

# Morgan Stanley

The North Central Group  
at Morgan Stanley



# Client Questionnaire

**WHILE YOU'RE TAKING CARE  
OF YOUR COMPANY'S FUTURE,  
WHO IS TAKING CARE OF YOURS?**

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## The North Central Group at Morgan Stanley

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### **The North Central Group**

We are dedicated to working exclusively with corporate executives and their families. While you are busy managing your company's future, our team focuses on taking care of yours by:

- Aligning your corporate wealth-building tools and benefits with your personal financial goals
- Providing you a professional network to create solutions for your estate and tax planning needs
- Delivering a time-efficient process to monitor and review your wealth planning goals

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### **Our Experience**

As a corporate executive, you face many complex challenges. Often, the demands of your job leave you little time to focus on your personal financial plan. We understand these complexities and have the experience to combine many issues into a comprehensive strategy designed to help achieve your short-term and long-term financial goals.

Being employed at a publicly traded company, you face unique challenges when creating and managing your personal financial plan. Issues such as stock option planning, regulatory and company trading restrictions, and concentrations in company stock are very common. Some of the strategies can be complicated, requiring navigation through various legal, tax, and estate planning concepts. Our team has the proficiency to help determine which planning techniques and strategies can be implemented toward your long-term financial objectives.

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### **About The North Central Group**

Together with Morgan Stanley's technology and resources, we have created a team that is well suited for today's corporate executive and their demands. Over seven decades of combined investment experience has taught us that every solid investment portfolio begins with an understanding of a client's investment objective and a tailored plan to attain those goals. The North Central Group takes pride in offering highly customized portfolio solutions coupled with a service team that is tops in the industry. We are dedicated to working exclusively with corporate executives and their families. From the initial discovery meeting, where we help develop and define specific objectives, to the implementation and management of a personalized investment solution we guide clients from the workplace to retirement.

# Client Questionnaire

## General Information

### CLIENT 1

Client Name

Date of Birth

Home Address

City

State

Zip

Home Phone

Mobile Phone

E-mail Address

### CLIENT 2

Spouse Name

Date of Birth

## Employment Data

### CLIENT 1

Employer

\$

Annual Income

\$

Additional Income

From

Estimated Retirement Date

Age

\$

Social Security Income (Self)

At Age

\$

Retirement Income Needed

### CLIENT 2

Employer

\$

Annual Income

\$

Additional Income

From

Estimated Retirement Date

Age

\$

Social Security Income (Spouse)

At Age

☐ before or ☐ after tax

## Participants

### LIST ANY CHILDREN, GRANDCHILDREN, OR DEPENDENTS.

1)

Name

DOB

Relationship

3)

Name

DOB

Relationship

2)

Name

DOB

Relationship

4)

Name

DOB

Relationship



# Assets

Please complete the following information in the designated spaces or simply provide us with copies of statements or your household summary sheet if you prefer.

## Retirement Plans

### 401K INFORMATION

|   |   |              |       |
|---|---|--------------|-------|
| \$  |   | \$           |       |
| Value of 401K, 403B, Profit Sharing Plan (Self) |   | (Spouse)     |       |
| \$  | % | \$           | %     |
| Projected Annual Contribution (Self)            |   | (Spouse)     |       |
| \$  | % | \$           | %     |
| Company Match (Self)                            |   | (Spouse)     |       |
| \$  |   | \$           | %     |
| Value of Deferred Compensation (Self)           |   | Contribution | Match |
| \$  |   | \$           | %     |
| Value of Deferred Compensation (Spouse)         |   | Contribution | Match |

### BALANCES OF RETIREMENT ACCOUNTS

|   |  |          |  |
|---|--|----------|--|
| \$  |  | \$       |  |
| Total Value of Existing Traditional IRAs (Self) |  | (Spouse) |  |
| \$  |  | \$       |  |
| Total Value of Roth IRAs (Self)                 |  | (Spouse) |  |
| \$  | <input type="checkbox"/> Roth <input type="checkbox"/> Traditional | \$       | <input type="checkbox"/> Roth <input type="checkbox"/> Traditional |
| Annual IRA Contribution (Self)                  |  | (Spouse) |  |
| \$  | <input type="checkbox"/> Roth <input type="checkbox"/> Traditional | \$       | <input type="checkbox"/> Roth <input type="checkbox"/> Traditional |
| Total Annuity Balance (Self)                    |  | (Spouse) |  |
| \$  |  | \$       |  |
| Pension Lump Sum Amount (Self)                  | At Age   | (Spouse) | At Age   |
| \$  |  | \$       |  |
| Pension Monthly Payment Amount (Self)           | At Age   | (Spouse) | At Age   |

## Non-Retirement Assets

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

|              |       |              |      |
|--------------|-------|--------------|------|
| Account Name |       |              |      |
| \$           |       |              |      |
| Value        |       |              |      |
| %            | %     | %            | %    |
| Stocks       | Bonds | Alternatives | Cash |

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

|              |       |              |      |
|--------------|-------|--------------|------|
| Account Name |       |              |      |
| \$           |       |              |      |
| Value        |       |              |      |
| %            | %     | %            | %    |
| Stocks       | Bonds | Alternatives | Cash |

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

|              |       |              |      |
|--------------|-------|--------------|------|
| Account Name |       |              |      |
| \$           |       |              |      |
| Value        |       |              |      |
| %            | %     | %            | %    |
| Stocks       | Bonds | Alternatives | Cash |

### ACCOUNT (E.G., "STOCK ACCOUNT AT PNC")

|              |       |              |      |
|--------------|-------|--------------|------|
| Account Name |       |              |      |
| \$           |       |              |      |
| Value        |       |              |      |
| %            | %     | %            | %    |
| Stocks       | Bonds | Alternatives | Cash |

## Life Insurance

Do you have insurance through your employer?

☐ Yes ☐ No

Amount as a multiple of salary: ☐ 1x ☐ 2x ☐ 3x ☐ 5x ☐ 6x

Does your spouse have insurance through his/her employer?

☐ Yes ☐ No

Amount as a multiple of salary: ☐ 1x ☐ 2x ☐ 3x ☐ 5x ☐ 6x

Do you currently have life insurance outside your employer? If so, indicate below:

| TYPE (CHECK ONE)                       | OWNER | CASH VALUE (IF ANY) | DEATH BENEFIT | PREMIUM |
|--|-------|---------------------|---------------|---------|
| <input type="checkbox"/> Whole Life    |       | \$                  | \$            | \$      |
| <input type="checkbox"/> Variable Life |       |                     |               |         |
| <input type="checkbox"/> Term          |       |                     |               |         |
| <input type="checkbox"/> Whole Life    |       | \$                  | \$            | \$      |
| <input type="checkbox"/> Variable Life |       |                     |               |         |
| <input type="checkbox"/> Term          |       |                     |               |         |
| <input type="checkbox"/> Whole Life    |       | \$                  | \$            | \$      |
| <input type="checkbox"/> Variable Life |       |                     |               |         |
| <input type="checkbox"/> Term          |       |                     |               |         |
| <input type="checkbox"/> Whole Life    |       | \$                  | \$            | \$      |
| <input type="checkbox"/> Variable Life |       |                     |               |         |
| <input type="checkbox"/> Term          |       |                     |               |         |

Do you have Umbrella Liability Insurance? ☐ Yes ☐ No

If yes, amount: \_\_\_\_\_

Do you have Long Term Care Insurance? ☐ Yes ☐ No

If yes, premium: \_\_\_\_\_

## College Savings Accounts

1) \_\_\_\_\_ 2) \_\_\_\_\_ 3) \_\_\_\_\_ 4) \_\_\_\_\_

## Equity Compensation

Please attach statement if Equity Compensation Plan is not held at Morgan Stanley.

## Personal Real Estate Assets

### PRIMARY RESIDENCE

Residence Name \_\_\_\_\_

Owner \_\_\_\_\_

\$ \_\_\_\_\_ \$ \_\_\_\_\_  
Purchase Amount Current Market Value

Do you anticipate selling this home? ☐ Yes ☐ No

\$ \_\_\_\_\_  
Date of Anticipated Sale Property tax amount

### SECONDARY RESIDENCE

Residence Name \_\_\_\_\_

Owner \_\_\_\_\_

\$ \_\_\_\_\_ \$ \_\_\_\_\_  
Purchase Amount Current Market Value

Do you anticipate selling this home? ☐ Yes ☐ No

\$ \_\_\_\_\_  
Date of Anticipated Sale Property tax amount

### PRIMARY RESIDENCE MORTGAGE

Product Type (check one):

- Adjustable: ☐ 1yr ☐ 2yr ☐ 3yr  
• Fixed: ☐ 10yr ☐ 15yr ☐ 30yr

\$ \_\_\_\_\_  
Annual Interest Rate Remaining Balance

\$ \_\_\_\_\_  
Purchase Date (mm/yy) Monthly Mortgage Payment

### SECONDARY RESIDENCE MORTGAGE

Product Type (check one):

- Adjustable: ☐ 1yr ☐ 2yr ☐ 3yr  
• Fixed: ☐ 10yr ☐ 15yr ☐ 30yr

\$ \_\_\_\_\_  
Annual Interest Rate Remaining Balance

\$ \_\_\_\_\_  
Purchase Date (mm/yy) Monthly Mortgage Payment

**Investment Real Estate Assets****PROPERTY 1**

|  |                      |
|--|----------------------|
| Property Name  |                      |
| Owner  |                      |
| \$   | \$                   |
| Purchase Amount  | Current Market Value |
| \$   |                      |
| Net Rental Income  |                      |
| Do you anticipate selling this asset? <input type="checkbox"/> Yes <input type="checkbox"/> No |                      |
| Date of Anticipated Sale   |                      |
| \$   |                      |
| Property Tax Amount  |                      |

**PROPERTY 1 MORTGAGE**

|  |                          |
|--|--------------------------|
| Product Type (check one):  |                          |
| • Adjustable: <input type="checkbox"/> 1yr <input type="checkbox"/> 2yr <input type="checkbox"/> 3yr |                          |
| • Fixed: <input type="checkbox"/> 10yr <input type="checkbox"/> 15yr <input type="checkbox"/> 30yr   |                          |
| \$   |                          |
| Annual Interest Rate   | Remaining Balance        |
|  | \$                       |
| Purchase Date (mm/yy)  | Monthly Mortgage Payment |

**PROPERTY 2**

|  |                      |
|--|----------------------|
| Property Name  |                      |
| Owner  |                      |
| \$   | \$                   |
| Purchase Amount  | Current Market Value |
| \$   |                      |
| Net Rental Income  |                      |
| Do you anticipate selling this asset? <input type="checkbox"/> Yes <input type="checkbox"/> No |                      |
| Date of Anticipated Sale   |                      |
| \$   |                      |
| Property Tax Amount  |                      |

**PROPERTY 2 MORTGAGE**

|  |                          |
|--|--------------------------|
| Product Type (check one):  |                          |
| • Adjustable: <input type="checkbox"/> 1yr <input type="checkbox"/> 2yr <input type="checkbox"/> 3yr |                          |
| • Fixed: <input type="checkbox"/> 10yr <input type="checkbox"/> 15yr <input type="checkbox"/> 30yr   |                          |
| \$   |                          |
| Annual Interest Rate   | Remaining Balance        |
|  | \$                       |
| Purchase Date (mm/yy)  | Monthly Mortgage Payment |

**HOME EQUITY LOC**

|  |                        |                      |
|--|------------------------|----------------------|
| Do you have a line of credit on your property? <input type="checkbox"/> Yes <input type="checkbox"/> No                        |                        |                      |
|  | \$                     | \$                   |
| If yes, which property?  | Balance                | Annual Interest Rate |
| \$   |                        |                      |
| Monthly Payment  | Available credit line? |                      |
| Do you plan to buy a vacation home or another property in the future? <input type="checkbox"/> Yes <input type="checkbox"/> No |                        |                      |
|  |                        | \$                   |
| When?  | Where?                 | Estimated Cost       |

# Other Liabilities

## Debt

### CREDIT CARDS

|    |     |                 |                 |
|----|-----|-----------------|-----------------|
| \$ | %   | \$              | \$              |
|    | APR | Minimum Payment | Monthly Payment |
| \$ | %   | \$              | \$              |
|    | APR | Minimum Payment | Monthly Payment |
| \$ | %   | \$              | \$              |
|    | APR | Minimum Payment | Monthly Payment |
| \$ | %   | \$              | \$              |
|    | APR | Minimum Payment | Monthly Payment |

### CARS

|    |     |         |                     |
|----|-----|---------|---------------------|
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |

### STUDENT LOANS, PERSONAL LOANS

|    |     |         |                     |
|----|-----|---------|---------------------|
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |
| \$ | %   | \$      |                     |
|    | APR | Payment | Finish Date (mm/yy) |



# Objectives

## Investment Objectives

### WHAT IS YOUR TIMELINE TO ACCOMPLISH YOUR INVESTMENT OBJECTIVES OR GOALS?

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Short-term objectives (1–5 years)

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Medium-term objectives (6–10 years)

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Long-term objectives (11–20 years)

### WHAT ARE YOUR GOALS FOR RETIREMENT? (LIFESTYLE, VALUES, CHARITY, INTERESTS, TRAVEL, ETC.)

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1)

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2)

---

3)

### RISK TOLERANCE (CHECK ONE):

☐ Conservative (0 to 25% in stocks)

☐ Conservative/Moderate (25 to 40% in stocks)

☐ Moderate (40 to 55% in stocks)

☐ Moderate/Aggressive (55 to 65% in stocks)

☐ Aggressive (over 65% in stocks)

### ADVISOR INFORMATION

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Insurance agent

CPA

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Attorney

Other financial advisor

Do you have a current will? ☐ Yes ☐ No

Do you have a current Trust? ☐ Yes ☐ No

### TELL US ABOUT YOURSELF.

What are your financial goals or concerns? What are your expectations of your financial advisor?

Please complete and return to:

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William C. Menke - 26 years of experience  
Managing Director – Wealth Management  
Financial Advisor  
Senior Portfolio Management Director

Chad J. Essington, CFP® - 27 years of experience  
Executive Director – Wealth Management  
Financial Advisor  
Senior Portfolio Management Director

Michael E. Wojkowski - 11 years of experience  
Senior Vice President - Wealth Management  
Financial Advisor  
Senior Portfolio Management Director

Conor J. Smith - 6 years of experience  
Workplace Advisor – Equity Compensation  
Financial Advisor

The appropriateness of a particular investment or strategy will depend on an investor's individual circumstances and objectives.

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