



# Client Questionnaire

**WHILE YOU'RE TAKING CARE  
OF YOUR COMPANY'S FUTURE,  
WE'RE HELPING TAKE CARE OF YOURS.**

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## **The Office of the Foothills Group at Morgan Stanley**

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Boulder, CO 80302

303.545.1801

### **Prepared by:**

The Foothills Group of Morgan Stanley

### The Foothills Group

The Foothills Group is dedicated to working exclusively with corporate executives and their families. While you are busy managing your company's future, The Foothills Group focuses on helping take care of yours by:

- Aligning your corporate wealth-building tools and benefits with your personal financial goals
  - Providing you a professional network of experts 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. The Foothills Group understands these complexities and has 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. The Foothills Group has the proficiency to help determine which planning techniques and strategies can be implemented in an effort to achieve your long-term financial objectives.

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### Our Services

- Financial Planning
- Estate Planning Strategies
- Tax Planning Strategies
- Insurance Planning
- Continuity Planning
- Lending
- Social Security Planning

# Team Contact Information

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## Find Us Online

### **WEBSITE**

[advisor.morganstanley.com/foothills-group](http://advisor.morganstanley.com/foothills-group)

# Client Questionnaire

## General Information

### CLIENT 1

Client Name	DOB
Mobile Phone	
Email Address	
Home Address	City State Zip

### CLIENT 2

Spouse Name	DOB
Mobile Phone	
Email Address	
Home Address	City State Zip

## 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
<input type="checkbox"/> before or <input type="checkbox"/> 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	

# Objectives

## Investment Objectives

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

Short-term objectives (1–5 years)

Medium-term objectives (6–10 years)

Long-term objectives (11–20 years)

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

- 1) \_\_\_\_\_
- 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

Insurance agent \_\_\_\_\_ CPA \_\_\_\_\_

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

Morgan Stanley Smith Barney LLC ("Morgan Stanley"), its affiliates, and Morgan Stanley Financial Advisors or Private Wealth Advisors do not provide tax or legal advice. Clients should consult their tax advisor for matters involving taxation and tax planning and their attorney for matters involving trust and estate planning and other legal matters.

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

# Assets

## 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
\$		\$	
HSA Balance (Self)	Annual Contribution	(Spouse)	Annual Contribution

## 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)

Please complete and return to:

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Clients executing a 10b5-1 Plan should keep the following important considerations in mind: (1) 10b5-1 Plans should be approved by the compliance officer or general counsel of the company; (2) A 10b5-1 Plan may require a cessation of trading activities at times when lockups may be necessary to the company (i.e. secondary offerings, pooling transactions, etc.); (3) A 10b5-1 Plan does not generally alter the regulatory requirements (e.g. Rule 144, Section 16, Section 13D) that may otherwise be applicable; (4) 10b5-1 Plans that are modified or terminated early may weaken or lose the benefit of the affirmative defense; (5) Public disclosure of 10b5-1 Plans (e.g., via press release) may be appropriate for some insiders; (6) Most companies will permit 10b5-1 Plans to be implemented only during open window periods; and (7) Morgan Stanley Smith Barney, as well as some issuers, imposes a mandatory waiting period between the execution of the 10b5-1 Plan and the first sale pursuant to the 10b5-1 Plan.

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