CONFIDENTIAL QUESTIONNAIRE

This confidential questionnaire is the first step in providing you with a personal financial consultation. I have designed it to be easy and quick to fill out. Please be as accurate as possible. The information will be treated with the highest degree of confidentiality.

Please call if you have any questions. Thank you.

Included in this packet:

- ✓ FAMILY INFORMATION
- ✓ SAVINGS ASSETS
- ✓ INVESTMENT ASSETS
- ✓ REALESTATE & CONSUMER DEBT
- ✓ PROTECTIONS
- ✓ ADDITIONAL INFORMATION

Documents to bring to our next meeting:

I will be able to work to your best advantage when you provide the following documents along with this completed questionnaire. Your documents will be professionally safeguarded under strict, confidential control during the analysis period; they will be returned to you in the same condition as when provided. If you prefer, duplicate copies of your financial papers are acceptable.

- ☐ Income tax return(s) for latest year
- ☐ Paycheck stub(s) for you and your spouse showing deductions from gross income
- ☐ Statements for each investment you own, where applicable
- ☐ All Insurance Policies (be certain that these include declarations of coverage)
  - Auto and Homeowners Policies
  - Umbrella Coverage
  - Life Insurance Policies (for all members of the family)
  - Disability Income Insurance Policy
  - Any other types of insurance policies
- ☐ Company-provided group benefits for you and spouse
  (If a printout of specific coverage is available, please include)
- ☐ Wills and Trust documents

Samuel Scott Goodyear, Registered Representative offering securities through NYLIFE Securities LLC, Member of FINRA/SIPC,

Member of the Million Dollar Round Table 2010

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Family Information

About You:

Name: ______________________ Date of Birth: ______________

Address: ____

Home Telephone #: ______________ Work Telephone # ______________

Email: ______________ Fax #: ______________

Employer: ______________ Job Title: ______________

Salary: $ ______________ Other Income $ ______________

Your Spouse:

Name: ______________________ Date of Birth: ______________

Home Telephone #: ______________ Work Telephone # ______________

Email: ______________ Fax #: ______________

Employer: ______________ Job Title: ______________

Salary: $ ______________ Other Income $ ______________

Children:

Name: ______________________ Date of Birth: ______________

Name: ______________________ Date of Birth: ______________

Name: ______________________ Date of Birth: ______________

Miscellaneous Items:

Do you have a will?: __________ Living Trust? __________ Living Will? __________ Year Drafted: ________

Name of Executor/trustee: ______________ Guardian: ______________

Do you have an accountant? __________ If "yes", Name: ______________

Do you have an attorney? __________ If "yes", Name: ______________

Do you own your home? ________ Market Value: ________ Mortgage Balance: ________ Interest Rate: ________

Loans and Debts: Auto ________ Personal Loans: ________ Credit Cards: ________ Other: ________

Financial Goals/Priorities:

Your most important financial goals? ______________________________

Please circle your priorities: Retirement Estate Transfer Wealth Accumulation

Education Family Security Other: ______________

Is there anything about your current finances that you would change? ______________

How much more could you save on a regular basis? ______________

Are you expecting a change in your current financial situation? __________ If "yes", amount: __________

Financial Data

Insurance:

Auto: Comprehensive? _____ Yes _____ No Deductible: _______________ Liability Amount: ______________________

Homeowners: Full Replacement Value? _____ Yes _____ No Umbrella liability? _______ If "yes," Amount: _________________

	Insured	Company	Annual premium	Coverage Amount
Long Term Care				
Disability				
Life				

Pre-Tax Financial Products & Qualified Plans:

	Current Value	Annual Deposit	Comments
401(k) or 403(b)			
Company Retirement Plans			
Deferred Compensation Plans			
IRAs (except ROTH)			

After Tax Financial Products:

	Current Value	Annual Deposit	Comments
Stocks			
Stock Options			
Real Estate (except residence)			
Mutual Funds			
ROTH IRAs			
Life Insurance Cash Values			
Municipal Bonds			
Bonds			
Annuities			
Certificates of Deposit			
Money Market Funds			
Savings/Checking Accounts			