

# **BOLLINGER CAPITAL MANAGEMENT, INC.**

## **Confidential Client Questionnaire**

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

Name for Account Registration: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: Day \_\_\_\_\_ Evening \_\_\_\_\_

Email Address: \_\_\_\_\_

Preferred Method of Communication: \_\_\_\_\_

Social Security or Tax ID Number: \_\_\_\_\_

Age: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ Spouse's Age: \_\_\_\_\_

Age(s) of children: \_\_\_\_\_

Your field of work: \_\_\_\_\_

Year you retired or would like to: \_\_\_\_\_

Contemplated account size (minimum \$250,000) \$: \_\_\_\_\_

### **Financial Situation:**

Annual Income: \$ \_\_\_\_\_

Key Income Sources:

- \_\_\_\_\_ \$ \_\_\_\_\_
- \_\_\_\_\_ \$ \_\_\_\_\_
- \_\_\_\_\_ \$ \_\_\_\_\_

Approximate liquid net worth: \$ \_\_\_\_\_

Other major investments: \$ \_\_\_\_\_

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Over the next several years, you expect your annual income to:

- Stay about the same
- Grow moderately
- Grow substantially
- Decrease moderately
- Decrease substantially

### **Investment objectives:**

My key goal for my portfolio is:

- Intermediate to long term capital appreciation
- Generating Income
- Preserving wealth

Are you dependent on this account to meet any current income requirements?

- No
- Yes

How many people in your family, beside yourself, do you fully or partially support financially? \_\_\_\_\_

Should we be considering the objectives of your heirs or dependants in our investment decisions?

- No
- Yes

### **Investment time horizon:**

What do you expect to be your next major expenditure?

- Buying a house
- Paying for a college education
- Capitalizing a new business
- Providing for retirement
- Other: \_\_\_\_\_

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Plans for withdrawals:

- I am already taking voluntary regular withdrawals
- I am already taking my required minimum distribution
- I plan to begin withdrawing money from my investments in :\_\_\_ years

I need my withdrawals to cover my planned expenses for :\_\_\_\_\_years

### **Risk tolerance:**

What is your investment experience level?

- Not at all experienced
- Somewhat experienced
- Has made/makes my own investment decision
- Has worked/works in Financial Services or holds a financial credential

Do you follow the markets?

- Not at all
- Somewhat
- Very Closely

When I invest I am:

- Most concerned about my investment losing value
- Equally concerned about my investment losing or gaining value
- Most concerned about my investment gaining value

Which of the following statements do you agree with?

- You have to take risk to make returns
- Safety of principle is a paramount concern
- CDs are a safe investment
- Inflation is the real danger
- Investing is risky

How do you feel about taking risk when seeking returns?

- Willing to take substantial risk
- Willing to take some risk
- Depends on the opportunity
- Shy away from risk
- Risk avoidant

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When you hear the word risk in relation to investing what comes to mind?

- Danger
- Opportunity
- Uncertainty
- Volatility
- Thrill

How much risk are you willing to take in this account(s)?

- As little as is possible
- Some
- A moderate amount
- Meaningful risk
- Substantial risk (High risk?)

The stock market is volatile and often experiences pullbacks of 10%, 20%, or more. If your portfolio were to participate in a pullback at what level would you become uncomfortable?

- 5%
- 10%
- 20%
- 33%
- 50%

In recent years has your risk tolerance changed?

- No
- Increased somewhat
- Increased a lot
- Reduced somewhat
- Reduced a lot

On a scale of one to ten how risky is it to...

- Hide money under the mattress: \_\_\_\_\_
- Invest in stocks: \_\_\_\_\_
- Invest in bonds: \_\_\_\_\_
- Lose purchasing power to inflation: \_\_\_\_\_
- Invest in real estate: \_\_\_\_\_

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### **Liquidity needs:**

Please let us know if you have any major one time withdrawals planned:  
*(for example home purchase, planned healthcare costs, planned vacation expenses,  
etc.)*

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