CONTACT INFORMATION

Name: ____________ Nickname: ____________ Date of Birth: ____________

Working At/ Retired From: ____________ Current/Former Occupation: ____________ Retired? Yes No Semi

Spouse Name: ____________ Nickname: ____________ Date of Birth ____________

Working At/ Retired From: ____________ Current/Former Occupation: ____________ Retired? Yes No Semi

Home#: ( ) ____________ Cell#: ( ) ____________ Email: ____________

Primary Address Street/City/State/Zip ____________

Were you referred to us? YES NO If so, by whom? ____________

FAMILY

Children's Names	Age	Number of Grandchildren	Grandchildren Ages
Child 1			
Child 2			
Child 3			
Child 4			
Child 5			

Who are your trustees and/or executor? ____________

Do any of your children or grandchildren have special needs? YES ☐ NO ☐

Are any of your children or grandchildren listed as joint owners? YES ☐ NO ☐

LEGAL ITEMS

Which of the following documents do you have?

	Yes	No
Will	☐	☐
Power of Attorney (POA) Assets	☐	☐
Power of Attorney (POA) Health	☐	☐
Living Will	☐	☐
Living Trust	☐	☐

Date Last Updated ____________

ADD'L ITEMS

Which of the following do you have?

	Yes	No
Umbrella Policy	☐	☐
Long Term Care Insurance	☐	☐
Have you prepaid your funeral?	☐	☐

Death Benefit Type Whole Term Universal

Life Insurance ____________

Life Insurance ____________

CASH FLOW

Please list **monthly income** from each source:

	Husband	Wife
Social Security	____	____
Pension	____	____
(Survivor Options)	____	____
Wages	____	____
Other Income	____	____

Are these amounts net or gross? Gross Net

How much are your monthly expenses? ____________

Here are some common expenses: *Mortgage, Food, Gas, Car Loan Insurance, Utilities, Gifts/Donations, Medical, Taxes, Social Security, etc.*

Is your current cash flow sufficient and comfortable?	Yes No
Do you take any withdrawals from your retirement savings to meet your current budget?	Yes No Don't Know
Do you anticipate any significant changes in cash flow?	Yes No Don't Know
Are you planning any major lifestyle changes?	Yes No Don't Know
Do you foresee any large purchases greater than $5,000 within the next 3 years?	Yes No Don't Know
Do you contribute to charity?	Yes No

LIFE EVENTS

In the near future I expect to: (Please check all that apply)

- ☐ Buy a home
- ☐ Sell a home
- ☐ Improve a home
- ☐ Retire
- ☐ Care for a parent
- ☐ Start/Expand a business
- ☐ Pay off debt
- ☐ Start a part-time job
- ☐ Help fund education costs for a family member
- ☐ Sell a property
- ☐ Receive an inheritance
- ☐ Purchase a property
- ☐ Other ____________________

ASSETS

Assets: Please check off the accounts you currently hold, note the approximate value and bring in the latest statement.

- ☐ Bank / Credit Union Accounts ____________
- ☐ CDs ____________
- ☐ Mutual Funds / Stocks / Bonds ____________
- ☐ Brokerage Accounts ____________
- ☐ Business Interest ____________
- ☐ Annuities ____________
- ☐ Retirement Accounts from Work ____________
- ☐ IRAs / 401K / 403B / Keoghs / TSAs ____________
- ☐ Life Insurance ____________
- ☐ Long Term Care Insurance ____________
- ☐ Promissory Notes / Contract for Deed ____________
- ☐ Other Assets ____________

Property:

	Balance Owed	Payment	Pay off date
Home Value $ ____________	____________ /	$ ____________ /	____________
Autos and Personal Property $ ____________	____________ /	$ ____________ /	____________
Rental/Add'l Properties $ ____________	____________ /	$ ____________ /	____________

ADD'L INFORMATION

If you are not already retired, when do you want to retire? ____________________

How did you acquire your wealth?

Who else do you rely on for financial advice and decisions?

If something were to happen to you tomorrow, who do you want taken care of?

Please pick the top two for your retirement "nest egg" money. Why? SAFETY LIQUIDITY GROWTH INCOME

How would you describe your investment knowledge? NONE AVERAGE LIMITED GOOD HIGH EXPERT

Client Health ____________________ Spouse Health ____________________

CONCERNS

Which of the following are your top three concerns?

- ☐ Losing too much money in the stock market
- ☐ Avoid paying too much in taxes
- ☐ Considering retirement and not sure if I/we can afford to
- ☐ Not having a reliable income plan for retirement
- ☐ Concerned about giving away life savings due to a catastrophic illness
- ☐ Outliving nest egg
- ☐ Uncertainty about stock market
- ☐ Leaving a legacy to children and/or grandchildren
- ☐ Need direction with 401K and/or IRA accounts

OBJECTIVES

Which of the following describes your risk tolerance when it comes to retirement assets?

- ☐ Conservative
- ☐ Moderate
- ☐ Aggressive

What are your Financial Objectives? (Check all that apply)

- ☐ Income Now/Later
- ☐ Reduce Risk
- ☐ Growth Potential
- ☐ Reduce Taxes
- ☐ Reduce Fees
- ☐ Pass to Beneficiaries