



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 five years.
- Efficiently passing on my estate to my children.

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	<i>Vanguard</i>	<i>IRA</i>	<i>Self</i>	<i>205,000</i>

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?	<input type="checkbox"/>	<input type="checkbox"/>
Do you have a Trust?	<input type="checkbox"/>	<input type="checkbox"/>

Section 7: Insurance

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

Section 8: Other

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