MAINSTREET RIA LLC

Financial Planning Questionnaire

Information we use to build your retirement and financial plan

CLIENT 1 FULL NAME	CLIENT 2 FULL NAME

DATE COMPLETED	MARITAL STATUS	MAINSTREET ADVISOR
		Nick Oldham

Fill in what you know and leave the rest blank. Estimates are fine, we will go over everything together. If you are single, use the Client 1 column only. Click any box to type; drop-down boxes have choices to pick from. Please do not write account numbers or Social Security numbers anywhere on this form.

1 About You and Your Retirement Goals

	SPOUSE / CLIENT 1	SPOUSE / CLIENT 2
Date of birth MM/DD/YYYY		
Age you expect to live to Used for planning purposes only		
Expected health at age 65 Pick the best fit		
Planned retirement age		
Salary / income (annual) Gross, before taxes		
Monthly health expenses before age 65 Include employer coverage premiums and out-of-pocket costs		

2 Retirement Income Sources

	SPOUSE / CLIENT 1			SPOUSE / CLIENT 2		
Social Security From your ssa.gov statement if you have it	Monthly amount $	Start date or age		Monthly amount $	Start date or age	
Pension Leave blank if none	Monthly $	Start date	Payout type	Monthly $	Start date	Payout type
Expected inheritance Approximate amount and year you expect it	Amount $	Year		Amount $	Year	

3 Retirement and Savings Accounts

Enter current balances and how much you put in each year. For joint checking or savings, use the Client 1 column and write "joint" in Notes on page 3.

	SPOUSE / CLIENT 1		SPOUSE / CLIENT 2	
401(k) / 403(b) Your own contributions	Balance $	Annual contribution $	Balance $	Annual contribution $
Employer 401(k) match Dollar amount per year, or the % formula	Annual $ or formula		Annual $ or formula	
Traditional IRA	Balance $	Annual contribution $	Balance $	Annual contribution $
Roth IRA	Balance $	Annual contribution $	Balance $	Annual contribution $
Stock options / company stock	Balance $	Annual contribution $	Balance $	Annual contribution $
Health Savings Account (HSA)	Balance $	Annual contribution $	Balance $	Annual contribution $
Checking account balance	Balance $		Balance $	
Savings account balance	Balance $		Balance $	
Average amount saved to checking / savings each year What is left over after all expenses	Annual $		Annual $	

4 Household Spending

Expected annual expenses in retirement Leave out mortgage principal and interest and any current debt payments	
Home property taxes and insurance (annual total)	

5 Your Home

Current home value (estimate)	
Mortgage interest rate	
Mortgage payment (monthly) Principal and interest	
Mortgage payoff date MM/YYYY	
Planned future home change	
Age or year of the change, and expected price Example: age 68, buy a $350,000 condo	

6 Debts

Car loans, student loans, credit cards, HELOCs, personal loans, and so on.

TYPE	DESCRIPTION	INTEREST RATE	MONTHLY PMT $	BALANCE $	PAYOFF DATE
Car loan 1					
Car loan 2					
Other debt 1					
Other debt 2					
Other debt 3					

7 Future Large Expenses

Examples

2035 | New car | $40,000 | Paid in cash
2035 | Vehicle loan | Financed | $800 per month for 5 years
2045 | New car | $47,000 | Paid in cash
Others: boat, deck, roof, wedding, college

#	YEAR	DESCRIPTION	TOTAL COST $	HOW PAID	MONTHLY PMT $	# OF YEARS
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						

8 Anything Else We Should Know

Goals, worries, gifts to family, charitable plans, joint accounts, upcoming job changes, or anything else.

Important Disclosures

1 **Purpose of this form.**
The information you provide is used by Mainstreet RIA LLC to prepare a financial plan for you. Completing this questionnaire does not by itself create an advisory relationship.

2 **Accuracy of information.**
Your plan is only as accurate as the information and assumptions it is built on. Mainstreet RIA LLC relies on the information you provide and does not independently verify it. Please let us know whenever your situation changes so your plan can be updated.

3 **Projections are hypothetical.**
Financial plan projections, including retirement income, longevity, health, and market return assumptions, are hypothetical in nature, do not reflect actual investment results, and are not guarantees of future results. Actual outcomes will vary, possibly significantly.

4 **Investment risk.**
All investing involves risk, including the possible loss of principal. Past performance does not guarantee future results.

5 **Not tax or legal advice.**
Mainstreet RIA LLC does not provide tax or legal advice. Please consult a qualified tax professional or attorney about your specific situation.

6 **Social Security and pensions.**
Benefit estimates are based on information you provide and current rules, which can change. Confirm Social Security estimates at ssa.gov and pension details with your plan administrator.

7 **Privacy and security.**
Information on this form is kept confidential and handled in line with Mainstreet RIA LLC's privacy policy. Do not include account numbers, Social Security numbers, or passwords on this form. Please return it using a secure method provided by your advisor.

8 **Registration.**
Mainstreet RIA LLC is a registered investment adviser. Registration does not imply a certain level of skill or training.

9 **About your financial plan.**
This financial plan is based on information you provided and certain assumptions that may change over time. Financial plans should be updated periodically over time. The projections and recommendations are hypothetical and not guarantees of future results. Implementation of any strategies is your responsibility and Mainstreet RIA LLC does not provide legal or tax advice. If you engage us for advisory services, Mainstreet RIA LLC would receive compensation. Mainstreet RIA LLC is a SEC Registered Investment Advisor.

Mainstreet RIA LLC

Questions while filling this out? Call or email your Mainstreet advisor.

Advisor phone / email: 636-699-8657 | nick@mainstreet-ria.com