



Member: FINRA - SIPC

At WWK, we realize that your time is valuable. Completing the questionnaire ahead of time allows you to spend sufficient time answering a vast array of factors critical in planning for your retirement. Without it, questions often go unanswered because information is not readily available. Additionally, we are able to spend ample time to conduct research and analysis, avoiding gaps in planning. We are then able to spend more face-to-face time reviewing our findings and recommendations. Keep in mind, there are no costs for this evaluation service, nor are you under any obligation. As always, all information is strictly confidential.

Confidential Client Questionnaire

PERSONAL INFORMATION

Name		CHILDREN	DATE OF BIRTH
Address			
City		State	Zip
Home Phone			
Year In Which You Began Investing			
		CLIENT	SPOUSE
Date of Birth			
Social Security #			
Driver's License #			
Work Phone			
Mobile Phone			
E-mail Address			
Employer			
Address			
City / State / Zip			
Occupation			
Expected Retirement Date			
Current Earned Income			
Rental Income			
Other			
Estimated Ongoing Investments (annually)			
Estimated Anticipated Employer Match (annually)			

RETIREMENT INCOME & RISK TOLERANCE

Estimated after-tax monthly income you will need to assure a comfortable retirement (in today's dollars)		\$	
SOCIAL SECURITY Please refer to your annual Social Security Statement. You can also estimate your benefits on the Social Security website, www.ssa.gov/oact/quickcalc .	\$	START AGE	
PENSION Pensions paid in a lump sum should be entered on the Assets Page under "Retirement Assets."	\$	START AGE	
	PAYMENT TYPE: <input type="checkbox"/> Life Annuity <input type="checkbox"/> 50% Joint & Survivor <input type="checkbox"/> 5-Year Certain & Continuous <input type="checkbox"/> 75% Joint & Survivor <input type="checkbox"/> 10-Year Certain & Continuous <input type="checkbox"/> 100% Joint & Survivor <input type="checkbox"/> 15-Year Certain & Continuous		
PART-TIME WORK	\$		\$

RISK TOLERANCE

MORE RISK



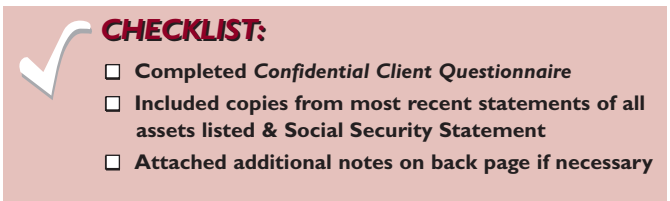
LESS RISK

PLEASE SELECT ONE:

- N/A Speculative** – Owning large holdings in individual stocks, options or other individual securities. Greatest chance for large losses.
- High Growth** – Opportunity to significantly exceed inflation with a diversified portfolio. High chance of short-term declines.
- Moderate Growth** – Opportunity to moderately exceed inflation with a diversified portfolio. Moderate chance of short-term declines.
- Balanced** – Opportunity to exceed inflation with a diversified portfolio of stocks and bonds. Still a chance of smaller short-term declines.
- Conservative** - Opportunity to slightly outpace inflation with a diversified portfolio of stocks and bonds. Losses less frequent in occurrence.
- Capital Preservation** – Opportunity to protect capital with largest risk being inflationary pressures.

ASSETS			
	CLIENT	SPOUSE	JOINT ACCOUNTS
LIQUID ASSETS			
Checking/Savings			
Money Market/CD			
Brokerage (Stocks/Bonds)			
Mutual Funds			
College Savings			
Other:			
RETIREMENT ASSETS			
Current 401(k), 403(b), SEP, etc.			N/A
Former Retirement Plan Assets			N/A
Traditional IRA			N/A
Roth IRA			N/A
Annuity (Fixed or Variable)			
Pension (Cash Value If Available)			
Other:			
ILLIQUID ASSETS			
Life Insurance Face Amount			
Life Insurance Cash Value			
Autos (Estimated Value)			
Primary Residence			
Second Residence			
Rental			
Business Ownership			
Total Assets		\$	

LIABILITIES				
	BALANCE	RATE	YEAR BORROWED	TERM
Mortgage (Primary)				
Home Equity				
Mortgage (Other)				
Auto #1				
Auto #2				
Credit Card				
Other				
Total Liabilities		\$		

MISCELLANEOUS			
DO YOU HAVE:	Yes	No	Need
Will	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Living Trust	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Health Care/Financial POA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Attorney (Name/Phone)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CPA (Name/Phone)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PLEASE SELECT ONE:			
<input type="checkbox"/> I/we prefer to invest in lower cost products without guarantees of income or principal guarantees for heirs.			
<input type="checkbox"/> I/we prefer to invest in products that contain protection for heirs even though annual charges are higher.			
<input type="checkbox"/> I/we prefer to invest in products that provide guaranteed income payments even though annual charges are higher.			
		 CHECKLIST: <ul style="list-style-type: none"> <input type="checkbox"/> Completed Confidential Client Questionnaire <input type="checkbox"/> Included copies from most recent statements of all assets listed & Social Security Statement <input type="checkbox"/> Attached additional notes on back page if necessary 	
_____ Client Signature		_____ Spouse Signature	
		_____ Date	

Notes...



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