

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

