**PERSONAL INFORMATION**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Current Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

City:\_\_\_\_\_\_\_\_\_\_\_ State:\_\_\_\_\_\_\_\_\_\_ Zip:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Occupation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date of birth: \_\_\_\_\_\_\_\_\_\_ Dependents: \_\_\_\_\_\_\_\_\_\_\_

Dependent Ages: \_\_\_\_\_\_\_\_\_\_ Own \_\_Rent \_\_ How long? \_\_\_\_\_

Spouse/Partner Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Occupation:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date of birth:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**INSURANCE**

Long-Term Care Client: (Yes, No) Long-Term Care Spouse: (Yes, No)

Life Insurance: (Amount\_\_\_\_\_\_ Type\_\_\_\_\_\_ Premium\_\_\_\_\_\_\_

Company\_\_\_\_\_\_\_\_\_\_\_\_\_ Cash Value \_\_\_\_\_\_\_\_ Year Started \_\_\_)

Life Insurance Spouse/ Partner:

(Amount\_\_\_\_\_\_\_\_\_\_ Type\_\_\_\_\_\_\_\_\_ Premium\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Company\_\_\_\_\_\_\_\_\_\_\_\_\_ Cash Value \_\_\_\_\_\_\_\_ Year Started \_\_\_)

Disability: (Monthly Benefit \_\_\_\_ Company \_\_\_\_\_\_\_\_\_\_\_ Type\_\_\_\_\_\_\_\_

Premium\_\_\_\_\_\_\_\_\_\_\_\_)

Disability Spouse/Partner:

(Monthly Benefit \_\_\_\_\_\_\_\_Company\_\_\_\_\_\_\_\_\_\_Type\_\_\_\_\_\_\_\_

Premium \_\_\_\_\_\_\_\_\_\_\_\_\_\_)

Health Insurance: ( Type:\_\_\_\_\_ Premium\_\_\_\_\_\_ Company \_\_\_\_\_\_\_\_\_\_\_\_\_

Health Insurance Spouse: (Type:\_\_\_\_\_\_\_\_ Premium \_\_\_\_\_\_\_\_\_

Company \_\_\_\_\_\_\_\_\_\_\_\_\_)

**ANTICIPATED CHANGES IN THE NEXT 12 MONTHS**

Marriage Obtain or Payoff a Loan \_\_\_\_

Living Arrangements/Co-Habilitation \_\_\_\_

Have or Adopt a Child \_\_\_\_

Increase Savings\_\_\_\_

Job Change or Promotion \_\_\_\_

Graduation\_\_\_

Buy or Sell an Investment \_\_\_\_

Bonus or Salary Increase \_\_\_\_

Divorce\_\_\_\_

Inheritance \_\_\_\_\_

Buy or Sell a Business/Practice \_\_\_\_\_

Care for Dependent Parent\_\_\_\_\_\_

Buy or Sell a Home Retirement \_\_\_\_

**CURRENT FINANCIAL SITUATION**

Current Income: \_\_\_\_\_\_\_\_\_\_\_\_\_\_Spouse Income: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Tax Bracket:\_\_\_\_\_\_\_\_\_\_\_ Home Market Value: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mortgage Outstanding:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Estimated Monthly Income After Expenses: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Expecting a Tax Refund:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Need Help Budgeting: (Yes, No)

Home/Insurance: \_\_\_\_\_\_\_\_\_\_Auto Insurance:\_\_\_\_\_\_\_\_\_ Other: \_\_\_\_\_\_\_\_

Utility Expenses:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Home Expenses:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Entertainment: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Maintenance Expense: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Transportation Expenses: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Other Monthly Expenses:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**OTHER FINANCIAL INFORMATION**

Do you have a Will/Trust: ( Yes / No ) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Do you work with an Attorney or/and a CPA? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**INVESTMENT EXPERIENCE**

Cash/Checking \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Bond Funds \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Mutual Funds/ Stock \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Savings/CD’s \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annuities \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Real Estate \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

401(k) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**FINANCIAL OBJECTIVES**

**(NUMBER YOUR TOP 3 PRIORITIES)**

Replacement Income

Educational Fund

Estate Planning

Tax Deferral

Protect Assets

Emergency Fund

Family Business

Small Business

Final Expenses

Retirement Needs

Charitable Programs

Create Mortgage Fund

Systematic Savings

**INVESTMENT TIME HORIZON** – (How long do you plan to invest for)

Short (0-3 years) Medium (3-7 years) Long (>7 years)

**SUMMARY OF EXPERIENCE AND CURRENT PLANNING GOALS**

What is the best investment you ever made?

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What is the worst investment you ever made?

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What do you like most of what you are doing now?

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What is the financial concern you have now?

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

At what age do you plan to retire and what does your retirement lifestyle look like? (i.e. mortgage free, vacation, summer home, grandkids, etc.)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What amount in today’s dollars do you feel will be enough to live by?

Our Next Appointment Date