**FINANCIAL PLAN INTAKE FORMS**

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| **PERSONAL INFORMATION** |

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| Client Name: |  | D.O.B.: |  | Citizenship: |  |
| Address: |  | Unit #: |  |
| City: |  | State: |  | Zip: |  |
| Email: |  | Phone: |  |

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| Health Issues (past or present): |  |
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| Spouse Name: |  | D.O.B.: |  | Citizenship: |  |
| Email: |  | Phone: |  |

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| Health Issues (past or present): |  |
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| **CHILDREN AND/OR GRANDCHILDREN** |
| **Child/Grandchild Name** | **Child of** | **Birth Date or Age** | **Future Education Start Date** | **Expected Future Cost** | **Cost/Year to Provide for Wedding** | **Already Married?** | **Interest / Achievements** | **Concerns of Special Needs** |
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| **FINANCIAL VISION** |

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| 🞎 | Review/ create a financial plan | 🞎 | Have retirement money last to age(s)\_\_\_\_\_ | 🞎 | Retire/slow down by age(s) \_\_\_\_\_\_\_ |
| 🞎 | Minimize income taxes | 🞎 | Preferred annual retirement income $\_\_\_\_\_ | 🞎 | Save for a major purchase |
| 🞎 | Reduce portfolio volatility | 🞎 | Fund education: K-12/college/grad school | 🞎 | Simplify financial management |
| 🞎 | Evaluate pension choices | 🞎 | Review / consolidate / simplify investments | 🞎 | Provide for elderly parent(s) |
| 🞎 | Establish / review estate plan | 🞎 | Protect assets from law suits and creditors | 🞎 | Provide for special needs child |
| 🞎 | Keep estate plan simple | 🞎 | Assure children will be well provided for | 🞎 | Evaluate stock options |
| 🞎 | Avoid probate costs and delays | 🞎 | Create or leave a family charitable legacy | 🞎 | Create my own bank for family |
| 🞎 | Minimize inheritance taxes | 🞎 | Include our personal values in our estate plan | 🞎 | Provide financial security for my spouse |
| 🞎 | Reduce taxes on portfolio | 🞎 | Cover health care costs after retiring | 🞎 | Invest a windfall / inheritance |
| 🞎 | Review beneficiary designations | 🞎 | Protect lifestyle if unable to work | 🞎 | Start a family gifting program |
| 🞎 | Establish / administer a trust | 🞎 | Protect against potential long-term care costs | 🞎 | Manage / reduce debt |
| 🞎 | Build cash reserve to $\_\_\_\_\_\_\_\_\_\_ | 🞎 | Leverage assets earmarked for inheritance  | 🞎 | Protect assets from Unexpected |
| 🞎 | Make charitable contributions | 🞎 | Ensure lifetime financial independence | 🞎 | Increase ability to help others |
| 🞎 | Family financial security  | 🞎 | Freedom to control all aspects of my life  | 🞎 | Focus on long-term growth |
| 🞎 | Strategic debt management | 🞎 | Limiting investment to things I understand | 🞎 | Focus on investments in a closely held business |
| 🞎 | Leave maximum inheritance | 🞎 | Leave large enough inheritance to meet children’s lifestyle | 🞎 | Evenly distribute inheritance equally |
| 🞎 | Specify inheritance for each child/beneficiary | 🞎 | Transfer assets only at the death of my spouse and I | 🞎 | Transfer assets at my death |
| 🞎 | Establish family mission statement | 🞎 | Transfer assets to heirs ASAP | 🞎 | Involve children in family business |
| 🞎 | Discuss family financial resources regardless of age | 🞎 | I have no intention of charitable gifts | 🞎 | It is not appropriate to disclose family financials to children / heirs |
| 🞎 | Other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | 🞎 | I am concerned about my children’s ability to manage my wealth |  | Adherence to asset allocation |

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| **FINANCIAL VISION (continued)** |

**To what or whom do you attribute your wealth?**

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| 🞎 | Personal initiative | 🞎 | Financial success of parents or ancestors | 🞎 | Unexpected good fortune |
| 🞎 | Supportive environment | 🞎 | Assistance from a higher power | 🞎 | Financial success of spouse |
| 🞎 | Teamwork/partner with other(s) than spouse | 🞎 | Other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**There are numerous ways to transfer your family financial values to children and other heirs. Check those that are important to you.**

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| 🞎 | Actively discuss the importance of specific financial values | 🞎 | Become involved as a family in a spiritual community | 🞎 | Demonstrate values by how I lead my life |
| 🞎 | Hold regular family meetings | 🞎 | Encourage children to work, in order to learn the meaning of money | 🞎 | Use rites of passage and family celebrations. |

**Which statement most closely reflects your thoughts regarding your willingness to give up ownership or control of assets? Check one main answer and any applicable subcategory**

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| 🞎 | I am uncomfortable with any strategy that interferes with my direct ownership or interferes with my ability to spend:  🞎 Income and principal |
| 🞎 | I am comfortable relinquishing ownership as long as I maintain control: 🞎 And retain access to all income 🞎 And retain access to sufficient income to maintain my financial independences 🞎 Regardless of access to income (i.e. I can continue to manage the assets). |
| 🞎 | I have no concern about relinquishing ownership or control of assets. |

**If you were given $1,000,000 and were required to give it to charity this year, what charitable cause(s) or organization(s) would you support?**

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| --- | --- | --- | --- |
| Charitable recipients: |  | Amount/percentage: |  |
| Charitable recipients: |  | Amount/percentage: |  |
| Charitable recipients: |  | Amount/percentage |  |

**Wealth can create opportunities that otherwise may not present themselves. What opportunities would you pursue if you had the wealth to do so?**

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| **BUSINESS FOCUS AREAS** |

🞎 Sell, buy or start a business 🞎 Review/start retirement plan 🞎 Replace future income to protect family

🞏 Equalize estate for heirs 🞏 Retain / reward key employees 🞏 Bring family members into business

🞏 Defer more income 🞏 Replace my banker 🞏 Protect against loss of key employee / partner

🞏 Maximize annual savings 🞏 Reduce costs of borrowing 🞏 Achieve financial independence by age \_\_\_\_

🞏 Minimize income taxes 🞏 Optimize cash flow 🞏 Leverage retirement plan assets

🞏 Reduce investment risk 🞏 Sell business to insider / outsider 🞏 Minimize taxes on future sale of business

🞏 Reduce potential estate taxes 🞏 Maintain lifestyle if unable to work 🞏 Make gifts to children / favorite charities

🞏 Provide for family member(s) 🞏 Evaluate existing life insurance 🞏 Include personal values in estate plan

🞏 Provide for elderly parent(s) 🞏 Replace future income for spouse 🞏 Fund: high school / college / grad school

🞏 Build cash reserves to $ \_\_\_\_\_\_ 🞏 Guard against long term care costs 🞏 Leverage assets earmarked for inheritance

🞏 Attract / retain employees 🞏 Establish / review succession plan 🞏 Protect assets from lawsuits

🞏 Update current benefits 🞏 Reduce investment risk 🞏 Leverage assets earmarked for inheritance

🞏 Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 🞏 Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 🞏 Other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| **BUSINESS FACT FINDER** (*Attach additional sheet if necessary)* |

1. Business Type: 🞏 C Corp 🞏 S Corp 🞏 LLC 🞏 LLP 🞏 Partnership 🞏 Family Limited Partnership: 🞏 Sole Proprietor 🞏 Professional Corporation 🞏 Other

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| --- | --- | --- | --- |
| Business: |  | Owners: |  |
| Address: |  | City: |  | State: |  | Zip: |  |
| Phone: |  | Email: |  |
| Business Mission: |  |
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| Other parties involved (if applicable)  |  |
| Describe your current bank relationship: |  |
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| **BUSINESS FACT FINDER (continued)** |

1. Business Type: 🞏 C Corp 🞏 S Corp 🞏 LLC 🞏 LLP 🞏 Partnership 🞏 Family Limited Partnership: 🞏 Sole Proprietor 🞏 Professional Corporation 🞏 Other

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| --- | --- | --- | --- |
| Business: |  | Owners: |  |
| Address: |  | City: |  | State: |  | Zip: |  |
| Phone: |  |  | Email: |  |
| Business Mission: |  |
| Other parties involved (if applicable)  |  |
| Describe your current bank relationship: |  |

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1. Business Type: 🞏 C Corp 🞏 S Corp 🞏 LLC 🞏 LLP 🞏 Partnership 🞏 Family Limited Partnership: 🞏 Sole Proprietor 🞏 Professional Corporation 🞏 Other

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| --- | --- | --- | --- |
| Business: |  | Owners: |  |
| Address: |  | City: |  | State: |  | Zip: |  |
| Phone: |  |  | Email: |  |
| Business Mission: |  |
| Other parties involved (if applicable)  |  |
| Describe your current bank relationship: |  |

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| **MAJOR PURCHASES/PLANNED GIFTS** |

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| **Describe your most important goals to pursue***(New home, charitable gifts, major vacation, next car, rental property, business, office building, plane, art, jewelry, recreational vehicle, family gifts, redecorate home, go on a second honeymoon, family reunion)* | **Priority of Goal***(10= highest, 1=lowest)* | **Purchase Amount** | **Purchase Date** | **Earmarked****Assets***(Accounts that may fund this goal)* |
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| **PERSONAL PROPERTY** (*Attach additional sheet if necessary)* |

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| **Specific Asset***(Home, vacation home, rental property, business, building, plane, art, jewelry, recreational vehicle, collectibles, Crypto Currencies, Foreign Investments)* | **Ownership***(you, Joint, Family Member, Trust, LLC, Partnership,**Other)* | **Income** | **Purchase date** | **Cost Basis***(if you plan to sell at some point)* | **Current Value** | **Growth Rate** | **Sell Asset?***(Provide details)* |
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| **PLEASE INDICATE HOW MUCH YOU AGREE OR** **DISAGREE WITH THE FOLLOWING STATEMENTS** |

(5 = Strongly Agree 1 = Strongly Disagree)

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| \_\_\_I am not concerned about my  employment | \_\_\_I’ve achieved financial  independence | \_\_\_I’ll research and make decisions  myself |
| \_\_\_My Social Security will be reduced | \_\_\_My credit is excellent | \_\_\_Interest rates will stay low |
| \_\_\_My investment decisions please me | \_\_\_I am a risk taker | \_\_\_My health is excellent |
| \_\_\_I have a lot of investing experience | \_\_\_The stock market worries me | \_\_\_I am charitably inclined |
| \_\_\_I make decisions easily and quickly | \_\_\_I don’t like surprises | \_\_\_I am loss averse |
| \_\_\_I am well aware of my financial  situation | \_\_\_My children are well prepared to  manage an inheritance | \_\_\_I expect income taxes to rise over  time |
| \_\_\_Routine and predictability are  important to me | \_\_\_I can tolerate a high degree of  complexity to achieve my goals | \_\_\_Inflation on my expenses is a  concern |
| \_\_\_I invest my money aggressively to  achieve my goals | \_\_\_If the stock market goes down by  20% Or more, I panic | \_\_\_I am concerned about running out  of money |
| \_\_\_Working more years is more  important than reducing my  standard of living | \_\_\_I am familiar with the different types of investments  available | \_\_\_Other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **FINANCIAL VALUES** |
| 1. Remembering how your parents managed money, did it affect how you manage personal wealth?
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| 1. How did that affect the way you make financial decisions?
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| What are your personal financial values? |  |
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| Do your children (and grandchildren) understand and share your wealth philosophy? Please explain? |  |
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| How do you define a high-quality of life? |  |
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| Define what retirement means to you: |  |
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| What is your biggest financial concern? |  |
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| What is your family’s plan for dealing with health issues and crises if they arise? |  |
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| If you were to win the lottery, what would you do with the money? |  |
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| **FINANCIAL VALUES (continued)** |
| Do you listen to the radio, podcasts, or read books and magazines? If so, which programs and/or publications? |
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| What is your preferred method of communication? (Mail, phone, email, text, etc.) |  |
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| If you received a notice from the I.R.S., how would you react? |  |
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| Additional Comments – Anything else you feel is important to address: |  |
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| **RISK TOLERANCE**  |

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| **When do you plan to start taking money out of your accounts?** |  | **Once I start withdrawing from my investments, I plan to spend all the money in:** |
| 3 years or less | 🞏 |  | Less than 3 years | 🞏 |
| 3 to 5 years | 🞏 |  | 3 to 5 years | 🞏 |
| 6 to 10 years | 🞏 |  | 6 to 10 years | 🞏 |
| 11 years or longer | 🞏 |  | 11 years or more | 🞏 |

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| **I describe my knowledge of investing as:** |  | **Investments I have owned or currently own include:** |
| None | 🞏 |  | None | 🞏 |
| Minimal | 🞏 |  | Bonds, bond funds, or Bond ETNs 1 | 🞏 |
| Good | 🞏 |  | Stocks stock funds, or stock ETFs 2 | 🞏 |
| Extensive | 🞏 |  | Hedge funds, options, futures, REITs, or derivatives | 🞏 |
|  |  |  | 1 ETNs = Exchange traded notes2 ETFs = Exchange traded fundsREITs – Real estate investment trust |
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| **RISK TOLERANCE**  |
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| **When the market drops by 25% or more, I have:** |  | **How concerned are you about the economy and world markets?** |
| Gotten out and stayed out | 🞏 |  | Very concerned | 🞏 |
| Gotten out, but regretted it later | 🞏 |  | Moderately concerned | 🞏 |
| Stayed in, but watched nervously | 🞏 |  | Not very concerned - I’m well diversified | 🞏 |
| Stayed in and wished I had more money to invest | 🞏 |  | I have more than enough income and assets from other sources | 🞏 |

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| **Rate the following1-Strongly agree 2- Neutral 3-Strongly disagree** |  | **Generally, I prefer investments that never lose value:** |
| I have 100% equity in my home |  |  | Strongly agree | 🞏 |
| No others rely on my income |  |  | Agree | 🞏 |
| My income covers all of my expenses |  |  | Disagree | 🞏 |
| My credit rating is excellent |  |  | Strongly disagree | 🞏 |

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| Print your name  |  | Print your name  |
|  |  |  |

 Signature date Signature date