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PERSONAL DATA

Name(s): _____

Home Address: _____

City, State, Zip: _____

Home Phone: _____ Private Fax: _____

Employer(s): _____

Work Phone(s): _____

Cell Phone(s): _____

Email(s): _____

Birthday(s): _____ Citizenship: _____

Preferable means of contact during business hours: Email or Phone

Relationship status: ___ Single ___ Married ___ Life Partner
___ Legally Separated ___ Divorced ___ Widowed

<u>Family Member</u>	<u>Relationship</u>	<u>DOB</u>	<u>Dependent?</u>	<u>Resides?</u>
_____		___/___/___	Y_N	_____
_____		___/___/___	Y_N	_____
_____		___/___/___	Y_N	_____

Have you been married previously? _____

Do you plan to have or adopt children? When? _____

Will you have financial responsibility for anyone in the future? If so, who? When?

FINANCIAL PLANNING QUESTIONS

If you found yourself without income, how many months of current expenses could you cover with liquid assets?

- I don't know 1-3 months 4-6 months 7+ months

Do you have...?

- Will Living Will Health care power of attorney
 Financial power of attorney Living trust Irrevocable trust
 Auto ins Home ins Umbrella ins Disability ins
 Life ins Health ins Long term care ins

Are you interested in discussing life insurance? Yes - No

Are you interested in discussing long term care insurance? Yes - No

Rate your overall investment knowledge and experience?

- None – I'm starting to invest or I've made blind investment decisions.
 Some – I'm not sure exactly what my investments decisions mean.
 Good – I feel confident about the decisions I've made and want a 2nd opinion.

What type of investment advice are you seeking?

- None – I have an investment manager or am managing it myself.
 Review or develop my portfolio asset allocation.
 Review and make recommendations regarding my current investments.
 Make recommendations for new or alternative mutual funds.

How much would you like to increase your knowledge about investing?

- None – I want you to just tell me what to do.
 Some – I want to make informed choices, but am not truly interested.
 A lot – I am very interested in investments.

Do you want to discuss socially responsible investments? Yes – No

Have you worked with any of these professionals?

- Financial Planner Investment Advisor Accountant
 Attorney Insurance agent

Please complete this individually and separately. In other words, a couple will turn in 2 of these worksheets.

GOALS

List your financial goals, their estimated completion date and cost.

Goals

Completion date

Cost

What life changes do you anticipate or hope for over the next 10 years?

Please complete this individually and separately. In other words, a couple will turn in 2 of these worksheets.

VISION

If money were not a factor, how would you live your ideal life?

Describe your vision of 'the life well lived':

What would you regret not doing or regret not being?

FINANCIAL DATA – Assets & Liabilities

ASSETS

Bank and Credit Union Accounts _____

Investment Accounts - Mutual Funds, Stocks/Bonds _____

Investment Accounts - Mutual Funds, Stocks/Bonds _____

Investment Accounts - Mutual Funds, Stocks/Bonds _____

Retirement Accounts – 401k, 403b, IRAs _____

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Insurance Accounts – Annuities, Cash Value _____

Other Accounts – ESOP, ESPP _____

Home (approximate market value) _____

Rental Home (approximate market value) _____

Land (approximate market value) _____

Vehicles (trade in value) _____

Private Loans Due You _____

Other: _____

TOTAL ASSETS: _____

DEBTS

Home Mortgage _____

Rental Home Mortgage _____

Home Equity Loan or Line of Credit _____

Credit Card Balance(s) – if not paid in full monthly _____

Auto Loan(s) _____

Private Loan(s) _____

Student Loan(s) _____

Other: _____

TOTAL DEBTS: _____

FINANCIAL DATA - Income

ANNUAL INCOME

Gross Salary or Wages	_____
Bonus/Commissions/Tips	_____
Net Business Income or Rental Income	_____
Investment Income (interest, dividends)	_____
Alimony	_____
Child Support	_____
Trust Income	_____
Gifts	_____
Social Security	_____
Pension or Annuity Income	_____
Tax Refund	_____
Other: _____	_____
TOTAL GROSS INCOME:	_____

* If you're self-employed and do not have a salary, please include your Schedule C income for the most recent 2 tax years.