



Aligning  
**YOUR WEALTH** with  
**YOUR VALUES**

DATE: \_\_\_\_/\_\_\_\_/\_\_\_\_

The privacy and confidentiality of your personal information is very important to us. We adhere to all privacy and confidentiality requirements for all entities whose products or services we offer.

**PERSONAL & CONFIDENTIAL INFORMATION**

**You**

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

Birth Date: \_\_\_\_\_

Birth Place: \_\_\_\_\_

Health Status: \_\_\_\_\_

Cell Phone: \_\_\_\_\_

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

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

Children (Name & birth date) \_\_\_\_\_

**Spouse/Partner**

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

Birth Date: \_\_\_\_\_

Birth Place: \_\_\_\_\_

Health Status: \_\_\_\_\_

Cell Phone: \_\_\_\_\_

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

**What role would you like a financial advisor to play in your life?**

**What prompted you to seek advice from an advisor?**

**What is your vision for retirement (age, lifestyle, activities)?**

**Do you have any anxieties or specific concerns about your overall current financial situation?**

**What specific questions would you like to have answered in our first conversation?**

**What are your most important financial goals? (Rate 1-5)**

\_\_\_ Retirement    \_\_\_ Family Security    \_\_\_ Wealth Accumulation    \_\_\_ Education Planning  
\_\_\_ Debt Reduction    \_\_\_ Estate Planning    \_\_\_ Investment Strategy    \_\_\_ Special Purchase (e.g. 2<sup>nd</sup> Home)  
\_\_\_ Other \_\_\_\_\_

**Do you expect to pay a fee for advice if you engage an advisor?** ☐ Yes ☐ No

**Do you have an attorney?** ☐ Yes ☐ No **Do you have an accountant?** ☐ Yes ☐ No

**Please list your existing advisors (if any) below:**



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**Employment & Income**

**You**

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

Employer: \_\_\_\_\_

Base salary: \$ \_\_\_\_\_

Bonus: \$ \_\_\_\_\_

Equity Compensation: \$ \_\_\_\_\_

How Long: \_\_\_\_\_

**Spouse/Partner**

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

Employer: \_\_\_\_\_

Base salary: \$ \_\_\_\_\_

Bonus: \$ \_\_\_\_\_

Equity Compensation: \$ \_\_\_\_\_

How Long: \_\_\_\_\_

**Other sources of income (annual amounts)**

Rental Income \$ \_\_\_\_\_

Investment Income \$ \_\_\_\_\_

Pension Income \$ \_\_\_\_\_

Social Security \$ \_\_\_\_\_

Annuity \$ \_\_\_\_\_

**NON-QUALIFIED ASSETS (e.g., brokerage accounts, savings, checking, CDs, stock holdings, restricted stock and options)**

Type / Institution Name	Current Value	Owner

**RETIREMENT ASSETS (e.g., 401K, IRA, Roth IRA, Annuities, Deferred Compensation)**

Type / Institution Name	Current Value	Current Annual Contribution	Employer Match	Owner



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**REAL ESTATE & PERSONAL PROPERTY**

Name	Current Value	Mortgage Balance	Mortgage Term	Interest Rate	Monthly Payment	Date of Mortgage	Original Mortgage Amount

**OTHER LIABILITIES / LOANS (e.g., auto, student loans, credit cards)**

Loan	Institution	Balance	Interest Rate	Term	Monthly Payment	Owner

**LIFE INSURANCE**

Company	Insured	Policy Type	Face Amount	Annual Premium	Cash Value	Policy Date

**DISABILITY / LONG-TERM CARE INSURANCE**

Company	Insured	Policy Type	Coverage Amount	Annual Premium

**ESTATE PLANNING**

Will(s)? YES / NO      Year drafted: \_\_\_\_\_      Powers of Attorney / Health Care Directives: YES / NO  
Trust(s)? YES / NO      Year drafted: \_\_\_\_\_      Purpose: \_\_\_\_\_



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**NOTES:**

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