



ISSUES AND CONCERNS

Please circle the answer that best describes your situation. If the topic addressed does not apply to you, personally, please skip it and continue.

**LIGHTHOUSE
CAPITAL
PLANNERS**

Name _____ Nickname _____ Age _____ Retired? Yes No

Spouse/Partner's Name _____ Nickname _____ Age _____ Retired? Yes No

Approximate Total Net Worth: \$ _____

Tax Planning

Is your income tax liability acceptable? Yes No Don't Know
Are you using all the legal strategies to reduce your taxes? Yes No Don't Know

Retirement Planning

Are you already retired? Yes No
Do you anticipate a rollover of a company savings or pension distribution? Yes No Don't Know
Do you plan on retiring soon? Yes No Don't Know
Do you have enough money for retirement? Yes No Don't Know
Do you have a 401k or 457 Plan or other Qualified Retirement Accounts? Yes No Don't Know

Investment Planning

Has your portfolio been reviewed by an independent advisor? Yes No Don't Know
Do you have sufficient cash flow? Yes No Don't Know
Does your portfolio protect you from financial disaster (i.e. stock and bond market crash, real estate bubble, etc.) Yes No Don't Know
Do you have adequate asset diversification? Yes No Don't Know
Does your portfolio protect you from inflation? Yes No Don't Know
Does your portfolio match your risk tolerance? Yes No Don't Know

Insurance

Have you had an objective, independent review and analysis of your insurance? Yes No Don't Know
Do you have the right amount of insurance? Yes No Don't Know
Are you paying too much for insurance? Yes No Don't Know

Estate Planning

Do you have wills or trusts?	Yes	No	Don't Know
Have you had your wills reviewed recently?	Yes	No	Don't Know
Will your estate avoid probate?	Yes	No	Don't Know
Are you the beneficiary of any trusts or wills?	Yes	No	Don't Know

Mortgage Planning

Do you plan on moving?	Yes	No	Don't Know
Do you plan on selling a home/ real estate in the next 2 years?	Yes	No	Don't Know
Do you plan on staying in your home as long as you can?	Yes	No	Don't Know

Education Planning

Are there any other family members (grandchildren, etc.) that you wish to assist with education funding?	Yes	No	Don't Know
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Business Planning

Will you acquire or sell a business?	Yes	No	Don't Know
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Company Benefits

Are you taking full advantage of your company benefits?	Yes	No	Don't Know
Have you done proper planning with company stock options?	Yes	No	Don't Know
Do you know if your company pension plan is adequate?	Yes	No	Don't Know

Overall Planning

Do you need a coordinated, integrated financial plan?	Yes	No	Don't Know
Do you spend enough time on planning your finances?	Yes	No	Don't Know
Do you know what a Financial Planning Professional does?	Yes	No	Don't Know
Have you set specific financial goals?	Yes	No	Don't Know

Professionals

CPA/Enrolled Agent/Accountant	Satisfied	Not Satisfied	Don't Have
Bookkeeper	Satisfied	Not Satisfied	Don't Have
Business Attorney	Satisfied	Not Satisfied	Don't Have
Estate Planning Attorney	Satisfied	Not Satisfied	Don't Have
Stock Broker/Financial Advisor	Satisfied	Not Satisfied	Don't Have

Additional Comments or Concerns
