Dear {Salutation},

I hope this will be the longest letter you ever receive from me. I’ve tried to keep it short. Please bear with me.

Let me start by saying that the opportunities and activities in the financial markets absolutely require we stay in close touch.

On my part, I am going to take advantage of some technology, a great assistant, and some old-fashioned hard work to accomplish this.

Here are three problems, as I see them:

1. In today’s world, communication between us is ever more important. I am certainly going to do my best to ensure that if you need to talk to me, I’m here for you.

2. There is an absolutely bewildering amount of information to keep track of. Part of my job is to help keep track of it for you.

3. Sometime, frankly, it’s hard to connect by phone. You are busy. I’m frequently out of the office meeting with clients, or on the phone.

Obviously, I wouldn’t have written to tell you about problems if I didn’t have a solution already in mind.

As I mentioned, I am going to use some technology. I have just invested a substantial amount of money in a new computer system. I have it programmed to help me keep track of everything I need to know about you.

Next point. As you know, I believe strongly in the “team” approach. Given the complications of today’s world, I believe you’ll find my team approach very important. With my team, there will always be someone here to answer questions when you call!

One very important person on my team is my Service Assistant, {name}. {Name of Service Assistant} has been an enormous help to me and can be an enormous help to you! Basically, {name} is here to take care of all your service needs.

If you have any problems with checks, statements, or literature, or if you need quotes or other routine information, call and ask for {name}. {Name} is here every day from {start time} to {end time}.

The biggest advantage of having a team is being able to spend more of my time working for you in what I do best:

**Helping your business with high quality financial services!**

While I specialize in corporate cash management, I can certainly help you in *other* areas. I can help arrange lines of credit or term financing; and use my expertise in pension, profit sharing, and 401(k) plans. And of course, I help manage the private funds of business owners and corporate executives.

Occasionally, I may send you an idea or two about *new* investment options to consider, and I fully expect to send you information and even articles you should read.

One final point. I want to ask a favor. I am committed to giving you the best possible service I can give. But to do this, I need the most accurate information possible. So I’m sending you a questionnaire that lists some of the information I know about you as well as requests some information I need.

Here’s the favor. Fill out the questionnaire, put it in the enclosed envelope, and send it back.

Thanks for your help and your patience in reading this letter. If there is anything I can do for you, please give me a call.

Sincerely,

P.S. I’m always interested in developing a few more good clients like you. If you’re happy with the service I give, you might want to jot down the names of anyone else who might benefit from it. There is space for this at the bottom of the questionnaire.

**CONFIDENTIAL QUESTIONNAIRE**

**Please review the following name and address information. If information is missing or not correct, place corrections to the right. Otherwise, continue below.**

Address Name

Company

Address 1

City, State Zip

Best Phone #(Home/Office): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Fax#: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

Retirement Date: \_\_\_\_\_\_\_/\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

Retirement Date: \_\_\_\_\_\_\_/\_\_\_\_\_\_/\_\_\_\_\_\_\_\_\_\_\_\_\_ Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**SURVEY INFORMATION**

**Please feel free to use the back of this questionnaire to provide any additional information.**

1. Kindly check off any items that may have occurred recently or are likely to occur in the foreseeable future.

\_\_\_\_ Retirement \_\_\_\_ Downsizing Home \_\_\_\_ CDs Maturing

\_\_\_\_ Job Change/Career Change \_\_\_\_ Other Real Estate Changes \_\_\_\_ Savings Bonds to be cashed

\_\_\_\_ Required Minimum Distribution \_\_\_\_ Status Change (marriage/divorce) \_\_\_\_ Birth of Family Member

\_\_\_\_ College Tuition \_\_\_\_ Family Illness or Parental Care \_\_\_\_ Other (use back of sheet or

call)

2. Are there any “life changes” (Including a new will) that might benefit from a financial or estate planning review? Use back of sheet to explain or feel free to call to discuss it with us) \_\_\_\_ Yes \_\_\_\_\_ No

3. Please indicate family members (children, grandchildren, etc.) and their information below. (Use back of sheet if necessary.)

**Relationship Full Name Birthdate Mailing Address**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_/\_\_\_\_/\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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4. Kindly indicate any dates away from your primary address along with the mailing address and phone.

**Date(s) From & To Address City, State, Zip Phone**

\_\_\_\_/\_\_\_\_/\_\_\_\_\_ TO \_\_\_\_/\_\_\_\_/\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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5. So that I am certain to be in touch with you at those times when you’re likely to need investment advice, please list below any funds that you will have available to invest o re-invest:

**Amount Date Due Source of Funds (CDs, gifts, tax-**

**refund, bonds maturely, etc.)**

$\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_/\_\_\_\_/\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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REFERRALS: We would like to talk to your friends and family members who may benefit from speaking with us about their current investments, lifestyle, and long-range goals. Indicate their information below.

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

***I appreciate your time and cooperation in helping me in this matter!***