

**Roger R Bell & Company, Inc.**  
**Planning & Investment Advisory Services**

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**Preliminary Overview Questionnaire - Confidential**

NOTE: Please forward your completed questionnaire to us at least five days *prior* to your complimentary consultation appointment.

**Personal Information**

Name: \_\_\_\_\_ Name: \_\_\_\_\_

Home Address: \_\_\_\_\_ Home Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_ City, State, Zip: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_ / Home Phone: \_\_\_\_\_ Work Phone: \_\_\_\_\_

Cell No. \_\_\_\_\_ E-mail: \_\_\_\_\_ / Cell No. \_\_\_\_\_ E-mail: \_\_\_\_\_

Age: \_\_\_\_\_ Marital Status: \_\_\_\_\_ Previously Married? \_\_\_\_\_ / Age: \_\_\_\_\_ Marital Status: \_\_\_\_\_ Previously Married? \_\_\_\_\_

Number of Children: \_\_\_\_\_ Ages? \_\_\_\_\_ / Number of Children: \_\_\_\_\_ Ages? \_\_\_\_\_

Appointment Preference: Day(s) M T W Th F Times(s): \_\_\_\_\_

Have you ever retained the services of a professional financial planner? \_\_\_\_\_

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

Please tell us how you heard about Roger R. Bell & Company? \_\_\_\_\_

**Employment**

Employer: \_\_\_\_\_ Employer: \_\_\_\_\_

Occupation: \_\_\_\_\_ Occupation: \_\_\_\_\_

Date of Hire/Position: \_\_\_\_\_ Date of Hire/Position: \_\_\_\_\_

Future Employment Plans: \_\_\_\_\_ Future Employment Plans: \_\_\_\_\_

**Investments, Savings and Other Assets**

<u>Type</u>	<u>Total value</u>	<u>Annual Contribution/Savings</u>
Total in IRAs	\$ _____	_____
Total in Employer Retirement Plans	\$ _____	_____
Cash/Money Market/Savings Accounts (non-retirement)	\$ _____	_____
Stocks, Bonds, Mutual Funds (non-retirement)	\$ _____	_____
Stock Options (non-retirement)	\$ _____	_____
Home Value	\$ _____	_____
Other Real Estate	\$ _____	_____
Business Interests	\$ _____	_____
Vehicle Estimated Values	\$ _____	_____

## Income Information

<u>Description</u>	<u>Person</u>	<u>Net Monthly Income / Gross Yearly Income</u>
Employment:		
Employment Bonus:		
Investment, Rental, etc.:		
Other Income: (Soc. Security)		
Pension Income:		
Child-Support, Alimony:		
Note Receivable, etc.:		
Additional Information:		

## Liabilities

<u>Description of Debt</u>	<u>Person</u>	<u>Amount Owed</u>
Credit Card and No. of Accts:		
Personal Loan(s) (vehicle, boat, etc.)		
Mortgage Loan(s):		
Business Loan(s):		
Loans Guaranteed by You:		

### ADDITIONAL QUESTIONS:

- Are you currently or have you ever been involved in a lawsuit? \_\_\_\_\_
- If yes, please explain. \_\_\_\_\_
- Do you have "current" estate planning documents? Wills - Y N / Durable Power of Attorney for Health and Financial - Y N / Advance Medical Directives (Living Wills) - Y N / Trusts - Y N  
When and in what state were they drafted? Date(s) \_\_\_\_\_ / State \_\_\_\_\_
- Indicate which of the following statements summarize your attitudes or beliefs using a scale of 1-5.  
(1 being most true and 5 least true)
  - \_\_\_\_\_ I would rather work longer than reduce my standard of living in retirement.
  - \_\_\_\_\_ I feel that I/we can reduce our current living expenses to save more for the future if needed.
  - \_\_\_\_\_ I am more concerned about protecting my assets than about growth.
  - \_\_\_\_\_ I prefer the ease of mutual funds and feel a professional money manager may achieve higher growth than I can.
  - \_\_\_\_\_ I am comfortable with investments that promise slow, long term appreciation and growth.
  - \_\_\_\_\_ I don't brood over bad investment decisions I've made.
  - \_\_\_\_\_ I feel comfortable with aggressive growth investments.
  - \_\_\_\_\_ I don't like surprises.
  - \_\_\_\_\_ I am optimistic about my financial future.
  - \_\_\_\_\_ My immediate concern is for income rather than growth opportunities.
  - \_\_\_\_\_ I am a risk taker.
  - \_\_\_\_\_ I make investment decisions comfortably and quickly.
  - \_\_\_\_\_ I like predictability and routine in my daily life.
  - \_\_\_\_\_ I usually pick the tried and true, the slow, safe but sure investments.
  - \_\_\_\_\_ I need to focus my investment efforts on building cash reserves.
  - \_\_\_\_\_ I prefer predictable, steady return on my investments, even if the return (interest rate or yield) is low.

Please comment on the guidance that you seek from us: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

DATE QUESTIONNAIRE COMPLETED: \_\_\_\_\_