### Morgan Stanley

**Pre-Meeting Discovery Form** 

### The Rice Park Group at Morgan Stanley

Steven A. Madden, CFP® Senior Vice President, Financial Advisor NMLS #1262247 direct +1 651-215-8438 steven.a.madden@morganstanley.com Nicholas B. Nerland, CFP® First Vice President, Financial Advisor NMLS # 1282505 direct +1 651-215-8421 nicholas.b.nerland@morganstanley.com 380 Saint Peter St, Suite 1000 St. Paul, MN 55102 toll free +1 800-421-0018

#### Let's Get Acquainted

We're so glad you're here! To make the most of our time together, please complete the following discovery document and return it to our team prior to your conversation. Your responses will help us better understand you, what matters most to you, what you hope to accomplish, and some of your preferences. All information shared is treated with the utmost confidentiality and is used solely to tailor our conversation to your unique needs and priorities.

Basic Information				
Full name(s):	Preferred email:		Mobile:	
Full name(s):	Preferred email:		Mobile:	
Preferred contact method(s):	ail 🛛 Phone Call	Text Message		
Street Address:	City	/ State / Zip:		
How did you hear about us?				
Your Financial Snapshot (Approx	ximate numbers are f	fine)		
Annual Household Income: – Please	provide most recent Ta	ax Return		
□ Under \$250k □ \$250k - \$500	k 🛛 \$500k - \$1m	🖵 \$1m - \$5m	□ \$5m+	
Investable assets (excluding real est	ate/business):			
□ Under \$250k □ \$250k - \$500	k □ \$500k - \$1m	🖵 \$1m - \$5m	□ \$5m+	
Source(s) of Wealth:				
□ Salary / Bonuses □ Business Ow	ner 🛛 Inheritance	Real Estate	Other:	
Do you currently work with a financi	al professional?	Do you currently we	ork with an accountant?	
Yes No		Yes	🗅 No	
Your Current Financial Accounts	s (Select all that apply	/)		
Banking – Please provide most recent		,		
Checking Savings	CD's	Brokerage Firm /	Bank:	
Retirement – Please provide most rece	ent statement(s)			
□ 401(k) / 403(b)				
Financial Institution:			:	_
Roth IRA     Financial Institution:		Old 401(k) / 403( Einancial Institution	ט) בי	
□ Pension		Corporate Stock		_
Employer:			•	_
Other Investments – Please provide n	nost recent statement(s	;)		
□ Stocks □ Mutual Funds	G D Options	Treasury Bonds	Municipal Bonds     Do	
Insurance – Please provide most recei	nt statement(s)		Fu	nd
□ Term Life □ Whole Life	Universal Life	Variable Life	Long Term Care	
Annuities – Please provide most recer	nt statement(s)			
□ Fixed □ Variable	Indexed			
Home (Primary Residence)				
Own Rent		et Value (Approximate).	:	· · · · · · · · · · · · · · · · · · ·
Home (Secondary Residence / Vacat				
□ Own □ Rent	Current Marke	et Value (Approximate):		

Any information that you provide to us or that we provide to you is for investment education only. The information should not be viewed or relied upon as advice with respect to asset allocation or any particular investments. The information is provided to you on the condition that Morgan Stanley is not an advisor or a fiduciary to you as a result of gathering such information Morgan Stanley SIPC. CRC # 4646883 7/25

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# **Debt / Liabilities Financial Institution Responsible Party** Amount Outstanding Interest Type Rate

#### **TOTAL LIABILITIES**

(Form will calculate)

#### What's On Your Mind?

Why now? What prompted you to reach out today?

#### What goals or questions are top of mind for you?

Retirement Planning

- Tax Strategy
- Investment Management
- Charitable Giving
- Business Exit / Liquidity Event
- □ Family Wealth & Education
- Estate & Legacy Planning
- Other:

#### How would you describe your current relationship with money?

Confident

Overwhelmed

Anxious

□ In control, but want expert guidance

Curious

Other:

#### How do you feel about working with a financial professional? What are you hoping for? Any concerns?

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## Morgan Stanley

### **Pre-Meeting Discovery Form**

#### **Current Financial Landscape**

#### **Retirement Planning**

- □ I feel confident and have a clear plan in place
- □ I feel somewhat prepared, but not sure if I'm truly on track
- □ I feel behind and know I need a plan
- □ I haven't started thinking seriously about this yet

#### College Education Planning (if applicable)

- □ We have a solid plan and funding strategy in place
- U We've started saving, but not sure if it's enough
- U We haven't started but know we need to
- Not applicable / no college funding goals

#### **Tax Efficiency in Investments**

- □ I'm confident our investment strategy is tax-efficient
- □ I think we could improve, but I'm not sure how
- I have no idea if my investments are tax-efficient
- I don't currently invest

#### **Understanding Financial Professional Compensation**

- I clearly understand how my financial professional is paid
- □ I think I have a general idea, but could use clarity
- I have no idea how they're compensated
- □ I don't currently work with a financial professional

#### Amount of Life Insurance

- □ I'm confident I have the right amount of life insurance
- □ I have coverage, but not sure if it's enough
- I don't have life insurance but know I should
- Not sure if this applies to me

#### Next Steps:

1. When finished completing this form, click SUBMIT FORM button below.

### 2. We will email you a special link inviting you to create a Morgan

- 3. Upload the following sets of documents to your MSO Digital Vault
- SUBMIT FORM
- Stanley Online (MSO) account.
- at least 24 hours before our Discovery Meeting
  - □ Most recent *Tax Return* (All pages)
  - Most recent Financial Statements for accounts selected on Page 1
    - NOTE: We are notified each time you upload documents to your Digital Vault.

#### PLEASE DO NOT EMAIL YOUR TAX OR FINANCIAL STATEMENTS

All documents uploaded to your Digital Vault are scanned for viruses and encrypted for an extra layer of security to protect your personal data.

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#### Type of Insurance

- □ I know exactly what kind(s) I have and why
- I know I have something, but not sure if it's the right kind
- I don't have life insurance yet
- □ This doesn't apply to my situation

#### **Disability Insurance**

- □ I'm fully covered and understand my policy
- □ I have some coverage, but I'm not sure if it's sufficient
- □ I don't have coverage, but I'm open to learning more
- I don't think I need this coverage

#### Estate Planning

- My estate plan is complete and up to date
- □ I have a will / trust, but it may need updating
- I don't have an estate plan in place yet
- Not sure where to start

#### Social Security Planning

- I understand how to maximize my social security benefits
- I've started thinking about it, but have guestions
- I haven't considered this at all yet
- This doesn't apply to me right now

#### **Managing Lifetime Taxes**

- I have a proactive tax strategy I understand
- □ I think I could be doing more, but need guidance
- I don't have a strategy and want help
- I haven't thought about this yet