRUSTS: | Y ☐ N ☐ | Y ☐ N ☐ |
| POWERS OF ATTORNEY: | Y ☐ N ☐ | Y ☐ N ☐ |
| LIVING WILLS: | Y ☐ N ☐ | Y ☐ N ☐ |
| OTHER: | Y ☐ N ☐ | Y ☐ N ☐ |

## LIABILITIES

*Please provide us with the following statements for any liabilities or personal debts held against your assets. These accounts can be held either individually by you or your spouse or jointly.*

1. Home and Land Loans (Mortgage on Primary Residence, Mortgage on Vacation Home, etc.) ☐
2. Automobile Loans (Loans on any vehicles or lease information) ☐
3. Equity Line of Credit (Credit against your Primary Residence) ☐
4. Business Loans (Any line of credit against any business interests) ☐
5. Personal Lines of Credit (Credit cards and any unsecured credit) ☐

## CONTACT US

If you have any questions, please feel free to contact us at **(330) 526-8944**
or email Ryan Bayonnet at **rbayonnet@storeyassociates.com**
or Kendra Mazzei at **kmazzei@storeyassociates.com**