

Referral: _____

ATTACHMENT I

Confidential Family Information Sheet

Date: _____

Name _____ Smoker? Y or N
Date of Birth ___/___/___

Social Security Number _____

Name _____ Smoker? Y or N
Date of Birth ___/___/___

Social Security Number _____

Home Address _____

City _____ State _____ ZIP _____

Phone Number _____

Email _____

Employer _____ Self-Employed
Yes ___ No ___

Work Address _____

Work Number _____ Occupation _____

Income _____ Annual ___ Monthly ___

Employer _____ Self-Employed
Yes ___ No ___

Work Address _____

Work Number _____ Occupation _____

Income _____ (Gross) Annual ___ or Monthly ___

Marital Status: Single ___ Married ___ Divorced ___ Widow(er) ___ Other ___

OWN HOME: Yes ___ No ___

MARKET VALUE \$ _____ Mortgage Amount _____

TOTAL NET WORTH \$ _____ (Assets minus Liabilities)

No. of Children _____ Ages _____, _____, _____, _____, _____, _____

ISSUES AND CONCERNS

NAME _____ DATE _____

Please circle the answer that best describes your situation:

TAX PLANNING

Is your income tax liability acceptable? YES NO Don't Know
Are you using all the legal tax loopholes to reduce your taxes? YES NO Don't Know

RETIREMENT PLANNING

Are you already retired? YES NO Don't Know
Do you anticipate a rollover of company savings or pension distribution? YES NO Don't Know
Do you plan on retiring soon? YES NO Don't Know
Do you know at what age you would like to retire? YES NO Don't Know
Do you have enough money for retirement? YES NO Don't Know

EDUCATION PLANNING

Do you have sufficient funds for your children's education? YES NO Don't Know
Is the invested money properly registered in the appropriate name? YES NO Don't Know
Do you plan on having children? YES NO Don't Know
Are there any other family members (grandchildren, etc.) that you wish to assist with education funding? YES NO Don't Know

INVESTMENT PLANNING

Do you need financial organization? YES NO Don't Know
Has your portfolio been reviewed by an independent advisor? YES NO Don't Know
Do you have sufficient cash flow? YES NO Don't Know
Do you need budget planning? YES NO Don't Know
Does your portfolio protect you from financial disaster? YES NO Don't Know
(i.e., stock and bond market crash)
Do you have adequate asset diversification? YES NO Don't Know
Does your portfolio protect you from inflation? YES NO Don't Know
Does your portfolio match your risk tolerance? YES NO Don't Know
Do you plan on making additional investments? YES NO Don't Know

BUSINESS PLANNING

Are you using all the tax loopholes available for your business?	YES	NO	Don't Know
Is your business tax planning coordinated with your personal tax planning?	YES	NO	Don't Know
Will you acquire or sell a business?	YES	NO	Don't Know

INSURANCE

Have you had an objective, independent review and analysis of your insurance?	YES	NO	Don't Know
Do you have the right amount of insurance?	YES	NO	Don't Know
Are you paying too much for insurance?	YES	NO	Don't Know

COMPANY BENEFITS

Are you taking full advantage of your company benefits?	YES	NO	Don't Know
Have you done proper planning with company stock options?	YES	NO	Don't Know
Do you expect an increase in income?	YES	NO	Don't Know
Do you plan on changing jobs?	YES	NO	Don't Know
Do you know if your company pension plan is adequate?	YES	NO	Don't Know

ESTATE PLANNING

Do you have wills or trusts?	YES	NO	Don't Know
Have you had your wills reviewed recently?	YES	NO	Don't Know
Do your wills have provisions for new family members?	YES	NO	Don't Know
Have you done inheritance planning?	YES	NO	Don't Know
Will your estate avoid probate?	YES	NO	Don't Know
Are you beneficiary of any trusts or wills?	YES	NO	Don't Know

MORTGAGE PLANNING

Do you plan on moving?	YES	NO	Don't Know
Do you plan on buying a home?	YES	NO	Don't Know
Do you plan or need to refinance your home?	YES	NO	Don't Know
Do you need mortgage and other financing analysis?	YES	NO	Don't Know

OVERALL PLANNING

Do you need a coordinated integrated financial plan?	YES	NO	Don't Know
Do you spend enough time on planning your finances?	YES	NO	Don't Know
Do you know what a Financial Planning Professional does?	YES	NO	Don't Know
Have you set specific financial goals?	YES	NO	Don't Know

ADDITIONAL COMMENTS OR CONCERNS
