Dear Prospective Client,

The advisors at Ark Advisors are glad to get to know you and your family! Please review this packet for information on the Ark on-boarding process.

Please complete only the sections of the questionnaire that are relevant to your needs. Skip any questions that do not apply to you. Please return the completed questionnaire before scheduling your initial consultation.

If you have questions, please contact our office at 309-661-2000.

Thanks,

On-Boarding Process

Ark Advisors wealth management

New Client Onboarding Process

01	Customer contacts Ark Advisors	Onboarding Process Overview, Client completes Prospective Client Questionnaire
	Introductory Meeting	High Level Discussion of Financial Situation; Discuss Ark Process, Deliverables & Terms; Q & A, No Fee Charged for Introductory Meeting
02	Formalize Relationship	Client Agrees to Ark Terms; Indicates Investment Management and/or Comprehensive Planning
	Account Transfers	Begin Process of Transferring Accounts to Ark Advisors
03	Planning Meeting(s)	Discuss Client Goals & Values. Review Client's Financial Situation In-Depth.
	Drafting Period	Ark gathers additional information needed to draft Investment Management or Comprehensive Financial Plan.
04	Plan Review & Approval Meeting	Ark and Client Review Plan, Make Updates, Client Approves Plan
	Plan Implementation	Ark implements Plan. Client Receives Copy of Finalized Plan. Coordination with Tax Professionals, Attorneys, Family Members & Trusted Contacts
05	Account Monitoring	Financial Plans are Dynamic. Ark continuously Monitors and Adjusts Accounts according to Client's Plan, Market Conditions, or other Relevant Factors.
	Periodic Client Meetings	Regular Check-ins and Account Reviews based on Client Preferences.
	Ongoing Plan Updates	Changes in Goals, Major Life Events, Economic Conditions, Job Changes, Changes in Family Structure
	Continuous Financial Advisory Support	Ark provides Ongoing Availability & Support for Market Behavior Counseling, Investments, Debt, Retirement, Insurance, Tax, Education, or Estate Planning Questions.

Secure File Submission

IMPORTANT CYBERSECURITY NOTICE

In today's digital age, email communication and texting are convenient, but it's essential to be cautious about the type of information you share over these communication channels. Your security is a top priority for Ark Advisors, LLC, and we want to take prudent steps to safeguarding your personal information and data.

Please refrain from sending any personal information such as social security numbers, driver's license information, passwords, or other confidential information over email or text. These communication channels can be intercepted by unauthorized parties, posing a risk to your privacy and security.

If you need to share sensitive information with us, we recommend using secure channels such as our encrypted File Submission Portal or contacting us directly by phone. These methods provide an added layer of protection for your data.

Instructions for accessing our secure File Submission Portal are below:

Please click the following link, or scan the QR code below, to securely upload your files to Ark Advisors, LLC.

File Upload Link:
https://arkadvisorsllc.app.box.com/f/79b219e13d944093a4ad06c2a53adc0f

Name ______________________________

Cell Phone # ______________________________

Email Address ______________________________

1. Please comment on the advice you seek.

2. Please briefly describe your occupational history and family structure.

3. How did you hear about Ark Advisors, LLC?

4. How have you managed your investments and financial planning in the past?

5. If you were reviewing your financial progress 3 years from today, what would have to happen for you to feel successful?

6. Please describe how you currently manage your budget.

7. Please describe your insurance plan.
   (life, long term care, disability, liability, business, auto, homeowners, other)

8. Please comment on any college funding goals.
   (pay 100%, partial pay, scholarships, financial aid, loans, other)

9. Please describe what a successful retirement looks like for you.
   (At what age do you plan to retire? What will you do? Income goal?)

10. Does your retirement picture look significantly different than your lifestyle today? If so, please comment.

11. Is there a parent or a child with unique needs that will require special considerations? If so, please provide a brief overview of circumstances.

12. How important is it for you to be able to intervene in the financial lives of your children and grandchildren? How do you plan to do it?

13. Is there an institution that you care deeply about that you wish to leave a meaningful legacy?

14. Do you expect to receive an inheritance someday? If so, please describe.
    (cash, investment accounts, business, farm, other)

15. Please comment on any family health history of close relatives.
    (unexpected early deaths, dementia/Alzheimer's, other)

16. Please list any special tax considerations.
    (carry over business profits, farm sale, capital gains, inherited assets from annuity or brokerage accounts, large unpaid taxes, business sale, large stock positions, employee bonuses, alternative minimum tax, inherited IRAs)

17. Please list any special estate considerations. If you have a trust, please briefly include the main reasons for setting it up.
    (family structure – divorce, remarriage, widowed; tax implications, business ownership, family farm, charitable giving, trusts, funeral and burial wishes, digital assets, guardianship, children or individuals with unique needs)

18. Tax and Estate Planning Documentation

Who prepares your tax return?

- ◯ Self
- ◯ Paid Preparer ______________________________
- ◯ Tax Professional Phone and Email ____________________________-

Who is your attorney?

- o Name: ______________________________
- o Firm: ______________________________
- o Attorney Phone and Email: ______________________________

Who is your family Trusted Contact?

- o Name: ______________________________
- o Trusted Contact Phone and Email: ______________________________

Do you have estate planning documents? When were they last updated?

- o Wills Y N ___________________________________
- o Revocable Trusts Y N ___________________________________
- o Irrevocable Trusts Y N ___________________________________
- o Power of Attorney Y N ___________________________________
- o Advance Healthcare Directive Y N ___________________________________
- o Other Y N ___________________________________

These items may be needed, should you engage our services:

Prior Year Tax Return	Long Term Care Policies	Annuity Policies
Paycheck Stubs	Disability Policies	401(k) Account Statements
Investment Account Statements	Social Security Statement	Savings Account Statement
Life Insurance Policies	Pension Estimates	Certificate of Deposits List (CDs)
Real Estate Appraisals	Loan Documents	Trust Account Statements