FINANCIAL STRATEGIES

CONFIDENTIAL DATA FORM

CLIENT INFORMATION			
Client:	DOB: / /	SSN: - -	DL#: ST. Exp.
Spouse:	DOB: / /	SSN: - -	DL#: ST. Exp.
Children:	DOB: / /	SSN: - -	Anniversary:
	DOB: / /	SSN: - -	Notes:
	DOB: / /	SSN: - -	
	DOB: / /	SSN: - -	
Home Address:			Home Phone: ( ) -
City:	State:	Zip Code:	Cell Phone: ( ) -
Ref. #			E-Mail: @

CLIENT EMPLOYMENT AND EARNINGS INFORMATION		SPOUSE EMPLOYMENT AND EARNINGS INFORMATION	
Employer:		Employer:	
Position:		Position:	
Address:		Address:	
Work Phone:	( ) -	Work Phone:	( ) -
Years at Current Job:		Years at Current Job:	
Years in Line of Work		Years in Line of Work:	
Only include income that can be verified by tax documentation; W-2, 1099, etc…		*Only include income that can be verified by tax documentation; W-2, 1099, etc…*	
Base Income from Employer	$	Base Income from Employer	$
Net Income from Self-Employment	$	Net Income from Self-Employment	$
Bonuses	$	Bonuses	$
Commissions	$	Commissions	$
Other	$	Other	$
TOTAL	$	**TOTAL**	$
Total Income Last Year	$	Total Income Last Year	$
Total Income This Year	$	Total Income This Year	$
Total Income Next Year	$	Total Income Next Year	$

What amount of income does it take to meet your monthly expenses (after tax)? ______________

After all your expenses, how much money is left over at the end of the typical month? ______________

How much of the left over amount would you be willing to earmark for investing? ______________

If your income will increase this year, what do you plan on doing with the money? ______________

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ASSETS

Account Type	Current Value	Monthly Contribution	Rate of Return
Cash & Short-Term Accounts			
Checking	$	$	%
Savings	$	$	%
Money Market	$	$	%
	$	$	%
	$	$	%
Brokerage and Investment Accounts			
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
Retirement Accounts			
401(k)	$	$	%
IRA	$	$	%
	$	$	%
	$	$	%
	$	$	%

Retirement Benefits and Income

	Start Date	Monthly Benefit	Annual Increase
Pension for:		$	
Pension for:		$	
Pension for:		$	
Soc. Sec. for:		$	
Soc. Sec. for:		$	
Other Income:		$	

What percentage of your income do you currently contribute to your 401(k), 403(b) or retirement plan? /

If your company matches your retirement contributions, what is the dollar amount or percentage that they match? /

Would you be interested in an analysis of your current retirement plan funds and options? /

How much time do you currently spend selecting and managing your investments?

How much time would you like to spend selecting and managing your investments?

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REAL ESTATE INFORMATION

	Primary Residence	Secondary Residence	Line of Credit
Current Value of Property	$	$	
Current Balance of Loan	$	$	$
Original Start Date of Loan	/	/	/
Type of Loan	☐ Fixed ☐ Variable	☐ Fixed ☐ Variable	☐ Fixed ☐ Variable
Original Duration of Loan	☐ 10 ☐ 15 ☐ 20 ☐ 30	☐ 10 ☐ 15 ☐ 20 ☐ 30	☐ 10 ☐ 15 ☐ 20 ☐ 30
Interest Rate of Loan	%	%	%
Principal & Interest / Mo.	$	$	$
Taxes & Insurance / Mo.	$	$	$
Mortgage Insurance / Mo.	$	$	$
Total Monthly Payment	$	$	$

How much longer will you be living in your current home? ____________________

Do you pay extra on your mortgage? If so, typically how much? ____________________

Do you make bi-weekly mortgage payments? ____________________

Do you want to pay off your mortgage? If so, how soon? ____________________

When was the last time you had your home appraised? ____________________

What are you doing with the savings from your last refinance? ____________________

Would you be willing to refinance your mortgage to save money? ____________________

CONFIDENTIAL DATA FORM

LIABILITIES

Liability Type*	Current Balance	Monthly Payment	Interest Rate
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%
	$	$	%

* Liability types include any fixed or variable financed payments, i.e. auto loans, credit cards, etc…

TAX AND ESTATE PLANNING

What is your typical tax refund / tax payment? ____________________

If you receive a tax refund, what is it typically earmarked for? ____________________

How many allowances are on your W-4? ____________________

Please provide the total from your 1040 line 43 Taxable Income: ____________________
or line 10 (2018 & beyond)

When was the last time you reviewed your W-4 with your employer? ____________________

Do you utilize a tax advisor or a CPA? If so, who is it? ____________________

Do you utilize an estate planning attorney? If so, who is it? ____________________

Do you desire to leave assets to relatives or to a charitable organization? ____________________

Do you have a will? __________ Spouse? __________

Do you have a trust? __________ Spouse? __________

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INSURANCE

Insured	Type†	Carrier	Face Amount	Cash Value	Monthly Premium

† What type of insurance policy, i.e. auto, home, life, umbrella, long-term care, disability etc...

RETIREMENT OBJECTIVES

What is your desired retirement age? Client _______ Spouse _______

What do you anticipate your life expectancy to be? Client _______ Spouse _______

What monthly amount of income do you desire in <u>today's</u> dollars (after tax)? $ ____________________

What average rate of return do you anticipate to receive on your retirement assets? _______ %

To account for inflation in your projections, what inflation rate would you like us to use? _______ %

What would be your ideal emergency fund balance? $ ____________________

What issues or concerns do you feel would be an obstacle in accomplishing your retirement objectives?

____

____

____

CONFIDENTIAL DATA FORM

INVESTMENT QUESTIONNAIRE

What has been your past experience with financial planning?

Are there any special areas of interest you would like to discuss?

What is your most pressing financial objective?

What advisors do you use and to what extent?

Do you presently feel like you're moving ahead financially?

What other goals or factors would help us better understand your financial priorities?

What do you look for in a financial professional?

How do you envision your retirement assuming money is no object?

Envision your perfect financial scenario five years from now. What would have to happen between now and then for this ideal scenario to be realized?

Please tell us about your decision making process.