



Rose Street Advisors

WEALTH MANAGEMENT

DISCOVERY QUESTIONNAIRE

Thanks for engaging in our DISCOVERY process! As your advisors, we aim to help YOU achieve YOUR goals! The more we know about you, your goals, how you are currently invested, what protection you have in place and what you are looking for in a relationship, the more we can put together a plan to help you get there! Please fill this out and send it back to us or bring it to your scheduled meeting!

RSA Wealth Management Team

1) FAMILY SNAPSHOT

Spouse optional

Your Information

Name:

DOB: ___ / ___ / _____

Spouse / Partner (optional)

Name:

DOB: ___ / ___ / _____

Kids (financially responsible for)

Child Name	DOB
_____	___ / ___ / _____
_____	___ / ___ / _____
_____	___ / ___ / _____
_____	___ / ___ / _____

2) YOUR "WHY"

Goals + clarity

What made you decide to meet with a financial advisor now?

If we meet one year from today and you say "this was worth it," what happened?

Top 3 financial goals

#	Goal
1	<hr/>
2	<hr/>
3	<hr/>

3) VALUES + WHAT MATTERS MOST

Lifestyle

What is important to you?

What do you value doing together (as a couple/family)?

4) INCOME OVERVIEW (ANNUAL AVERAGES)

Left = You • Right = Spouse

Your Income	Spouse Income (optional)
Average W-2 Income: \$_____	Average W-2 Income: \$_____
Social Security: \$_____	Social Security: \$_____
Pension: \$_____	Pension: \$_____
Rental Income: \$_____	Rental Income: \$_____
Investments (interest/dividends/other): \$_____	Investments (interest/dividends/other): \$_____
Avg. Annual Business Distribution: \$_____	Avg. Annual Business Distribution: \$_____
Other: \$_____	Other: \$_____

5) SAVINGS SNAPSHOT

Bank / CD / Money Market

How much do you have saved? \$ _____

Account Type (Savings/CD/MMF)	Amount	Financial Institution	Current Rate	Maturity Date
_____	\$ _____	_____	____ %	___ / ___ / _____
_____	\$ _____	_____	____ %	___ / ___ / _____
_____	\$ _____	_____	____ %	___ / ___ / _____
_____	\$ _____	_____	____ %	___ / ___ / _____

6) ACCOUNTS + EMPLOYER RETIREMENT PLAN

Net worth snapshot

Investment / Retirement / Other Accounts

Owner (You/Spouse/Joint/Trust)	Financial Institution	Owner (IRA, Roth, 401k, 403b, TOD, Brokerage, HSA, etc)	Approx. Amount
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____

_____	_____	_____	\$ _____
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____
_____	_____	_____	\$ _____

Tip: If you're unsure on exact amounts, estimates are fine.

<p>Your Employer Retirement Plan</p> <p>Plan type: <input type="checkbox"/> 401(k) <input type="checkbox"/> 403(b) <input type="checkbox"/> 457 <input type="checkbox"/> TSP <input type="checkbox"/> Other: _____</p> <p>Contributing (Pre-tax): <input type="checkbox"/> ___ % per paycheck OR <input type="checkbox"/> \$ _____</p> <p>Contributing (Roth): <input type="checkbox"/> ___ % per paycheck OR <input type="checkbox"/> \$ _____</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Employer Match: ___ %</p> <p>_____</p> </div>	<p>Spouse Employer Retirement Plan (optional)</p> <p>Plan type: <input type="checkbox"/> 401(k) <input type="checkbox"/> 403(b) <input type="checkbox"/> 457 <input type="checkbox"/> TSP <input type="checkbox"/> Other: _____</p> <p>Contributing (Pre-tax): <input type="checkbox"/> ___ % per paycheck OR <input type="checkbox"/> \$ _____</p> <p>Contributing (Roth): <input type="checkbox"/> ___ % per paycheck OR <input type="checkbox"/> \$ _____</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Employer Match: ___ %</p> <p>_____</p> </div>
---	--

Other Assets

Type (Rental Property / Business Interest / Primary Home / Land / Other)	Approx. Value
_____	\$ _____

_____	\$ _____
_____	\$ _____
_____	\$ _____

Debt

Type (Mortgage / Student Loan / Credit Card / Vehicle Loan / Other)	Approx. Balance	Interest Rate
_____	\$ _____	____ %
_____	\$ _____	____ %
_____	\$ _____	____ %
_____	\$ _____	____ %
_____	\$ _____	____ %
_____	\$ _____	____ %
_____	\$ _____	____ %

7) RETIREMENT PLANNING	Vision + numbers
-------------------------------	------------------

What does retirement look like for you (volunteering more, time with family, travel more, etc.)?

When retired, how much would you like to spend, in today's dollars? \$_____ per year

Your Retirement	Spouse Retirement (optional)
Target retirement age: _____	Target retirement age: _____
Exploring going part-time at a certain age? <input type="checkbox"/> Yes <input type="checkbox"/> No	Exploring going part-time at a certain age? <input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, at what age? _____	If yes, at what age? _____
Expected income during part-time years: \$ _____	Expected income during part-time years: \$ _____
How many years would you do that? _____ years	How many years would you do that? _____ years

FAMILY EXPENSES & GIFTING	Planning ahead
--------------------------------------	----------------

Do you have any big expenses (\$30k+) we want to plan for (big vacation, car, second home, buying a business, etc.)?

Yes No

Describe: _____

Estimated amount: \$_____ Timing/Year: _____

Do you contribute more than \$20,000/year to non-profits?

Yes No

If yes, approx amount/year: \$_____

8) INSURANCE + PROTECTION	Coverage check
----------------------------------	----------------

Life Insurance Details

Life Insurance Type (Term/Whole/UL/etc.)	Amount	Expiration Date	Last Reviewed
_____	\$ _____	___ / ___ / _____	___ / ___ / _____
_____	\$ _____	___ / ___ / _____	___ / ___ / _____
_____	\$ _____	___ / ___ / _____	___ / ___ / _____

Other Coverage (check all that apply)

- Long-Term Care Insurance Disability Insurance Umbrella Policy

9) ESTATE & LEGACY	Planning + protection
-------------------------------	-----------------------

Do you have these documents?

- Will Trust Power of Attorney Healthcare directive Guardian/Conservator for Minor Kids

Legacy goals (family, giving, church/charity, etc.)

10) ANYTHING ELSE?	
---------------------------	--

Is there anything else you would like to share with us that you think would be helpful for us to know about you, your family or your financial life?

Securities and Investment Advisory Services offered through M Holdings Securities, Inc., A Registered Broker/Dealer and Investment Advisor, member FINRA/SIPC. Rose Street Advisors is independently owned and operated. #5253823