



PRELIMINARY FINANCIAL PROFILE

The information you provide on this form is confidential. If you prefer, you may attach copies of statements showing the information requested. If you do not have exact values available, please feel free to provide estimates.

GENERAL INFORMATION

Today's date _____

CLIENT

Name _____
 Birth Date _____
 US Citizen? Yes No
 Home Address _____

CO-CLIENT

Name _____
 Birth Date _____
 US Citizen? Yes No

Phone Numbers

Home _____
 Work _____
 Cell _____

E-mail _____

How often do you check for e-mail messages?

What is your preferred method of communication?

Cell Phone Home Phone Work Phone Email

Cell Phone Home Phone Work Phone Email

Employed Self-Employed Retired
 Unemployed

Employed Self-Employed Retired
 Unemployed

Occupation _____

Marital Status

Single Married (Date of marriage _____)
 Divorced (Year divorce finalized _____)

Widowed (Since _____)
 Other _____

Children or Dependents

Name	Birthdate	Biological or adoptive child of		
		<u>Client</u>	<u>Co-Client</u>	<u>Other Relationship</u>
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	_____

FINANCIAL PLANNING PRIORITIES AND GOALS

What are your three most important financial concerns or goals?

1. _____

2. _____

3. _____

ASSET AND LIABILITY INFORMATION

Checking, Savings/CDs, Money Market Funds \$ _____

Retirement Accounts (IRA's, 401(k)'s 403(b)'s, etc.) \$ _____

Stocks, Bonds \$ _____ Mutual Funds \$ _____

Annuities \$ _____ Other Assets \$ _____

Your Home \$ _____

Other Real Estate \$ _____

First Mortgage
Balance \$ _____

Second Mortgage/Home Equity Loan
Balance \$ _____

Monthly Payment \$ _____

Monthly Payment \$ _____

Includes escrow? Yes No

Includes escrow? Yes No

Rate _____% Fixed Variable

Rate _____% Fixed Variable

Original or refinanced term _____ years

Original or refinanced term _____ years

Remaining term _____ years

Remaining term _____ years

Other Mortgage \$ _____

Credit Cards \$ _____

Installment Loans \$ _____

Other Liabilities \$ _____

ANNUAL EARNED INCOME

CLIENT**CO-CLIENT**

Salary \$ _____

\$ _____

Commission \$ _____

\$ _____

Bonus \$ _____

\$ _____

Other Income \$ _____

\$ _____

Is income fairly uniform and reliable?

Yes No

Yes No

RETIREMENT/OTHER INCOME

CLIENT

Social Security \$ _____
Pension \$ _____
Annuity \$ _____
Other Income \$ _____
Source _____

CO-CLIENT

\$ _____
\$ _____
\$ _____
\$ _____
Source _____

RETIREMENT CONTRIBUTIONS

Are you contributing on a regular basis to a retirement plan such as 401(k), 403(b), 457, TSP, or an IRA?

Yes - Annual Amount \$ _____ No Yes - Annual Amount \$ _____ No

PENSION

CLIENT

Will you have a pension?

Yes No

If so what kind of pension?

Private FERS OPERS
 STRS SERS Other

CO-CLIENT

Yes No

Private FERS OPERS
 STRS SERS Other

Please provide details or attach most recent pension statement.

LIFE INSURANCE AND ESTATE PLANNING

How much life insurance do you have?

CLIENT

Amount \$ _____
Type _____

CO-CLIENT

\$ _____

Do you have:

A will? Yes, dated _____ No
A health care power of attorney and/or living will? Yes, dated _____ No
A trust? Yes, dated _____ No

OTHER INFORMATION

Living expenses (excluding income taxes) \$ _____ per year per month
 Actual Estimated Not sure

What do you expect to earn on your investments?

4-6% _____ 6-8% _____ 8-10% _____ 10-12% _____ 12% + _____ Not sure _____

What did you do the last time the stock market went down by 5% or more?

At what age do you hope/expect to retire? Client _____ Co-Client _____

Have you ever been unhappy with the recommendations of a stockbroker, insurance agent and/or financial adviser or consultant? Yes No If yes, please explain.

What else do we need to know to understand your financial situation?

Additional documents needed for our meeting

- Tax returns for last three years
 - Federal
 - State (including school district, if applicable)
 - Local
- Most recent statements for:
 - Savings, Checking, Money Markets, CDs
 - Brokerages
 - Mutual funds
 - Retirement plans—401(k), 403(b), 457, TSP, etc.
 - IRAs—traditional and Roth

Signed _____
Client

Co-Client

Date

Date

Thank you!