
INFORMATION COLLECTION FORM

*Coordinating your financial information to direct
your financial plan*



BAY COLONY
A D V I S O R S

www.baycolonyadvisors.com

978-369-7200

PERSONAL INFORMATION

Client

NAME

EMAIL

CELL PHONE

AGE YOU WOULD
LIKE TO RETIRE

SOCIAL SECURITY #

DATE OF BIRTH

DRIVERS LICENSE #

ISSUE DATE:
EXP DATE:

MALE FEMALE MARRIED SINGLE

EMPLOYER NAME

EMPLOYED
 RETIRED
 SELF-EMPLOYED

OCCUPATION

UNEMPLOYED
 STUDENT
 HOMEMAKER

EMPLOYER PHONE

YRS WITH
EMPLOYER

EMPLOYER ADDRESS

RESIDENCE ADDRESS

CITY

STATE

ZIP

MAILING ADDRESS

CITY

STATE

ZIP

Co-client

NAME

EMAIL

CELL PHONE

AGE YOU WOULD
LIKE TO RETIRE

SOCIAL SECURITY #

DATE OF BIRTH

DRIVERS LICENSE #

ISSUE DATE:
EXP DATE:

MALE FEMALE MARRIED SINGLE

EMPLOYER NAME

EMPLOYED
 RETIRED
 SELF-EMPLOYED

OCCUPATION

UNEMPLOYED
 STUDENT
 HOMEMAKER

EMPLOYER PHONE

YRS WITH
EMPLOYER

EMPLOYER ADDRESS

Tax Summary

INCOME TAX RATE	CAPITAL GAIN TAX RATE	NUMBER OF DEPENDENTS	TAX LOSS CARRYFORWARD

Beneficiary Information

NAME	%	DATE OF BIRTH	SOCIAL SECURITY #	RELATIONSHIP
		/ /	- -	<input type="radio"/> PRIMARY <input type="radio"/> CONTINGENT
		/ /	- -	<input type="radio"/> PRIMARY <input type="radio"/> CONTINGENT
		/ /	- -	<input type="radio"/> PRIMARY <input type="radio"/> CONTINGENT
		/ /	- -	<input type="radio"/> PRIMARY <input type="radio"/> CONTINGENT

Estate Planning

CLIENT WILL?	<input type="radio"/> YES <input type="radio"/> NO	DATE LAST REVIEWED	/ /	CLIENT POA?	<input type="radio"/> YES <input type="radio"/> NO	DATE LAST REVIEWED	/ /
CO-CLIENT WILL?	<input type="radio"/> YES <input type="radio"/> NO	DATE LAST REVIEWED	/ /	CO-CLIENT POA?	<input type="radio"/> YES <input type="radio"/> NO	DATE LAST REVIEWED	/ /

TRUST NAME (1)	IRREVOCABLE?	DATE OF TRUST
		/ /

TRUSTEE	TAX ID #	DATE LAST REVIEWED
		/ /

TRUST NAME (2)	IRREVOCABLE?	DATE OF TRUST
		/ /

TRUSTEE	TAX ID #	DATE LAST REVIEWED
		/ /

INCOME & EXPENSES

Earned/Other Income

Include salaries, bonuses, rental income and any other income sources

	SOURCE 1	SOURCE 2	SOURCE 3
DESCRIPTION			
START \$ / YEAR	\$	\$	\$
START DATE	/ /	/ /	/ /
END DATE	/ /	/ /	/ /
COST OF LIVING INCREASE ASSUMPTION	%	%	%

Pension Benefits

	PENSION 1	PENSION 2	PENSION 3
DESCRIPTION			
LUMP SUM VALUE	\$	\$	\$
ELIGIBLE TO START	/ /	/ /	/ /
SINGLE LIFE \$ / YEAR	\$	\$	\$
JOINT LIFE \$ / YEAR	\$	\$	\$
SURVIVOR \$ / YEAR	\$	\$	\$
COST OF LIVING INCREASE	%	%	%

Recurring Expenses Include any expenses expected to continue in the future

	SPENDING NEED	COST OF LIVING INCREASE ASSUMPTION
PRE RETIREMENT		
POST RETIREMENT		

Social Security Benefits

	\$/YEAR AT NORMAL RETIREMENT AGE	SPOUSAL \$/YEAR	SURVIVOR \$/YEAR	COST OF LIVING ADJUSTMENT	RECEIVING BENEFITS
CLIENT	\$	\$	\$	%	<input type="radio"/> YES <input type="radio"/> NO
CO-CLIENT	\$	\$	\$	%	<input type="radio"/> YES <input type="radio"/> NO

Non-Recurring Expenses Include one-time expenses such as college, liabilities or discretionary wants

DESCRIPTION	AMOUNT	DATE NEEDED	# YEARS NEEDED	IMPORTANCE (1=LOW, 5=HIGH)
	\$	/ /		
	\$	/ /		

Current Contribution Summary Total all contributions being made into your qualified, non-qualified and college accounts

	RETIREMENT ACCOUNT	NON-RETIREMENT	EMPLOYER MATCH	COLLEGE ACCOUNT 1	COLLEGE ACCOUNT 2
Contributions per year	\$	\$	\$	\$	\$
End Date	/ /	/ /	/ /	/ /	/ /

ON A SCALE OF 1-5, HOW WILLING ARE YOU TO INCREASE YOUR SAVING? (1=LESS, 5=MORE) 1 2 3 4 5

ASSETS & LIABILITIES

Investment Assets

Include all brokerage, retirement and college savings accounts but exclude real estate, life insurance cash value

FINANCIAL INSTITUTION	ACCOUNT TYPE	OWNER	VALUE	ANNUAL ADDITIONS OR WITHDRAWALS

Other Assets

Include property, real estate, business interest and any other items with significant value

DESCRIPTION/PURPOSE	OWNER	VALUE	TAX BASIS	TAXES/ EXPENSES	INCOME

Liabilities

Include all debts and liabilities including mortgages, credit cards, lines of credit, auto loans, etc.

DESCRIPTION	INSTITUTION NAME	BALANCE	PAYOFF DATE	INTEREST RATE	MONTHLY PAYMENT

INSURANCE

Life Insurance

INSURED	INSURANCE COMPANY	DEATH BENEFIT	ANNUAL PREMIUM	Permanent/Cash Value		
				CASH VALUE	SURRENDER VALUE	VARIABLE?
						<input type="radio"/> YES <input type="radio"/> NO
						<input type="radio"/> YES <input type="radio"/> NO
						<input type="radio"/> YES <input type="radio"/> NO

Disability Insurance

INSURED	INSURANCE COMPANY	BENEFIT AMOUNT	ELIMINATION PERIOD	ANNUAL PREMIUM

Health & LTC Insurance

INSURED	INSURANCE COMPANY	TYPE OF COVERAGE	DEDUCTIBLE	ANNUAL PREMIUM

Liability Insurance

INSURANCE COMPANY	TYPE OF COVERAGE	LIMIT OF COVERAGE	ANNUAL PREMIUM

OTHER ADVISORS

	NAME	FIRM NAME	CITY	STATE
ATTORNEY				

	NAME	FIRM NAME	CITY	STATE
CPA/ ACCOUNTANT				

	NAME	FIRM NAME	CITY	STATE
INSURANCE AGENT				

	NAME	FIRM NAME	CITY	STATE
BANK RELATIONSHIP				

	NAME	FIRM NAME	CITY	STATE
OTHER				

Date Completed: / /

www.baycolonyadvisors.com • 978-369-7200

Investment Advisory Services offered through Bay Colony Advisors, a Registered Investment Adviser (RIA) registered with the United States Securities and Exchange Commission (SEC). Subadvisory services are provided by Advisory Alpha, LLC, a SEC Registered Investment Adviser.

Registration with the SEC or state does not constitute an endorsement of the firm by regulators, nor does it indicate that the adviser has attained a particular level of skill or ability. This content is for informational purposes only and does not intend to make an offer or solicitation for sale or purchase of any securities. Investing involves risk, including the potential loss of principal. No investment strategy, such as asset allocation or diversification, can guarantee a profit or protect against loss in periods of declining values. All investment strategies involve risk and have the potential for profit or loss. Changes in investment strategies, contributions or withdrawals, and economic conditions may materially affect the performance of your portfolio. There are no assurances that a portfolio will match or outperform any particular benchmark. The Investor Assessment and other data collection tools are important components of the Investment Policy Statement because they document your specific return goals, risk tolerance, and investment constraints. The data contained in the Investor Assessment, including the risk score, serves as a starting point for understanding your financial situation and is not intended as investment advice. Additional data collection tools may be used in crafting financial recommendations. The Investment Policy Statement along with the portfolio Fact Sheets provide important details regarding the investment management methodologies, portfolio objectives, and advisory relationship. Version 11.3.2017.