

General Personal Information

ID:

- Name
- Mailing address
- Date of birth
- Occupation
- Best phone
- Email address
- Marital status

Documents. (Most Recent)

Investments

- Investment statements
- Employer benefits statements
- Pension statements
- Social Security benefit statements (available at www.socialsecurity.gov)
- Amounts of annual retirement plan contributions (401k, 403b, IRA, Roth, etc)

Income

- Pay stubs
- Bank statements
- Business P&L, Balance Sheet, Statement of Cash Flows
- Federal and state income tax returns

Liabilities

- Mortgage statements
- Any other outstanding loans or notes
- Budget of personal and living expenses

Insurance

- Life, disability and long term care insurance policies and statements

Estate

- Current wills, trust documents and other legal documents
- Retirement plan documents
- List and approximate value of titled personal assets (car, boat, etc.)

Goals

Retirement

- When would you like to semi-retire?
- When would you like to fully-retire?

What's important to you?

Rate the importance of each according to the following scale:	Lo w	Med	High
Retirement or Semi-Retirement			
Directing a portion of your personal savings or investment portfolio to a tax advantaged vehicle			
Having all of your portfolios consolidated and analyzed to make sure your overall plan is on track			
Matching your risk tolerance to that of your investment portfolio			
Reviewing your investment performance against that of an index			
Reviewing your investment performance against your plan			
Reviewing alternative retirement methods			
Minimizing the taxes on your investment accounts			
Techniques to save income and estate taxes on deferred money			
Asset protection in the result of serious illness			
Protecting assets in the event that you require Long Term Care in the future			
Receiving adequate income in the event of disability during your working years			
Creating income for your spouse in the event of your premature death			
Generating a guaranteed retirement income stream			
Planning income for your children in the event of your premature death			

If You Own a Business:

Rate the importance of each according to the following scale:	Lo w	Med	High
Maintaining control of your businesses throughout your lifetime			
Eliminating the need to liquidate your businesses to pay estate taxes			
Passing your business in a manner where it is sold to key employees			
Creating a business-planning concept that can help you sell your business to key employees in an efficient manner			
Providing incentives to your key employees with non-stock compensation alternatives			
Having your key employees own stock in your company			
Protecting your business from the death of a key employee			

Protecting your key employees and their families from serious illness and disability			
Protecting your company from serious illness and disability of your employees			
Key employees to the continued success of your company			
Passing your businesses in a manner that maintains family ownership and control			
Having your spouse take an active/ownership role in the business plan after you pass			
Creating a business planning concept that shows you how to gift/sell/bequest your business to your children/heirs			
Passing your business in a manner where it is sold to a third party			
Reviewing your business' property and casualty coverage every two years			
Reviewing alternative sources for your existing line of credit			
Reviewing the efficiency of your existing long term debt structure			