



MFG *Investments*

Wealth Management & Financial Planning Workbook



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Getting Started on Your Wealth Management Plan



MFG Investments, LLC provides comprehensive and innovative financial planning and wealth management solutions for a wide variety of affluent clients. Our team is comprised of a multidisciplinary blend of highly credentialed professionals including Certified Financial Planners, Certified Public Accountants, Personal Financial Specialists, Registered Financial Consultants, Enrolled Insurance Agents as well as Bankers and Attorneys.

We base our recommendations on each client's unique needs and circumstances. Service and personal attention are the hallmarks of MFG Investments, LLC and the defining qualities that we believe set us apart from other firms.

Goals Identification

During your initial meeting, the wealth advisor will ask various questions to learn more about you and gain a better understanding of your financial goals.

Strategic Planning

We will review your statements and conduct a portfolio analysis on your current investments. This information will be used to generate a plan that is in line with your goals and objectives.

Strategic Solution

After clearly defining your goals, objectives and risk tolerance, we will create a customized investment strategy tailored to your needs. Your portfolio is then managed on an ongoing basis by our research team and investment committee.

Communication

During this stage, we establish your preferred method of communication (phone, email, virtual meetings, webinars, appointments, etc.). All client account statements/performance reports can be accessible on our website via the client access tab at www.mfginvestments.com.

THE WEALTH MANAGEMENT PLANNING WORKBOOK

Please return this Wealth Management Planning Workbook at least 3 Days prior to our initial conference by email, mail or fax.

- Completing this workbook will allow the initial meeting to be productive and also assists us in designing a Wealth Plan that meets your goals.
- Please complete each form to the best of your ability. We will assess the workbook together and review any missing items.

Note: All information provided is strictly confidential. We will never sell, trade, rent or otherwise divulge any information you give us to anyone else. (Not at anytime, for any reason). That is our pledge to you, pure and simple.

Securities offered through Securities America, Inc Member FINRA/SIPC
MFG Investments, LLC is a Registered Investment Advisor

Discovery Phase

The discovery phase is a way of defining your goals and objectives. Identifying and focusing on goals provides efficiency for the Wealth Management Plan. Here are a few common goals you may want to review before the initial meeting.

1. Planning For Retirement?

When would you like to retire? How willing are you to delay retirement in order to reach your goals? Are you already retired? Time to identify the amount for your basic living expenses during retirement? Any special lifestyle goals that would require additional expenses?

2. Any Savings Goals? (Pre-Retiree)

If you plan to use money from your Savings or Investment Assets for specific purchases before retirement, you should create a separate goal for each.

3. Saving For College?

Have you thought about college expenses or started saving? Start with the "College Goal."

Risk Tolerance Questionnaire

To determine your risk tolerance, we will ask you a series of questions. Your answers will help us determine your risk tolerance level. This will help us recommend the right investment program for you.

1. Briefly list your top priorities when it comes to your financial goals

2. What is your current financial status including invested assets

3. Determines your comfort level of risk in different scenarios



STEP 1

SIMPLE BACKGROUND INFORMATION

The information you provide in this section provides us with important objective information about you, your age, marital status, where you live, and how best to communicate with you.

Your Information

Full Legal Name _____

(Name most often used to title property and accounts)

Prefer to be called _____ Birthdate _____ SS# _____ US Citizen? _____
Yes No

Home Address _____ City _____ State _____ Zip _____

Home Telephone _____ County of Residence _____

Business Telephone _____ Cell Phone _____

Employer _____ Position _____

Employer Address _____

E-mail Address _____ Joint Income _____

☐ It is okay to communicate with me via my E-mail address

Spouse Information (if applicable)

Full Legal Name _____

(Name most often used to title property and accounts)

Prefer to be called _____ Birthdate _____ SS# _____ US Citizen? _____
Yes No

Home Address _____ City _____ State _____ Zip _____

Home Telephone _____ County of Residence _____

Business Telephone _____ Cell Phone _____

Employer _____ Position _____

Employer Address _____

E-mail Address _____

☐ It is okay to communicate with me via my E-mail address

STEP 2

CHILDREN & GRANDCHILDREN

Identify your children and/or any other family members who are most likely to be a possible beneficiary of your estate. Please use full legal names. Note: Listing a person in this section is not a firm indication of your decision to provide for a particular individual. Rather, it is simply a means of identifying individuals for discussion purposes.

Name:

1. _____

Child Of:

☐ Mine ☐ Spouse ☐ Joint

DOB: ____/____/____

☐ Widowed ☐ Divorced ☐ Single

Spouse's name: _____

Address: _____ Phone: _____

Child #1's children: _____

Name:

2. _____

Child Of:

☐ Mine ☐ Spouse ☐ Joint

DOB: ____/____/____

☐ Widowed ☐ Divorced ☐ Single

Spouse's name: _____

Address: _____ Phone: _____

Child #2's children: _____

Name:

3. _____

Child Of:

☐ Mine ☐ Spouse ☐ Joint

DOB: ____/____/____

☐ Widowed ☐ Divorced ☐ Single

Spouse's name: _____

Address: _____ Phone: _____

Child #3's children: _____

Name:

4. _____

Child Of:

☐ Mine ☐ Spouse ☐ Joint

DOB: ____/____/____

☐ Widowed ☐ Divorced ☐ Single

Spouse's name: _____

Address: _____ Phone: _____

Child #4's children: _____

Name: _____ Child Of: _____
5. _____ ☐ Mine ☐ Spouse ☐ Joint DOB: ____/____/____
☐ Widowed ☐ Divorced ☐ Single Spouse's name: _____
Address: _____ Phone: _____
Child #5's children: _____

Name: _____ Child Of: _____
6. _____ ☐ Mine ☐ Spouse ☐ Joint DOB: ____/____/____
☐ Widowed ☐ Divorced ☐ Single Spouse's name: _____
Address: _____ Phone: _____
Child #6's children: _____

Insert additional sheets, if necessary

Does any potential beneficiary have special educational, medical or physical needs, or receiving governmental benefits?

☐ Yes ☐ No

Does any potential beneficiary have any potential problems with drugs or alcohol abuse?

☐ Yes ☐ No

Are you concerned with any potential beneficiary's ability to handle/manage money?

☐ Yes ☐ No

Are you concerned with your children's ability to get along with one another?

☐ Yes ☐ No

Are there problems/concerns relative to your relationship with your children (or your spouse's children)?

☐ Yes ☐ No

Have any of your adult children suffered a divorce?

☐ Yes ☐ No

Do you want to be sure that your grandchild(ren) will receive an inheritance?

☐ Yes ☐ No

STEP 3

ASSET ASSESSMENT

Determining the ownership, value and character of your assets is important to your estate and wealth management plan. The title “ownership” is important for tax and transfer matters. The “value” will be significant in determining potential tax liability. The “character” is relevant in assessing the manner by which the asset can transfer.

Asset Information

The values listed are for discussion purposes only. A more accurate list will be obtained at a later date. You may use the back of this paper to continue a list in each category.

To identify the Owner of asset, use “JTS” for joint ownership with spouse; “JTO” for joint ownership with non-spouse; “H” for husband as sole owner; “W” for wife as sole owner; or “T” if owned by a revocable trust that you have created.

Bank and Savings Account. To identify type of account, use “CK” for checking account; “SA” for savings account; “CD” for certificate of deposit; “MM” for money market account. Do not include IRAs or 401(k)s here.

Financial Institution	Owner	Market Value	Type of Account	Household Income	Tax Bracket
1.					
2.					
3.					
4.					
5.					
6.					

Stocks, Bonds or Investment Accounts. List any and all stocks and bonds you own. If held in a brokerage account, lump them together under each account. Do not include IRAs or 401(k)s.

Stock, Bond or Investment Account	Owner	Market Value	Type of Plan
1.			
2.			
3.			
4.			
5.			
6.			

Retirement Accounts. To identify type of account, use “P” for pension; “PS” for profit sharing; IRA, Roth IRA, SEP, or 401(k).

Custodial Institution	Owner	Market Value	Type of Plan
1.			
2.			
3.			
4.			
5.			
6.			

Real Estate – Primary (Secondary/Vacation/Rental, if applicable)

Property Type	Owner	Market Value	Debt	Interest Rate	Payment
1.					
2.					
3.					
4.					
5.					
6.					

529 Plan – List the mutual fund companies.

Fund Company	Owner	Beneficiary	Value
1.			
2.			
3.			
4.			
5.			
6.			

Life insurance Policies and Annuities. List the issuing company. To identify type of contract, use “T” for term insurance, “CV” for insurance policies having a cash value, “A” for annuities.

Insurance Company	Type	Owner	Insured	Cash Value	Death Benefit
1.					
2.					
3.					
4.					
5.					

Additional Documentation

General Document Request. In some instances, it is necessary for us to review other documents before we can make planning recommendations. If possible, please bring with you the Initial Consultation the following documentation:

1. Copies of the most recent statements evidencing your ownership of bank accounts, investment accounts retirement accounts, and annuities.
2. Copies of most recent tax returns, mortgage statements, cost basis of all stocks and real estate.
3. Copies of existing planning documents, including wills, trusts, powers of attorney, health care directives, living wills, etc.

STEP 4

PLAN OF DISTRIBUTION

One of the objectives of Estate Planning is the orderly distribution of your assets to your loved ones. We will discuss this in more detail when we meet, but begin to think about how you would like to distribute your assets and cherished belongings.

1. Specific Gifts. Do you wish to make a special gift to a particular person, such as a piece of jewelry to a particular child? Do you want to make charitable gifts, such as to a house of worship or other institution?
2. Briefly describe the plan of distribution for assets remaining after any specific gifts described above are made. (Don't worry about tax planning or other considerations in answering this question. We'll consider those details later if needed.)

☐ All to spouse; then among children, and if a child didn't survive, the deceased child's share to the deceased child's children.

☐ All to spouse, then equally among surviving children.

☐ All to spouse, then: _____

☐ As follows: _____

3. Beneficiaries, Names, Date of Birth, Security Numbers, address

STEP 5

PEOPLE WHO ADVISE YOU

Your various advisors play a key role in the establishment of your wealth management plan. By way of example, your financial advisor and life insurance agent may need to be contacted to confirm and/or change beneficiary designations and titling of accounts. Your accountant may need to be contacted relative to income tax matters.

	Name	Telephone
Accountant:		
Attorney:		
Financial Advisor:		
Life Insurance Agent:		
Emergency Contact:		
Referred to us by:		

FINAL STEP

NOTES AND QUESTIONS

Please note anything else that may be of importance in planning your estate, or note any questions you may have.

**Please remember to return this workbook to our office AT LEAST
THREE DAYS PRIOR to our Initial Conference by mail, fax or email.
Thank you!**

SUBMIT



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