

STEP ONE: FAMILY INFORMATION

Client Name _____
Date of Birth _____ Age _____ Nickname _____
Spouse's Name _____
Date of Birth _____ Age _____ Nickname _____
Mailing Address _____
City _____ State _____ Zip _____ Home Phone _____
Work Phone _____ Fax _____ E-mail _____
Spouse's Work Phone _____ Fax _____ E-mail _____
SS# _____ Spouse's SS# _____
Employer _____
Job Title _____
Spouse's Employer _____
Spouse's Job Title _____
Are you retired? Yes _____ Date Retired _____ No _____ Planned Retirement Date _____
Is your spouse retired? Yes _____ Date Retired _____ No _____ Planned Retirement Date _____
Marital Status: Single _____ Married _____ Divorced _____ Separated _____ Widowed _____

Children

Name	Date of Birth	SS#
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

Dependents

Do you have any family members that are financially dependent upon you or could be in the future?

(i.e. parents, grandparents, adult children, etc.) Yes ___ No ___

Name	1. _____	Age	_____
Relationship	_____		
Name	2. _____	Age	_____
Relationship	_____		
Name	3. _____	Age	_____
Relationship	_____		
Name	4. _____	Age	_____
Relationship	_____		
Name	5. _____	Age	_____
Relationship	_____		

STEP TWO: PERSONAL INVESTMENTS (DO NOT INCLUDE RETIREMENT ACCOUNTS HERE)

Cash Reserves

List amount in banks, savings & loans, and credit unions

Name of Bank Institution	Type of Account	Current Balance	Interest Rate
Example: Bank of America	Checking/Savings/Money Market	\$10,000.00	2%
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

Fixed Income

List fixed-income investments

Example: C.D., Treasury Bills, Notes, Bonds, Tax-Free Bonds, Series EE Savings Bonds

	Dollar Amount	Current %	Maturity Date
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____

Stocks

Name of Company No. of Shares Price Purchased Approx. Market Value Date Purchased

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____

Do you have stock certificates in a security deposit box? Yes ___ No ___

Mutual Funds and/or Brokerage Accounts

Name of Brokerage Firm/ Mutual Fund No. of Shares Cost Basis Approx. Market Value Date Purchased

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____
- 6. _____

Annuities

Company Annuitant/Owner Interest Rate Approx. Market Value Date Purchased

- 1. _____
- 2. _____
- 3. _____

Other Assets (i.e., business ownership, etc.) Approximate Market Value

- 1. _____ \$ _____
- 2. _____ \$ _____
- 3. _____ \$ _____

STEP THREE: RETIREMENT ACCOUNTS

Are you participating in an Employer Sponsored Retirement Plan?

(These include Tax-Deferred Retirement Plans such as 401(k) Plans and 457 Plans) Yes ___ No ___

Company where your money is Type of Plan Approximate Value % You Contribute

You:

- 1. _____ \$ _____
- 2. _____ \$ _____
- 3. _____ \$ _____

Spouse:

- 1. _____ \$ _____
- 2. _____ \$ _____
- 3. _____ \$ _____

Do you have money sitting in a company plan you no longer work for?

Yes ___ No ___ Balance _____ When did you leave the company? _____

Spouse:

Yes ___ No ___ Balance _____ When did you leave the company? _____

Self-Directed Retirement Plans

Are you participating in a retirement plan? (These include IRAs, Roth IRAs, SEP-IRAs, SAR-SEP IRAs, and SIMPLE plans)

Name of institution where your money is Type of Plan Approximate Value

You:

1. _____
2. _____
3. _____
4. _____
5. _____

Spouse:

1. _____
2. _____
3. _____
4. _____
5. _____

STEP FOUR: REAL ESTATE

Do you rent or own your own home?

Own _____ / Monthly mortgage is _____ Rent _____ / Monthly rent is _____

Approximate value of primary home \$ _____ Mortgage balance \$ _____ =

Equity in home _____ Length of loan _____ Interest rate of loan _____ Is loan fixed or variable? _____

Do you own a second home?

Approximate value of second home \$ _____ Mortgage balance \$ _____ =

Equity in home _____ Length of loan _____ Interest rate of loan _____ Is loan fixed or variable? _____

Any other real estate owned?

Approximate value \$ _____ Mortgage balance \$ _____ = Equity in

home _____ Length of loan _____ Interest rate of loan _____ Is loan fixed or variable? _____

STEP FIVE: ESTATE PLANNING

Do you have a will or living trust in place? Yes _____ No _____ Date it was last reviewed _____

Who helped you create it? Attorney's name _____

Address _____

Phone _____ Fax _____

Is your home held in the trust or is it held in joint or community property? _____

Risk Management/Insurance

Do you have a protection plan in place for your family? Yes _____ No _____

Life Insurance Company Type of Insurance
(i.e., Whole Life, Term, Variable, etc.) Death Benefit Cash Value Annual Premium

1. _____
2. _____
3. _____

Tax Planning

Do you have your taxes professionally prepared? Yes _____ No _____

Name of accountant/CPA _____

Address _____

Phone _____ Fax _____

What was your last year's taxable income? _____ Estimated tax bracket? _____ %

STEP SIX: CASH FLOW

Income

Your Est. Monthly Income _____ Estimated Annual Income _____

Spouse's Est. Monthly Income _____ Estimated Annual Income _____

Rental Property Income: Monthly _____ Annually _____

Other Income (i.e., partnerships, Social Security, pensions, dividend checks, etc.)

Type of Income	Monthly	Annually
1. _____		
2. _____		
3. _____		

Expenses

Monthly Estimated Expenses \$ _____ Annual Estimated Expenses \$ _____

What do you earn a month after taxes? \$ _____

What do you estimate you spend? - \$ _____

Net Cash Flow = \$ _____

STEP SEVEN: NET WORTH

Total Assets \$ _____

Total Liabilities - \$ _____

Estimated Net Worth = \$ _____