|  |
| --- |
| **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.) |
|       |
|       |
|       |

|  |  |
| --- | --- |
| **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** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Boat, Other Vehicles** |  |  |  | **Student Loans** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Personal Property** |  |  |  | **Other Loans** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Company Retirement** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
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| **IRA** |  |  |  | **Charge Accounts** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
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| **Roth IRA** |  |  |  |  |  |  |  |  |
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| **Pension** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Bonds** |  |  |  | **Unpaid Income Tax** |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Stocks** |  |  |  | **Other Debt** |  |  |  |  |  |
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| **Mutual Funds** |  |  |  |  |  |  |  |  |
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| **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** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **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** **[ ]**  |  |  |  |

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

|  |  |
| --- | --- |
| * ***Most recent completed tax return***
 | * ***Current payroll check stub***
 |
| * ***Any will and trust documents***
 | * ***Retirement plan documents***
 |
| * ***Existing insurance policies***
 | * ***Group benefit and insurance information***
 |
| * ***Home Mortgage Information***
 | * ***Loan Statements***
 |
| * ***Bank and credit card statements***
 | * ***Investment account statements***
 |
| * ***Any other information that you feel may be pertinent***
 |