

# Morgan Stanley



## Client Questionnaire

WHILE YOU'RE FOCUSING ON ENJOYING  
YOUR LIFE, WE'RE FOCUSING ON YOUR  
FINANCIAL FUTURE.

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### The Hamilton Retirement Planning Group at Morgan Stanley

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4520 Main St, 8th Floor  
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### **Working with The Hamilton Retirement Planning Group**

The Hamilton Retirement Planning Group is focused exclusively on retirement and financial planning for clients of all backgrounds, professions, and income level. Most of our clients come to us about 10 years before retirement with busy lives; we help them plan for their future so they can enjoy their present. We do this by:

- Creating and maintaining a financial plan based on current and future spending needs and the savings that are needed to support that spending
- Creating an investment strategy based on the financial plan that aligns with the client's risk tolerance and, if desired, values via our Investing with Impact platform.
- Delivering a time-efficient process to monitor and review your wealth planning goals

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### **Our Experience**

Founded in 1988, the Hamilton Retirement Planning Group is able to work with clients with any level of financial planning, investment, insurance, risk management, and cash management need.

Our advisor's experience—combined with the resources of Morgan Stanley—allow us to be our client's main contact with any situation that arise within their financial lives.

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### **About The Hamilton Retirement Planning Group**

Our team has been dedicated to the unique and complex issues associated with retirement, having helped hundreds of clients navigate this process seamlessly and effectively. Most of our clients come to us about 10 years before retirement while still enjoying successful careers and steadily saving and investing for the future. These are the clients we focus on serving.

As long-term retirement professionals, we've encountered nearly every possible scenario among our clients, including a wide range of financial knowledge, income levels, career paths, and backgrounds. We apply this extensive experience to your particular needs and objectives, resulting in an appropriate strategy customized just for you.



# 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

### EMPLOYER SPONSORED RETIREMENT PLAN(S)

\$ _____		\$ _____	
Value of 401(k), 403(b), Profit Sharing Plan (Self)		(Spouse)	
\$ _____ %		\$ _____ %	
Projected Annual Contribution (Self)		(Spouse)	
\$ _____ %		\$ _____ %	
Company Match (Self)		(Spouse)	
\$ _____		\$ _____ %	
Value of Deferred Compensation (Self)		Value of Deferred Compensation (Spouse)	
\$ _____		\$ _____ %	
Contribution		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)	
\$ _____		\$ _____	
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
\$ _____ <input type="checkbox"/> Single <input type="checkbox"/> Certain Period <input type="checkbox"/> Joint		\$ _____ <input type="checkbox"/> Single <input type="checkbox"/> Certain Period <input type="checkbox"/> Joint	
Pension Payment Options		Pension Payment Options	

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# Assets (continued)

## Non-Retirement Assets

ACCOUNT (E.G., "STOCK ACCOUNT AT PMC")

Account Name	Account Type (Single, Joint, Trust, etc.)	Value (\$)	Annual Contribution (\$)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

## Life Insurance

Do you have insurance through your employer?

Yes  No

Amount as a multiple of salary:

1x  2x  3x  4x  5x  6x

Does your spouse have insurance through his/her employer?

Yes  No

Amount as a multiple of salary:

1x  2x  3x  4x  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: \$ \_\_\_\_\_

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# Assets (continued)

## 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

### SECONDARY RESIDENCE

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

Owner \_\_\_\_\_

\$ \_\_\_\_\_ \$ \_\_\_\_\_

Purchase Amount Current Market Value

### 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

### HOME EQUITY CREDIT

Do you have a line of credit on your property?  Yes  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?  Yes  No

_____	_____	\$ _____
When?	Where?	Estimated Cost

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# Assets (continued)

## Investment Real Estate Assets

Address	Purchase Price	Rental Income	Mortgage Balance	Mortgage Payment	Do you plan to sell this asset? (Yes/No)
_____	_____	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____	_____	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____	_____	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____	_____	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No

# Other Liabilities

## LOANS, CREDIT CARDS, & OTHER LIABILITIES

Description	Type (Credit Card, Auto, etc.)	APR (%)	Min Payment (\$)	Current Payment (\$)
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

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# 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

Accountant

Insurance Agent

Attorney

Other Financial Advisor

Do you have a current will?  Yes  No

Do you have a current Trust?  Yes  No

Do you have a durable power of attorney?  Yes  No

### TELL US ABOUT YOURSELF.

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

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# Morgan Stanley

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The returns on a portfolio consisting primarily of Environmental, Social and Governance ("ESG") aware investments may be lower or higher than a portfolio that is more diversified or where decisions are based solely on investment considerations. Because ESG criteria exclude some investments, investors may not be able to take advantage of the same opportunities or market trends as investors that do not use such criteria.