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In preparation for our first meeting

For our first meeting together there are two objectives:

1. *I need to learn about you* – in order to determine how I might best serve you. I want to know about your goals, your values, your concerns, your financial circumstances, and what you want out of an advisory relationship.
2. *You need to learn about me* – so you can decide if I am the right financial advisor for you. I want to make sure that you understand what I do, how I work, and what the benefits to you would be of choosing me as your financial planner. I will try to answer any questions you have about working with me, the costs involved, and what your experience would be like in working with me.

Since this initial visit will be used by both of us to learn about the other and no substantial financial advice will be offered, there will be no charge for this first meeting. To facilitate our conversation and make our time together as productive as possible, please take a few moments to provide me with the following information:

Personal Information

	Last Name	First Name	Age	Occupation/Employer
Client	____________	____________	____	____________
Co-Client	____________	____________	____	____________
Children	____________	____________	____	____________
	____________	____________	____	____________
	____________	____________	____	____________

Address ______________________________ City ____________

State _____ Zip _______ email: ______________________

Phone (H) ____________________ Phone (W) ____________________

Goals/Objectives

Please describe your primary financial concerns. Why are you looking for a financial advisor?

1) ____

____

2) ____

____

3) ____

____

What are you looking for in an advisor? What would a good relationship look like?

____

____

____

At what age(s) do you hope to retire? ________ Client ________ Co-Client

Specific financial goals:

Description	Cost or Amount	Year
______________________	__________	____
______________________	__________	____

Other Information

Do you have current wills and trusts? ______________________________

How much life insurance do you have in force?

Client: ______________________ Co-Client: ______________________

Do you have any major health issues? ______________________________

What are three things financially you are proud of: ______________________

____

Here is a list of "values" that many people have. Which five are most important to you, and rank those five in importance (1=highest)

Achievement	Adventure	Aesthetics and culture
Authority/Power	Financial Success	Friendship/love/family
Health	Independence	Integrity
Philanthropy	Recreation	Security
Service	Spiritual growth	Wisdom
Work	Fun	Comfort
Pleasure	Other __________	Other ______________

Current Annual Income

Employment (Salary, Bonus, etc): ______________________________

Investment income: ______________________________

Pensions/Social Security: ______________________________

Real estate income (net of expenses): ______________________________

Trust or gift income: ______________________________

Inheritances, settlements, other (describe): ______________________________

Assets

Cash/Money Market accounts ______________________________

Vested pension, profit sharing, 401k accounts ______________________________

IRA/Keogh accounts ______________________________

Other: Stocks/Bonds/Mutual Funds ______________________________

Do you expect a pension besides Social Security? ______________________________

Investment Real Estate ______________________________

Stock options or business value ______________________________

Home Value ____________ Mortgage Balance ______________ Rate ______%

Other – Type ______________________________ Value __________________

Type ______________________________ Value __________________

Do you anticipate a substantial inheritance or other lump sum within five years? ____________

Debts

Car loans ______________________ Student loans __________________

Personal loans ___________________ Other amounts owed ____________

Annual Savings:

Retirement plan contributions -- Client ______________ Co-Client _______________

Other Savings -- Client _________________________ Co-Client _______________