



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

## INVESTMENTS AND INCOME SHEET

How active do you want to be in managing your investments? \_\_\_\_\_

What investments would you not consider in attaining your financial objectives?

To what degree would you alter your current lifestyle to attain your financial objectives?

Investment Risk Tolerance:    \_\_\_ Low    \_\_\_ Low-to-Moderate    \_\_\_ Moderate    \_\_\_ Moderate-to-High    \_\_\_ High

Describe your retirement plan(s) at work: \_\_\_\_\_

### PROJECTED INCOME

### FINANCIAL CONCERNS

1 = Very Low    10 = Very High

	Current Year	Next Year	The Following Year
CLIENT	_____	_____	_____
CO-CLIENT	_____	_____	_____

___ Inflation	___ Liquidity
___ Income	___ Safety
___ Taxes	___ Family Benefit

### CLOSELY-HELD BUSINESS

Briefly describe your ownership interest in any businesses.

What is the business form:    \_\_\_ C Corp    \_\_\_ Sub S Corp.    \_\_\_ Partnership    \_\_\_ Proprietorship

Discuss involvement of other significant owners, partners, etc.

Is there a Buy-Sell Agreement in place?    \_\_\_ Yes    \_\_\_ No

With which bank(s) do you do business? \_\_\_\_\_

Please provide a recent financial statement for each business in which you or your spouse is involved.

# ESTATE PLANNING SHEET

CLIENT

CO-CLIENT

Year

Year

Will

Revocable Trust

Durable Power of Attorney

Living Will

Durable Power of Attorney for Health Care

*(Health Care Proxy)*

Who are the executors and alternate executors in your wills?

Primary

Alternates

CLIENT

CO-CLIENT

Who will be the guardians of your children if both parents are deceased?

Primary

Alternates

CLIENT

CO-CLIENT

Special will provisions?

Who would you like to benefit upon your death? Include details of secondary and tertiary beneficiaries.

Do you expect to benefit any charities upon your death?

Do you have a safe deposit box?  No  Yes

Location:

# NET WORTH STATEMENT

## ASSETS

### LIQUID ASSETS (Cash or Cash Equivalents)

Checking	_____
Checking	_____
Savings	_____
Savings	_____
US Savings Bonds	_____
Life Insurance Cash Value	_____
_____	_____
_____	_____
	Total Liquid Assets _____

### INVESTED ASSETS (Non-retirement Stocks, Bonds, Mutual Funds)

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
	Total Invested Assets _____

### TAX-DEFERRED ASSETS (Retirement Assets)

401(k)	_____
401(k)	_____
403(b) TSA	_____
403(b) TSA	_____
IRA	_____
IRA	_____
IRA	_____
IRA	_____
Annuity Co. _____	_____
Annuity Co. _____	_____
	Total Tax-Deferred Assets _____

### PERSONAL USE ASSETS

Principal Residence (Market Value)	_____
Automobile: Year/Model _____	_____
Automobile: Year/Model _____	_____
Furniture, Personal Possessions, Jewelry, Antiques	_____
_____	_____
	Total Personal Assets _____

**Total Assets** \_\_\_\_\_

Please complete Liabilities section on back

**LIABILITIES AND NET WORTH**

**LIABILITIES**

Mortgage - Principal Residence (Remaining Balance)	_____
Home Equity Loan (Current Balance)	_____
Mortgage - Second Home (Remaining Balance)	_____
Auto Loan (Approximate Current Balance)	_____
Auto Loan (Approximate Current Balance)	_____
Boat Loan (Approximate Current Balance)	_____
Student Loan (Approximate Current Balance)	_____
Student Loan (Approximate Current Balance)	_____
Personal Loan (Approximate Current Balance)	_____
Personal Loan (Approximate Current Balance)	_____
Credit Card Balance (if not paid in full monthly)	_____
Credit Card Balance (if not paid in full monthly)	_____
_____	_____
_____	_____
	<b>Total Liabilities</b> <u>_____</u>

**NET WORTH (Total Assets - Total Liabilities)** \_\_\_\_\_

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

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

Co Client Name: \_\_\_\_\_

## GOALS & OBJECTIVES WORKSHEET

**DEFINITIONS:**

- Goals: Goals are broad aims that do not have dollar amounts or dates associated with them. For example, buying a home or retiring comfortably.
- Objectives: Objectives are specific aims that have dollar amounts and a target date. For example, accumulating \$25,000 for a down payment on a home by September 2010.
- Weight: The weighting that you assign to a Goal/Objective reflects its importance to you. The sum of all weights must add to 100.

**YOUR GOALS & OBJECTIVES:**

Goal	Objective & Dollar Amount by Specific Date	Weight
<b>TOTAL =</b>		