**FINANCIAL PLANNING ANALYSIS**

**COMPLETE THIS FORM AND BRING IT WITH YOU TO YOUR FIRST APPOINTMENT**

1. Please print and if you are not sure about a question, please leave it blank.
2. Please use approximate values – round to the nearest thousand where applicable.
3. Please return this form with your most recent tax return and statements.

**Client Information**

**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date of Birth: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Nickname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Mailing Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**City: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State: \_\_\_\_\_\_\_\_\_\_\_\_ ZIP: \_\_\_\_\_\_\_\_\_\_\_\_\_**

**Home Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Business Phone:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Occupation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Spouse Information**

**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date of Birth: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Nickname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Occupation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Employer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Amounts in Bank and Credit Union Accounts (NON – IRA)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Bank** | **Type of Account** | **Maturity Date** | **Interest Rate** | **Current Balance** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**IRA Accounts and Other Retirement Accounts**

(Please bring in the most recent statement/report)

|  |  |  |  |
| --- | --- | --- | --- |
| **Location of Account**  **(bank, brokerage, employer)** | **Type of Account (401(k), 403(b), IRA, etc.)** | **Approximate Market Value** | **Account Holder** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**When do you plan to retire? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Stock and Bond Certificates**

(Please bring in the most recent statement/report)

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Stock / Bond** | **Number of Shares** | **Approximate Market Value** | **Account Holder** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Mutual Fund and / or Brokerage Accounts**

(Please bring in the most recent statement/report)

|  |  |  |
| --- | --- | --- |
| **Brokerage Firm or Mutual Fund Name** | **Approximate Market Value** | **Account Holder** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**Real Estate and Residence**

(Please bring in the most recent statement/report)

|  |  |  |  |
| --- | --- | --- | --- |
| **Property Address** | **Original Cost** | **Market Value** | **Debt Owed** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Family Business / Partnerships**

(Please provide additional information on page 4)

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Business** | **Type of Business** | **Amount Invested** | **Valuation** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Long Term Care Policies**

(Please bring in the most recent statement/report)

|  |  |  |
| --- | --- | --- |
| **Insured Party** | **Monthly Benefit** | **Premium Amount** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**Life Insurance Policies**

(Please bring in policies and latest statements)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Company** | **Insured** | **Type of Policy** | **Cash Value** | **Death Benefit** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Pensions or Other Streams of Income**

(Please bring in the most recent statement/report)

|  |  |  |
| --- | --- | --- |
| **Source of Income** | **Account Holder** | **Monthly Amount** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**Children**

(Please provide additional information on page 4)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name** | **Gender** | **Date of Birth** | **Dependent?** | **College Funds Needed?** |
|  |  |  | **Y / N** | **Y / N** |
|  |  |  | **Y / N** | **Y / N** |
|  |  |  | **Y / N** | **Y / N** |

**Approx. Value of Personal Property (Furniture, Jewelry, Cars, Etc.): $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Family Business Details (Provide any additional details relevant to your financial plan):**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Other Assets: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**What are your Primary Financial Concerns?**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Approximate Monthly Expenses?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Appointment Checklist:**

**(Make sure you have the following items for your financial evaluation)**

**□ Annuity and Brokerage Statements □ Mutual Fund Statements □ Social Security Statements**

**□ Retirement Account Statements □ Life Insurance Policies and Statements**

**□ Most Recent Tax Returns □ Estate Planning Documents**