



Confidential Fact Finder

Client Name

Spouse/Co-Client Name

Financial Advisor(s)

Date



Basic Information

Client name	Date of Birth
Spouse/Co-Client name .	Date of Birth

Contact Information

Address		
City	State	Zip
Years at this location		
Client Cell Phone	Spouse/Co Client Cell Phone	
Client E-Mail	Spouse/Co Client E-Mail	

Employment Information- Client

Employer Name	Title	
Employer Address		
City	State	Zip
Work Phone		
E-Mail Address	Years Employed	

Employment Information- Spouse/Co Client

Employer Name	Title	
Employer Address		
City	State	Zip
Work Phone		
E-Mail Address	Years Employed	

Children

Name	Date of Birth	Special Needs? y/n

Grandchildren

Name	Date of Birth

Ideally, how much money would you save annually? _____

Do you have the following?

- Will Date _____
- Living Will Date _____
- Power of Attorney Date _____
- Trust Documents and Type _____
- Buy/Sell Agreements (if you are a business owner) Date _____

What are your three main objectives or goals?

- 1.
- 2.
- 3.

What are your three greatest concerns?

- 1.
- 2.
- 3.

ASSETS

<u>Account Type</u>	<u>Location or Type of Asset</u>	<u>Owner/Title</u>	<u>Financial Institution</u>	<u>Current Value</u>	<u>Monthly (contrib. or payment)</u>
Primary Home					Prin. & Int./ extra payments
Vacation Home					Prin. & Interest
Investment Property					Prin & Interest
Pension					
Pension					
Retirement Account 1					
Retirement Account 2					
Retirement Account 3					
Investment Account 1					
Investment Account 2					
Investment Account 3					
Investment Account 4					
Savings 1					
Savings 2					
Checking 1					
Checking 2					
Money Market					
Auto 1					
Auto 2					
Boat					
Savings Bonds					
CD's					
Other					

Liabilities

Type of Debt	Owner(s) of Debt	Monthly Payment	Interest Rate	Date of Loan	Term of Loan	Original Balance	Current Balance
PRIMARY MORTGAGE							
VACATION HOME							
RENTAL PROPERTY							
RENTAL PROPERTY							
LINE OF CREDIT							
HOME EQUITY LOAN							
CREDIT CARD DEBT							
CREDIT CARD DEBT							
CREDIT CARD DEBT							
CREDIT CARD DEBT							
CREDIT CARD DEBT							
COLLEGE LOAN DEBT							
COLLEGE LOAN DEBT							
COLLEGE LOAN DEBT							
COLLEGE LOAN DEBT							
COLLEGE LOAN DEBT							
AUTO LOAN 1							
AUTO LOAN 2							
OTHER							

INCOME

	GROSS MONTHLY or YEARLY AMOUNT
CLIENT SALARY	
CLIENT BONUS	
SPOUSE SALARY	
SPOUSE BONUS	
RENTAL INCOME	
SOCIAL SECURITY CLIENT	
SOCIAL SECURITY SPOUSE	
INVESTMENTS	
TRUST INCOME	
PENSIONS	
OTHER	



DOCUMENT CHECKLIST

Please provide the most recent statements or documentation for the following, if applicable:

CASH & CASH EQUIVALENTS:

- Checking & Savings Accounts
- Money Market Accounts
- CDs
- Savings Bonds (include list with dates and type)

INVESTMENTS & RETIREMENT PLANS:

- Brokerage Accounts
- Mutual Funds
- Common/Preferred Stocks/Bonds
- Alternative Investments
- 401(k) Plan, 403(b), 457, Simple IRA or SEP
- Deferred Compensation Plan
- Stock Options, RSUs
- Profit-Sharing Plan
- Traditional/Roth IRA's

LIABILITIES:

- Mortgages, Home Equity Loans & Lines of Credit
- Credit Cards
- Auto/Boat Loans, Student Loans & any other Personal Loans

INSURANCE:

- Group and Individual Life Insurance (whole-life, term, universal, etc.)
- Group and Individual Disability Insurance
- Annuities
- Long Term Care Insurance
- Property and Casualty (auto, home, umbrella)

EMPLOYEE BENEFITS:

- Employee benefit booklet/benefit summary
- Social Security Statements
- Employee Stock Ownership Plan (ESOP)
- Executive Bonus Plan
- Current Payroll Stub

COLLEGE PLANS:

- Coverdell Education Savings Accounts/ 529 Plans
- State TAP plans
- UTMA or UGMA accounts

TAX & ESTATE DOCUMENTS

- Tax Returns for the last year (personal, trust, gift, estate, etc.)
- Current Wills, Power of Attorneys
- Trust Agreements
- Divorce Decree(s)/Prenuptial Agreement(s)

IDENTIFICATION VERIFICATION:

- Driver's License, Green Card if Applicable



Living Expense Worksheet

CATEGORY	MONTHLY AMOUNT	OR	ANNUAL AMOUNT
Alimony			
Associations/Dues			
Automobile - Fuel			
Automobile - Lease			
Automobile - Maintenance			
Automobile - Parking			
Automobile - Registration/License			
Automobile - Tolls/EZ Pass			
Bank Fees			
Boating/Camper Expense			
Charity			
Children - Camps			
Children - Child Support			
Children - Childcare/Babysitting			
Clothing - Dry Cleaning			
Clothing - Purchases			
Discretionary Expenses			
Food - Dining			
Food - Groceries			
Gifts			
Hobbies			
Home - Entertainment			
Home - Furnishings			
Home - Home Security			
Home - Homeowners Association Fees			
Home - Housekeeping			
Home - Improvement/ Maintenance			
Home - Landscaping			

