



FINANCIAL PLANNING DATA COLLECTION FORM

Client Name :

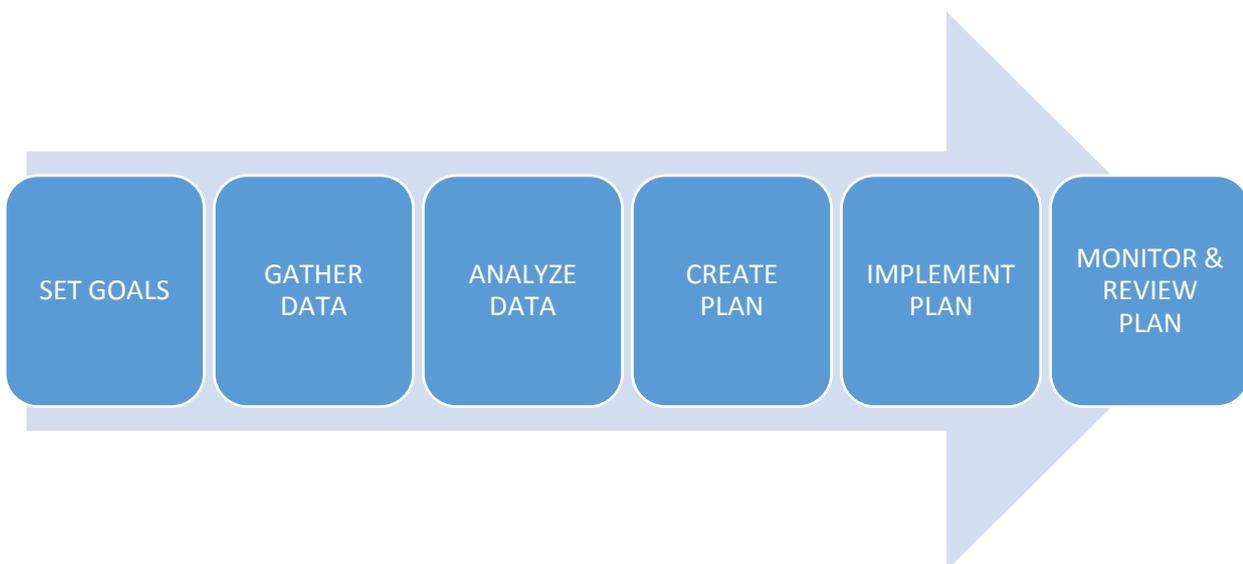
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Tel : 080-26572912

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GUIDELINES

1. It is important that this detailed questionnaire is filled as accurately and completely as possible.
2. If you are single or if your spouse is dependent or if you want to have an independent plan, please complete the questionnaire accordingly.
3. If certain question is not applicable, please state it is not applicable.
4. If certain question is applicable but information is not available, please state not available.
5. Please do not leave any question unanswered.
6. In respect of financial information, please provide the figures in thousands of rupees.
7. The information contained in this profile will be the basis for recommendations, developed as a part of your financial plan. All information will be kept confidential.
8. Sections marked as "*" are very crucial for decision making.

Financial Process Overview



Personal Details

Full Name			
Communication Address			
	City		
	State		PIN Code
Permanent Address			
	City		
	State		PIN Code
Gender			
Date of Birth (DD/MM/YY)			
Place of Birth			
Citizenship			
Marital Status			
Educational Qualification	Self		
	Spouse		
Occupation			
Employer			
Office Address			
	City		
	State		PIN Code
Designation			
Contact Details	Phone (Office):		
	Phone (Home):		
	Mobile:		
	Email ID:		
	2nd Email ID:		
PAN Number	Self		
	Spouse		
Referred by			

Dependents

SI No.	Name	Relationship	Date of Birth	Financially Dependent (Yes/ No)
1				
2				
3				
4				
5				

Space for additional details

○	
○	
○	
○	
○	

Discussion of Priorities

(Please rate from 1 to 10 in order of importance, '1' being the highest)

Financial Planning	
Investment Ideas	
Retirement Planning	
Education Funding	
Insurance Planning	
Tax Planning	
Debt Restructuring	
Monitoring my Investments	
Review of existing plan	

In the next year or so, what are the likely changes?

(Please rate from 1 to 10 in order of importance, '1' being the highest)

Start financial plan	
Buy a house	
Buy a new vehicle	
Purchase a property	
Sell property	
Invest more	
Retire	
Repay a loan	
Borrow money	
Expand business	
Sell a Business	
Others(specify)	

Your Goals and Objectives

(other than Retirement)

Here is an example for your reference

Short Term (Less than 5 years)	Target Year	Present Cost (in Rs.)
Funding of my son/daughter's Graduation	2024	5,00,000
Buying a New House	2018	70,00,000

Financial Goals

Short Term (Less than 5 years)	Target Year	Present Cost (in Rs.)

Medium Term (5 to 10 years)	Target Year	Present Cost (in Rs.)

Long Term (More than 10 years)	Target Year	Present Cost (in Rs.)

Cash-flow Income (Annual)

	Self (in Rs.)	Spouse (in Rs.)	Documents Required
Salary			Pay-slip
Rental			-
Business Income			Statement of income
Interests & Dividends			Form 16A
Any other income			Form 16A
Total			

Budget Planner

Particulars	Monthly	Annual
Groceries and household items		
Toiletries		

Particulars	Monthly	Annual
Rent/House payment		
Home repair/Up-keep etc.		
Car repair		

Particulars	Monthly	Annual
Health care		

Particulars	Monthly	Annual
Electricity		
Gas		
Water		
Laundry / Dry cleaner		
Subscription		
Cigarettes, Alcohol (if any)		
Entertainment (cable TV etc.)		

Particulars	Monthly	Annual
Basic telephone		
Cell phone		
Internet		

Particulars	Monthly	Annual
Basic clothing		

Particulars	Monthly	Annual
Books, CDs etc.		
Donations		
Hobbies		
Additional clothing		
Gifts, cards etc.		

Particulars	Monthly	Annual
Dining out		

Particulars	Monthly	Annual
Child care		
Parking		
Hair care		
Bank fees		
Special personal care		
Business services (CA's fee etc.)		

Particulars	Monthly	Annual
Home loan payment		
Car loan payment		

Particulars	Monthly	Annual
Travel		
School fees		
Others		

Description of Assets

(Liquid and Immovable/Tangible)

Liquid Assets	Current Valuation		Document required
	Owned by self	Owned by spouse	
Savings Bank / Cash in Hand			
Bank Deposits (Short term or Flexi)			
Loans given / Receivables			
Liquid Funds			

Immovable / Tangible Assets	Current Valuation		Document required
	Owned by self	Owned by spouse	
Principal Residence			
Other property (1)			
Other property (2)			
Other property (3)			
Jewellery			
Art			
Any other immovable/tangible asset			

Description of Liabilities

Liabilities	Outstanding Balance	Balance Period (in years)	Interest Rate
Mortgage of home			
Vehicle loan			
Education loan			
Personal loan			
Credit card			
Income tax			
Other liabilities			

Risk Profiler

- ▶ Tick the option wherever applicable
- ▶ More than one option is possible
- ▶ There are no right or wrong answer

All about me

1	So far my experience is best described as follows	Put a 'X' mark
<input type="radio"/>	Have very good knowledge and experience of investing in different asset classes	
<input type="radio"/>	Have good knowledge and familiar with different asset classes	
<input type="radio"/>	Have fair knowledge and experience of investing in different asset classes	
<input type="radio"/>	Have some knowledge but little experience with investing	
<input type="radio"/>	Have little knowledge and unfamiliar with investing	

2	My main investment objective is	Put a 'X' mark
<input type="radio"/>	To build long term wealth	
<input type="radio"/>	To grow assets and generate some regular income	
<input type="radio"/>	To grow capital and generate high amount of regular income	
<input type="radio"/>	To protect capital and earn regular income	
<input type="radio"/>	To protect capital	

My idea of Investing

1	My investment philosophy	Put a 'X' mark
<input type="radio"/>	I seek high investment returns and willing to assume high risk of potential losses associated with high returns	
<input type="radio"/>	I seek substantial investment returns and willing to take occasional short term declines	
<input type="radio"/>	I seek moderate capital growth over long term period but averse to taking high risk but prepared to take short term fluctuations in returns	
<input type="radio"/>	I am willing to take minor fluctuations in the value of investments but prefer to be invested in less risky investments so that likely hood of large losses are minimized	
<input type="radio"/>	I feel comfortable with stable investments that involve lower risk and generate lower returns but consistent returns year on year	

2	Keeping in mind your goals, what is your investment time frame or how long do you expect your money will be invested?	Put a 'X' mark
<input type="radio"/>	0-3 years	
<input type="radio"/>	4-10 years	
<input type="radio"/>	Over 10 years	

3	Have you ever invested in shares?	Put a 'X' mark
<input type="radio"/>	No – but if I had, fluctuations in returns would make me feel uncomfortable	
<input type="radio"/>	No – but if I had, I will be comfortable with fluctuations in returns in order to have the potential for higher returns	
<input type="radio"/>	Yes – I have, but I was uncomfortable with fluctuations in returns despite the potential for high returns	
<input type="radio"/>	Yes – I have and comfortable with fluctuations in returns despite the potential for high losses	

4	In investments, you prefer investing in	Put a 'X' mark
<input type="radio"/>	Shares/stocks/mutual funds	
<input type="radio"/>	Gold	
<input type="radio"/>	Real estate	
<input type="radio"/>	Bank deposits/post office instruments/govt.bonds	
<input type="radio"/>	Other risky investments	

Protection Planning

Insurance cover provided by the organization you are working for:

	Amount Covered (Rs.)	Amount Covered (Rs.)	Amount Covered (Rs.)
	Self	Spouse	Family
Life insurance			
Health insurance			
Accident insurance			

Details of personal and family health (Y/N)

	Self	Spouse	Child 1	Child 2
Hypertension				
Diabetes				
Any heart disease				
Any surgeries in past				
Any other ailment				

	Parents		In-laws	
	Father	Mother	Father	Mother
Hypertension				
Diabetes				
Any heart disease				
Any surgeries in past				
Any other ailment				

	Yes/No	Remarks
Do you / any of your dependents have any major health issues?		
Are you undergoing any regular medical treatment for long term?		
Is there any family history of major illness for you or your spouse?		
Have you insured your house property?		

Investment Details

(If you are not able to provide both cost and present value, quote any one figure)

Debt Instruments:	Cost Value (in Rs.)	Present Value (in Rs.)	Documents Required
PPF			
KVP			
NSC			
Post Office Monthly Income Scheme			
Infrastructure Bonds			
Bank FDs			
Company FDs			
Debt Mutual Funds (other than liquid funds)			
Any other debt instruments			

Equity & Commodity:	Cost Value (in Rs.)	Present Value (in Rs.)	Documents Required
Direct Equity			
Equity Mutual Funds			
ULIP (Fund value)			
Gold ETF / Bar / Coin etc.			
Silver			
Other commodities			

Retirement Planning Details

Personal Retirement Information

1	At what age do you plan to retire?	
2	Will you continue to work part time after retirement?	
3	Is early retirement a possibility?	
4	If yes, at what age?	
5	At what age do you expect to be fully retired?	
6	Do you have any potential health problem?	
7	Will you continue to live where you do now?	
8	Do you plan to travel more?	
9	Would you like to start or continue your own business?	

Funds Accumulated

Particulars	Monthly Contribution	Annual Contribution	Balance (Current) Rs.	Due date
PPF				
EPF				
Gratuity *				
Superannuation				
Pension fund				
Leave encashment				
Total				

* Provide date of joining of present company

Tax Planning

		Yes/No
1	Have you filed your IT returns for the last three years?	
2	Have you claimed all the exemption and deductions wherever applicable?	
3	Have you claimed refunds (if any)?	
4	Have you received any intimation / notices from IT Dept?	
Remarks:		

Estate Planning

(Estate Planning Checklist)

1	Do you have a signed will?	
2	Do you have a signed power of attorney for your financial affairs?	
3	Have you reviewed your will and power of attorney in last two years?	
4	Do you have an up-to-date net worth statement listing your assets and liabilities?	
5	Have you named beneficiaries for all of your registered investments and life Insurance policies?	
6	Do your family members know where to locate your financial records?	
Remarks:		

Additional Information

1	Have you appointed nominees for all investments?	
2	Are you a guarantor for any loan?	
3	Do you have any pending legal case where there might be a liability?	
Remarks:		

My Financial Concerns

1	How concerned are you about having your portfolio keep pace with inflation?	Put a 'X' mark
<input type="radio"/>	Not concerned	
<input type="radio"/>	Slightly concerned	
<input type="radio"/>	Concerned	
<input type="radio"/>	Very concerned	

2	To what extent are you concerned about getting tax relief which is legal and suitable?	Put a 'X' mark
<input type="radio"/>	Not concerned	
<input type="radio"/>	Slightly concerned	
<input type="radio"/>	Concerned	
<input type="radio"/>	Very concerned	

3	How concerned are you about cash been made available to meet emergencies or investment opportunities?	Put a 'X' mark
<input type="radio"/>	Not concerned	
<input type="radio"/>	Slightly concerned	
<input type="radio"/>	Concerned	
<input type="radio"/>	Very concerned	

Related Entity (if self employed)

Name	
Legal form of organization	
Directors / Partners	
% of share	

Final Checklist of Documents

1. Copy of PAN card	7. FD receipts	13. Details of Employee Stock Options
2. Copy of address proof	8. Mutual Funds' statements as on date	14. Details of EPF balance and Superannuation balance
3. Demat Client Master	9. Equity - statement of holding as on date	15. Details of life insurance and health insurance cover by the employer
4. Latest salary slip	10. Loan documents	16. Details of any other income and supporting documents thereof
5. Copy of insurance policy documents	11. Copy of passbook for all post office savings	17. Details of any other investment - documents supporting the investment
6. ULIP's statements as on date	12. Copy of schedule of properties owned (Sale Deed)	

DECLARATION

I have completed all the questions which apply to me. I request you to provide a written plan with recommendations to achieve my goals and objectives.

I understand that for a financial plan to be prepared, the recommendations provided in that plan will only be as accurate as the data that has been collected during this interview. To this end, I declare to the best of my knowledge the information provided is complete and accurate.

Name	Signature	Date