

CONFIDENTIAL FINANCIAL PLANNING WORKSHEET

PERSONAL INFORMATION

Date: ___/___/___

Name: _____

Mr. Mrs. Ms. Miss

Date of birth: ___/___/___

Social Security number: _____-_____-_____

Address: _____

Home phone: _____

Work phone: _____

Cell phone: _____

Occupation: _____

E-mail address: _____

Place of employment: _____

Marital status: Single Married Divorced Widowed Together, not married

Spouse's name: _____

Have either you or your spouse been married before?

Spouse's date of birth: ___/___/___

Yes No

Spouse's occupation: _____

Spouse's place of employment: _____ Work phone: _____

Children's name	Social Security number	Date of birth	Marital status

FINANCIAL PROFILE

INCOME

Annual gross income: \$ _____

Spouse's gross income: \$ _____

What are your plans for the retirement years? _____

Please list any *retirement plans* you or your spouse own:

Retirement plans	Owner (client or spouse?)	Description	Vested value	Employee contribution	Beneficiary
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	

ESTATE PLANNING

Do you have a will? Yes No Name of attorney and company: _____
 If so, when was it drafted? ____/____/____

Does your spouse have a will? Yes No Name of attorney and company: _____
 If so, when was it drafted? ____/____/____

Do you or your spouse have any trusts? Name of accountant and company: _____
 Yes No

Please list any *life insurance* policies you or your spouse own:

Insurance Company	Policy type	Name of insured	Policy owner	Beneficiary	Face amount	Value
					\$	\$
					\$	\$
					\$	\$
					\$	\$

Please list any *disability insurance* or *long-term care policies* you or your spouse own:

Insurance Company	Name of insured	Policy type	Premium	Monthly benefit
			\$	\$
			\$	\$
			\$	\$
			\$	\$

Do you or your spouse expect any inheritances? Yes No
 If so, when? _____ What is the expected value? \$ _____

EDUCATION PLANNING

Are you currently paying for college tuition? Yes No

Will you be paying for tuition in the future? _____

If so, do you expect it to be at a public or private institution? _____

When do you expect to begin paying tuition? ____/____/____ For how many years? _____

Which of the following saving vehicles do you use to save or pay for educational expenses?

- Regular investment account EE bonds UGMA/UTMA Coverdell education IRA
 Life insurance loans/withdrawals Prepaid qualified tuition plan 529 college savings plan
-
-

What is your most important financial goal? _____

In order of priority, summarize other prime objectives. Examples might include overall financial planning, college planning, retirement planning, reducing taxes, current income, life insurance, or growth of assets.

On a scale from one to five, how concerned are you with the *protection* of your assets (five being very concerned)?

On a scale from one to five, how concerned are you with the *growth* of your assets (five being very concerned)?

How would you describe your investment expertise? _____

Are you prepared for fluctuation of principal in your investments in order to achieve your goals? _____

What is the rate of return you expect on your investments? _____% Over how many years? _____

(Please note that a specific rate of return is not guaranteed.)

What are your interests and hobbies? _____

Other questions or comments: _____

