Morgan Stanley

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

Pre-Meeting Discovery Form

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): ❑ Email ❑ Phone Call ❑ Text Message

Street Address: ___________________________________ **City / State / Zip:** ____

How did you hear about us? ____

Your Financial Snapshot *(Approximate numbers are fine)*

Annual Household Income: – *Please provide most recent Tax Return*

❑ Under $250k ❑ $250k - $500k ❑ $500k - $1m ❑ $1m - $5m ❑ $5m+

Investable assets (excluding real estate/business):

❑ Under $250k ❑ $250k - $500k ❑ $500k - $1m ❑ $1m - $5m ❑ $5m+

Source(s) of Wealth:

❑ Salary / Bonuses ❑ Business Owner ❑ Inheritance ❑ Real Estate ❑ Other: _____________________________

Do you currently work with a financial professional?

❑ Yes ❑ No

Do you currently work with an accountant?

❑ Yes ❑ No

Your Current Financial Accounts (Select all that apply)

Banking – *Please provide most recent statement(s)*

❑ Checking ❑ Savings ❑ CD's ❑ Brokerage Firm / Bank: _________________________________

Retirement – *Please provide most recent statement(s)*

❑ **401(k) / 403(b)**
Financial Institution: ____________________________

❑ **Roth IRA**
Financial Institution: ____________________________

❑ **Pension**
Employer: _____________________________________

❑ **IRA**
Financial Institution: ____________________________

❑ **Old 401(k) / 403(b)**
Financial Institution: ____________________________

❑ **Corporate Stock / Options**
Employer: _____________________________________

Other Investments – *Please provide most recent statement(s)*

❑ Stocks ❑ Mutual Funds ❑ Options ❑ Treasury Bonds ❑ Municipal Bonds ❑ Donor Advised Fund

Insurance – *Please provide most recent statement(s)*

❑ Term Life ❑ Whole Life ❑ Universal Life ❑ Variable Life ❑ Long Term Care

Annuities – *Please provide most recent statement(s)*

❑ Fixed ❑ Variable ❑ Indexed

Home (Primary Residence)

❑ Own ❑ Rent ❑ Current Market Value *(Approximate):* ____________________________________

Home (Secondary Residence / Vacation Home)

❑ Own ❑ Rent ❑ Current Market Value *(Approximate):* ____________________________________

Morgan Stanley

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

Pre-Meeting Discovery Form

Debt / Liabilities

Type	Financial Institution	Responsible Party	Interest Rate	Amount Outstanding
		TOTAL LIABILITIES (Form will calculate)	$ 0	

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

How would you describe your current relationship with money?

- ❑ Confident
- ❑ Anxious
- ❑ Curious
- ❑ Overwhelmed
- ❑ In control, but want expert guidance
- ❑ Other: ___________________________

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

Morgan Stanley

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

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
- ❑ We've started saving, but not sure if it's enough
- ❑ 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

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 questions
- ❑ 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

Next Steps:

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

SUBMIT FORM

2. **We will email you a special link inviting you to create a Morgan Stanley Online (MSO) account.**
3. **Upload the following sets of documents to your MSO Digital Vault *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.