



# CONFIDENTIAL QUESTIONNAIRE

Please complete this confidential questionnaire and assemble the documents requested below in preparation for the initial consultation. If you have questions as you complete the questionnaire, please feel free to give us a call or send us an e-mail.

## PERSONAL INFORMATION

	CLIENT	CO-CLIENT
Full Legal Name:		
Home Address:		
City, State, Zip:		
Home Phone:		
Work Phone:		
E-mail Address:		
Birth date:		
Employer:		
Occupation:		
Start date of Employment:		

## CHILDREN / OTHER DEPENDENTS

Name	Date of Birth	Sex	Social Security #	State of Residency

## FINANCIAL GOALS

Description (enter in priority order) (wedding(s), travel, new homes, etc.)	Purchase Amount	Purchase Date	How often will goal occur? (Every ___ Years)


What is the best thing a financial planner could do for you?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**INCOME INFORMATION**

Description	Client	(Amount / Year)	Co-Client
Employment Salary			
Employment Bonus			
Alimony Received			
Other			

**INSURANCE INFORMATION**

**I. TERM LIFE INSURANCE POLICIES**

Description/Company	Insured	Death Benefit
_____	\$ _____	_____
Term _____ years		

Description/Company	Insured	Death Benefit
_____	\$ _____	_____
Term _____ years		

**II. WHOLE, UNIVERSAL OR VARIABLE LIFE INSURANCE POLICIES**

Description/Company	Insured	Death Benefit
_____	\$ _____	_____
Term _____ years		

Description/Company	Insured	Death Benefit
_____	\$ _____	_____
Term _____ years		

**III. DISABILITY INSURANCE POLICIES**

Description/Company	Insured	Monthly Benefit Amount
_____	_____	\$ _____

Description/Company	Insured	Monthly Benefit Amount
_____	_____	\$ _____

**IV. LONG-TERM CARE INSURANCE POLICIES**

Description/Company	Insured	Daily Benefit Amount
_____	_____	\$ _____

Description/Company	Insured	Daily Benefit Amount
_____	_____	\$ _____

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**ADDITIONAL QUESTIONS:**

1. Are you currently or have you ever been involved in a lawsuit? \_\_\_\_\_
  2. If yes, please explain. \_\_\_\_\_
  3. Have you ever worked with a financial advisor before? \_\_\_\_\_
  4. If so, why are you no longer working with this individual? \_\_\_\_\_
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**DOCUMENTS TO BRING WITH YOU** (Please be sure to provide the following)

- I. Copies of Investment Statements
- II. Mortgage and Other Liabilities Statements
- III. Prior Year Tax Returns (federal, state, gift)
- IV. Stock Option / RSU / Other stock award summary

## AZNAR FINANCIAL ADVISORS, LLC PRIVACY POLICY

Aznar Financial Advisors, LLC a Registered Investment Advisor, is committed to safeguarding the confidential information of its clients. We hold all personal information provided to our firm in the strictest confidence. These records include all personal information that we collect from you in connection with any of the services provided by Aznar Financial Advisors.

We have never disclosed information to nonaffiliated third parties, except as permitted by law, and do not anticipate doing so in the future. If we were to anticipate such a change in firm policy, we would be prohibited under the law from doing so without advising you first. As you know, we use financial information that you provide to us to help you meet your personal financial goals while guarding against any real or perceived infringements of your rights of privacy.

Our policy with respect to personal information about you is listed below.

- To help the government fight the funding of terrorism and money laundering activities, Federal law requires us to obtain and record information that identifies each person who opens an account. When you open an account we will ask you for your name, address, date of birth and any other information that will allow us to identify you. We may ask you for your driver's license, password or other identifying documents.
- We limit employee access to information only to those who have a business or professional reason for knowing, and only to nonaffiliated parties as permitted by law. (For example, federal regulations permit us to share a limited amount of information about you with a brokerage firm in order to execute securities transactions on your behalf.)
- We maintain a secure office and computer environment to ensure that your information is not placed at unreasonable risk.
- The categories of nonpublic information that we collect from a client depend upon the scope of the client relationship. It will include information about your personal finances, transactions and accounts with other financial institutions, wills, trusts, and any other financial documents needed in the financial planning process.
- For unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors, we also require strict confidentiality in our agreements with them and expect them to keep this information private. Federal regulators may also review firm records as permitted by law.
- We do not provide your personal identifiable information to mailing list vendors or solicitors for any reason.
- Year-end account information, requested on your behalf (e.g., client accountant, attorney, etc.) will only be released upon receiving your prior approval. At no time shall such information be released without authorized approval.
- Personal identifiable information about you will be maintained during the time you are a client, and for the required time thereafter that such records are required to be maintained by federal securities laws, and consistent with the CFP® Board Code of Ethics and Professional Responsibility. After this required period of record retention, all such information will be destroyed.