RiverPark
FINANCIAL GROUP
www.riverparkfg.com

FACT-FINDING QUESTIONNAIRE

Required: For use with individual qualified plan account advice

Targeting financial comfort in retirement requires planning. This questionnaire is designed to help us create an appropriate action plan that will help you pursue your retirement goals.

Personal Information

Client Information

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Driver License/ID Number: ______________________________
State: __________ Expiration Date: ________________

E-Mail Address: ______________________________

Home Phone: ______________________________

Work Phone: ______________________________

Cell Phone: ______________________________

Address: ______________________________
____

Marital Status: ☐ Married ☐ Single ☐ Divorced

Wedding Anniversary Date: ________________

Employment Status:
☐ Employed ☐ Retired ☐ Not Employed

Occupation: ______________________________

Employer's Name: ______________________________

Employer's Address: ______________________________
____

Estimated Retirement Age: ______________________________

Joint Client Information

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Driver License/ID Number: ______________________________
State: __________ Expiration Date: ________________

E-Mail Address: ______________________________

Home Phone: ______________________________

Work Phone: ______________________________

Cell Phone: ______________________________

Address: ______________________________
____

Marital Status: ☐ Married ☐ Single ☐ Divorced

Wedding Anniversary Date: ________________

Employment Status:
☐ Employed ☐ Retired ☐ Not Employed

Occupation: ______________________________

Employer's Name: ______________________________

Employer's Address: ______________________________
____

Estimated Retirement Age: ______________________________

Beneficiary Information

Primary Beneficiary(s)

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

Contingent Beneficiary(s)

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

Name: ______________________________

Date of Birth: ______________________________

Social Security Number: ______________________________

Relationship: ______________________________

Share Percentage: ______% ☐ Per Stirpes

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FACT-FINDING QUESTIONNAIRE *continued*

SUITABILITY: FINANCIAL POSITION

ANNUAL INCOME *From all sources*	ESTIMATED NET WORTH *Excluding primary residence*	INVESTABLE/LIQUID ASSETS *Including cash and securities*	FEDERAL TAX BRACKET
☐ UNDER \$25,000	☐ UNDER \$50,000	☐ UNDER \$50,000	☐ 0%–15%
☐ \$25,000–\$50,000	☐ \$50,000–\$100,000	☐ \$50,000–\$100,000	☐ 16%–25%
☐ \$50,001–\$100,000	☐ \$100,001–\$500,000	☐ \$100,001–\$500,000	☐ 26%–30%
☐ \$100,001–\$250,000	☐ \$500,001–\$1M	☐ \$500,001–\$1M	☐ 31%–35%
☐ \$250,001–\$500,000	☐ \$1M–\$5M	☐ \$1M–\$5M	☐ OVER 35%
☐ OVER \$500,000	☐ OVER \$5M	☐ OVER \$5M	
\$ ________________	\$ ________________	\$ ________________	

ACCOUNT FUNDING SOURCE	ANNUAL EXPENSES *Recurring*	SPECIAL EXPENSES *Future and nonrecurring*	TIME FRAME *Required for Special Expenses*
☐ ASSET APPRECIATION	☐ UNDER \$50,000	☐ \$0–\$50,000	☐ 0–2 YEARS
☐ BUSINESS REVENUE	☐ \$50,000–\$100,000	☐ \$50,001–\$100,000	☐ 3–5 YEARS
☐ INHERITANCE	☐ \$100,001–\$250,000	☐ \$100,001–\$250,000	☐ 6–10 YEARS
☐ LEGAL/INSURANCE SETTLEMENT	☐ \$250,001–\$500,000	☐ OVER \$250,000	
☐ SALE OF ASSETS	☐ OVER \$500,000		
☐ SAVINGS FROM EARNINGS			
☐ OTHER: ____________	\$ ________________	\$ ________________	

SUITABILITY: INVESTMENT PROFILE

INVESTMENT OBJECTIVE

Please choose your investment objective for this account. Definitions of the investment objectives may be found in the attached Customer Agreement.

- ☐ INCOME WITH LIMITED GROWTH
- ☐ INCOME WITH MODERATE GROWTH
- ☐ GROWTH AND INCOME
- ☐ PRIMARILY GROWTH
- ☐ GROWTH

INVESTMENT TIME HORIZON

- ☐ NEAR TERM (less than 1 year)
- ☐ VERY SHORT (1–3 years)
- ☐ SHORT (3–5 years)
- ☐ INTERMEDIATE (6–10 years)
- ☐ LONG (10+ years)

GENERAL INVESTMENT KNOWLEDGE

- ☐ LIMITED
- ☐ GOOD
- ☐ EXTENSIVE

INVESTMENT PURPOSE

- ☐ SAVE FOR EDUCATION
- ☐ SAVE FOR RETIREMENT
- ☐ SAVE FOR SHORT-TERM GOAL(S)
- ☐ OTHER: ______________________________

SUITABILITY: PRODUCT KNOWLEDGE

INVESTMENT PRODUCT KNOWLEDGE: CHECK EITHER NONE, LIMITED, GOOD, OR EXTENSIVE BASED ON YOUR KNOWLEDGE OF THE FOLLOWING.

	NONE	LIMITED	GOOD	EXTENSIVE
STOCKS	☐	☐	☐	☐
BONDS	☐	☐	☐	☐
MUTUAL FUNDS	☐	☐	☐	☐
VARIABLE CONTRACTS	☐	☐	☐	☐
LIMITED PARTNERSHIPS	☐	☐	☐	☐
ALTERNATIVE INVESTMENTS	☐	☐	☐	☐
ANNUITIES	☐	☐	☐	☐

ADDITIONAL SUITABILITY INFORMATION

ASSETS HELD AWAY PROVIDE TOTAL VALUE OF ASSETS HELD AWAY AND PERCENTAGES FOR EACH TYPE OF ASSET. TOTAL OF ALL PERCENTAGES MUST EQUAL 100%.

TOTAL VALUE OF ASSETS HELD AWAY: \$____________________

STOCKS ______ %	BONDS ______ %	SHORT-TEM ______ %	ANNUITIES ______ %
MUTUAL FUNDS ______ %	OPTIONS ______ %	VARIABLE CONTRACTS ______ %	OTHER ______ %
LIMITED PARTNERSHIPS ______ %	ALTERNATIVE INVESTMENTS ______ %		
			TOTAL 0 %

575 E. Locust Avenue, Suite 110 | Fresno, CA 93720 | 559.227.0704 | 559.227.9826 fax | rstaggs@riverparkfg.com | www.riverparkfg.com

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