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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Client Profile** | | | | | | | | |
|  | | | | | | | | |
| **Client A** | | | | | | | | |
| **First, Middle, Last Name** | | | | **Date of Birth** | | | | |
|  | | | |  | | | | |
| **Primary Address** | | **City** | | **State** | | | | **Zip Code** |
|  | |  | |  | | | |  |
| **Email Address** | | **Home Phone** | | **Cell Phone** | | | | |
|  | |  | |  | | | | |
| **Drivers License Number** | | **Expiration Date** | | | | | | |
|  | |  | | | | | | |
| **Marital Status** | | **Date of Marriage** | | | | **Date of Divorce** | | |
|  | |  | | | |  | | |
| **Employer** | | **Title** | | | | | | |
|  | |  | | | | | | |
| **Employer’s Address** | | | | | | | | |
|  | | | | | | | | |
| **Employer’s Phone** | **Employer’s Fax** | | | | **Business Email** | | | |
|  |  | | | |  | | | |
|  | | | | | | | | |
| **Client B** | | | | | | | | |
| **First, Middle, Last Name** | | | | **Date of Birth** | | | | |
|  | | | |  | | | | |
| **Primary Address** | | **City** | | **State** | | | | **Zip Code** |
|  | |  | |  | | | |  |
| **Email Address** | | **Home Phone** | | **Cell Phone** | | | | |
|  | |  | |  | | | | |
| **Drivers License Number** | | **Expiration Date** | | | | | | |
|  | |  | | | | | | |
| **Marital Status** | | **Date of Marriage** | | | | **Date of Divorce** | | |
|  | |  | | | |  | | |
| **Employer** | | **Title** | | | | | | |
|  | |  | | | | | | |
| **Employer’s Address** | | | | | | | | |
|  | | | | | | | | |
| **Employer’s Phone** | **Employer’s Fax** | | | | **Business Email** | | | |
|  |  | | | |  | | | |
|  | | | | | | | | |
| **Children’s Names** | **Social Security #** | | **DOB** | | | | **Existing Education Funds** | |
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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Risk Profile** | | | | | | | | | |
|  | | | | | | | | | |
| ***What best describes your investment personality? Please rank answers 1 – 4 (1=closest to my personality)*** | | | | | | | | | |
|  | | | | | | | | | |
| **Safety:** | | | | | | | | **Rank** | |
| I cannot tolerate any decline in my investments. | | | | | | | |  | |
| I can tolerate some fluctuation in my investments, as long as they may recover within 1 – 3 years. | | | | | | | |  | |
| I can accept short-term losses for potentially higher returns overall. | | | | | | | |  | |
| I expect my investments to fluctuate as a cost of potentially achieving significant returns. | | | | | | | |  | |
|  | | | | | | | |  | |
| **Liquidity:** | | | | | | | |  | |
| I need to have access to my money: | | | * within the next two years | | | | |  | |
|  | | | * within the next 3 to 5 years | | | | |  | |
|  | | | * within the next 6 to 10 years | | | | |  | |
|  | | | * will not need for 11 years or more | | | | |  | |
| **Income:** | | | | | | | | | |
| I need steady income from my investments now. | | | | | | | |  | |
| I will not need income from my investments in the near future. | | | | | | | |  | |
|  | | | | | | | |  | |
| My experience with investments is: | | | * minimal | | | | |  | |
|  | | | * moderate | | | | |  | |
|  | | | * significant | | | | |  | |
|  | | |  | | | | |  | |
| For the long term, what would you consider a realistic pre-tax return? | | | | | | | |  | |
|  | | | * Growth (capital appreciation) | | |  | | | |
|  | | | * Yield (interest rate) | | |  | | | |
|  | | | * Inflation | | |  | | | |
|  | | |  | | | | |  | |
| **Goals** | | | | | | | | | |
|  | | | | | | | | | |
| At what age do you expect to stop working full-time? | | | |  | | |  | | |
| Do you plan to work part-time during retirement? | | | |  | | |  | | |
| What is your desired monthly income in retirement? | | | |  | | |  | | |
| Do you desire to contribute to your children’s educations funds? | | | | |  | | | |  |
| * If Yes, how much do you wish to contribute? (private vs. public, partial fund vs. 100%) | | | | | | | | | |
|  |  | | | | | | | | |
| How much emergency funds do you need? | |  | | | | | | | |
| What are some other goals you desire to achieve? (new home, second home, travel, start a business, change careers, etc.) | | | | | | | | | |
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| **Assets** | | | | **Liabilities** | | | | | |
|  | | | |  | | | | | |
|  | **Date Purchased** | **Owner** | **Fair Market Value** |  | **Original Amount** | **Original Date** | **Term** | **Rate** | **Current Balance** |
| **Checking** |  |  |  | **Ready Reserve** |  |  |  |  |  |
| **Savings** |  |  |  |  |  |  |  |  |
| **Homestead** |  |  |  | **Mortgage** |  |  |  |  |  |
| **Other Real Estate** |  |  |  | **Other Mortgage** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Business** |  |  |  | **Business Loan** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Autos** |  |  |  | **Auto Loans** |  |  |  |  |  |
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| **Boat, Other Vehicles** |  |  |  | **Student Loans** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Personal Property** |  |  |  | **Other Loans** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Company Retirement** |  |  |  |  |  |  |  |  |
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| **IRA** |  |  |  | **Charge Accounts** |  |  |  |  |  |
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| **Roth IRA** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Pension** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Other** |  |  |  |  |  |  |  |  |  |
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| **Insurance** | | | | | | | |
| **Life Insurance Company** | **Insured** | **Amount** | **Type** | **Issue Date** | **Premium** | **Cash Value** | **Loans** |
|  |  |  |  |  |  |  |  |
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| **Disability Company** | **Insured** | **Monthly Benefit** | **Benefit Period** | **Waiting Period** | **Premium** | **Details** | |
|  |  |  |  |  |  |  | |
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|  |  |  |  |  |  |  | |
| **Long-Term Car Company** | **Insured** | **Monthly Benefit** | **Benefit Period** | **Waiting Period** | **Premium** | **Details** | |
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| **Estate Documents** | | | | | |
|  |  | | **Date of Document** | **Type** | **Description** |
| **Do you have a current will?** | **Yes** | **No** |  |  |  |
| **Do you have a health care directive?** | **Yes** | **No** |  |  |  |
| **Do you have a power of attorney?** | **Yes** | **No** |  |  |  |
| **Do you have a trust?** | **Yes** | **No** |  |  |  |

|  |
| --- |
| **Other helpful documents to bring to your review Meeting:** |

|  |  |
| --- | --- |
| * ***Most recent completed tax return*** | * ***Last two payroll check stub*** |
| * ***Current Estate Planning Documents*** | * ***Retirement plan documents*** |
| * ***Existing insurance policies*** | * ***Group benefit and insurance information*** |
| * ***Home Mortgage Statement(s)s*** | * ***Loan Statements*** |
| * ***Bank and credit card statements*** | * ***Investment account statements*** |
| * ***Any other information that you feel may be pertinent*** | |