



**Confidential Personal Profile**

**Section 1: Personal Information**

- Contact Information

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
 Tel \_\_\_\_\_  
 Email \_\_\_\_\_  
 Marital Status \_\_\_\_ Date of Birth \_\_\_\_\_ Today's Date \_\_\_\_\_

- Family

Name	Relationship	Date of Birth

- Employment

	Employer's Name	Occupation	Retirement Date	Annual salary
Self				
Spouse				

- Tax Status

Estimated taxable income for current year \$ \_\_\_\_\_  
 This includes the following other sources of income (i.e. dividends, rental income, pensions, etc):

Source	Annual estimated income



**Section 2: Planning Concerns**

Please list your concerns such as:

- Having enough money to live comfortably in retirement
- Sending my child to college in 2020.
- Efficiently passing on my estate to my children.

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**Section 3: Investment Objectives and Risk Tolerance**

1. When I make an investment, I typically hold it for \_\_\_\_\_ years.
2. If my stocks lost 50% of their value, I would:  
\_\_\_\_\_ Sell all that is left  
\_\_\_\_\_ Sell some  
\_\_\_\_\_ Do nothing  
\_\_\_\_\_ Buy more stocks
3. I am generally willing to take more risk for a greater return T or F.
4. When the market declines 10%, I typically:  
\_\_\_\_\_ Sell  
\_\_\_\_\_ Do nothing  
\_\_\_\_\_ Buy
5. In a year where my stocks gained 50% and my bonds lost 10%, I would:  
\_\_\_\_\_ Sell some bonds to buy stock  
\_\_\_\_\_ Do nothing  
\_\_\_\_\_ Sell some stock to buy bonds
6. I consider my knowledge of investing to be:  
\_\_\_\_\_ Sophisticated  
\_\_\_\_\_ Average  
\_\_\_\_\_ Basic  
\_\_\_\_\_ Very low



**Section 4: Current Net Worth**

Please list your current Investment Accounts (as in the example below) and, if possible, include copies of your most recent statements.

	Account	Type	Owner	Balance
Ex	Vanguard	IRA	Self	205,000

1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Other Assets (house, business, rental property, etc.)

Asset Description	Estimated Value

Liabilities: Please list any debts (mortgages, car loan, credit card, etc)

Liability Description	Estimated Amount



**Section 5: Current Living Expenses (to the extent you have this data)**

- Do you have a budget? \_\_\_\_\_. If so, please attach.
- Total Estimated annual expenditures \$ \_\_\_\_\_
  - Monthly Mortgage \$ \_\_\_\_\_
  - Other Loan Payments (Monthly) \$ \_\_\_\_\_

**Section 6: Estate Planning**

	<u>Self</u>	<u>Spouse</u>
Do you have a will?		
Do you have a Trust?		

**Section 7: Insurance**

In the space below, please describe any insurance policies including life and health.

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**Section 8: Other**

In the space below, please provide any other information you believe would provide any further information to assist in planning.

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