

- CONFIDENTIAL -

INITIAL CLIENT DISCOVERY, PART I

Prepared For:

Client Name

Prepared By:

Kristi Sullivan, Certified Financial Planner®

The logo features the word "Sullivan" in a large, grey, serif font. To the left of the letter "S" is a light green puzzle piece. Below "Sullivan" is the text "FINANCIAL PLANNING LLC" in a smaller, grey, sans-serif font.



Putting the Pieces Together

783 S. Downing St.

Denver, CO 80209

720-524-6848

Kristi@sullivanfinancialplanning.com

INITIAL PERSONAL INFORMATION DISCOVERY (PART 1)

-CONFIDENTIAL-

This is the first part of the discovery process. This part contains basic personal information that is relatively easy for most clients to fill out. Parts II and III are more difficult, so ideally it's best to get together in person to complete them.

The information revealed by the completion of these questionnaires will help us define your:

- Present and future financial condition
- Personal financial goals and objectives
- Investment goals and objectives
- Investment Policy Statement (IPS): Investment time horizons, Risk category, Reward expectations
- College funding concerns
- Retirement concerns
- Tax reduction opportunities
- Estate planning opportunities

The completed questionnaire will help us understand what you hope to accomplish during our advisor relationship. The information is input into various financial planning software modules, which then determines if various goals can be met. The better the information, the better the resulting comprehensive financial plan will be. Every client is unique, so the quality of our service and advice is dependent on the accuracy of both subjective and objective information.

We may ask some questions you consider to be very personal information. While the answers to all personal questions aren't essential for us to get started, the answers are important if we are to give you the best possible personalized advice. All information you share with us is held in strict confidence, and will be used only during our client/advisor relationship. Feel free to skip any questions you are not comfortable answering.

Most of the objective financial information we need is readily available from your current statements and financial documentation: your personal net worth statement, income tax filings (three years), brokerage statements, 401(k) reports, bank statements, partnership K1s, stock option reports, pension and profit sharing annual statements, and so on. Please have these documents available for Part II and III of the discovery process (the personal interview).

Feel free to write your notes, comments, or questions anywhere on this form. If a question isn't clear for any reason, please make a note telling us what the problem is so that we can change it.

Thank you for taking the time to complete this form. Please feel free to contact us if something needs to be clarified.

FAMILY INFORMATION

List everyone that you consider to be in your immediate family. Family members in an earlier generation (e.g., parents) need not be listed unless they have a significant effect on your financial life (e.g., a parent in a nursing home, or a relative who may gift assets to you upon their passing).

Name	Year of Birth	Male or Female	Relationship to Client or Spouse*	Natural <u>A</u> dopted Stepchild	Dependent (on you for financial support)?
		M F		N A S	Y N
		M F		N A S	Y N
		M F		N A S	Y N
		M F		N A S	Y N

* Some examples would be: son, granddaughter, mother-in-law, etc.

Note here if you are currently pregnant, or have plans to have additional children: _____

Summarize contents of any divorce settlements, prenuptial or premarital agreements: _____

Note here if there are any significant health problems with any person listed above: _____

YOUR OTHER CURRENT ADVISORS

ADVISORS	NAME	INCLUDE IN DECISION MAKING?	PHONE
Attorney:		Yes No	()
CPA:		Yes No	()
Insurance Agent:		Yes No	()
Financial advisor:		Yes No	()
Year of last financial plan:	How many financial advisors have you had in the past five years: _____		
Are you considering leaving?	Why? _____		

OPTIONAL PERSONAL INFORMATION

The more we know about you, the better we can advise you. Feel free to skip any of these questions.

Do you provide financial support for any members of your extended family (e.g., parents, aunts, uncles, siblings, etc.)? If so, in what way?

Client: _____

Spouse: _____

Does any family member have military or federal civil service experience? Please not ending pay grade:

Client: _____

Spouse: _____

Do you anticipate providing support for anyone in the future? If so, how (if with money, how much) and for how long?

Client: _____

Spouse: _____

Do certain charitable organizations enter into your planning? If so, would you tell us a little about your intentions?

Client: _____

Spouse: _____

Do you expect to receive any inheritances? If so, please describe:

	Amount	Type of property (e.g., stocks, real estate, etc.)	Benefactor's Age & Relation to You	Is this Written in the Benefactor's Will?
Client:	\$ _____	_____	_____	Y N
	\$ _____	_____	_____	Y N
Spouse:	\$ _____	_____	_____	Y N
	\$ _____	_____	_____	Y N

What is the risk of losing your job for any reason: Client: _____ Spouse: _____

What are the obstacles in reaching your goals: Client: _____ Spouse: _____

Any big promotions coming up at work? Client: Y N Spouse: Y N Details: _____

Planning to return to college someday? Client: Y N Spouse: Y N Details: _____

What are your long term career goals: Client: _____

Spouse: _____

INVESTMENTS: GOALS AND RISK TEMPERAMENT

Your Investment and Planning Goals and Objectives
On a scale of 1-5
One = Not important
5 = Very important

1) Accumulating wealth for the future	
2) Charitable giving	
3) Children/Grandchildren's education	
4) Controlling expenses or debt	
5) Emergency cash reserves	
6) Major purchases	
7) Preserving wealth for heirs	
8) Protection from death or disability	
9) Reducing income taxes	
10) Retirement/financial Independence	
11) Other: _____	

Please describe the best, and worst, financial investments you've ever made:

Client: Best: _____ Worst: _____

Spouse: Best: _____ Worst: _____

List any investment-related personal preferences and/or constraints that we should take into consideration:

Examples: *Don't sell any XYZ stock; don't buy any emerging market funds.*

Client: _____

Spouse: _____

Please list **all** expected cash withdrawals from your investments that you will have with us, and their time frames:

Examples: *\$10,000 next year to buy a boat. \$3,000 a month forever when I retire in two years.*

Client: _____

Spouse: _____

We'd like to know what you think investment risk is so we'll be talking about the same thing in our discussions. Please write a short sentence describing what you think investment risk is:

Example: *Investment risk to me means the risk of losing any money that I invested.*

Client: _____

Spouse: _____

How much input do you want to make regarding managing your investments:

Client A: _____

Client B: _____

INVESTMENTS, CONTINUED

Check only one box for each question. If you received only one Fact Finder for client & spouse - and client and spouse's answers differ substantially - please use an average (of client and spouse).

(1) Using your above-listed definition of risk, indicate the general level of investment risk you are willing to accept. (Note: Risk and return are linked, meaning that one generally cannot get a high rate of investment return without assuming a high level of investment risk.)

- A Low (I want maximum attention to be paid to minimizing what I said in the above statement.)
B Low to Medium (I want a lot of attention paid to minimizing what I said in the above statement.)
C Medium to High (I want moderate attention paid to minimizing what I said in the above statement.)
D High (I want little attention to be paid to minimizing what I said in the above statement.)

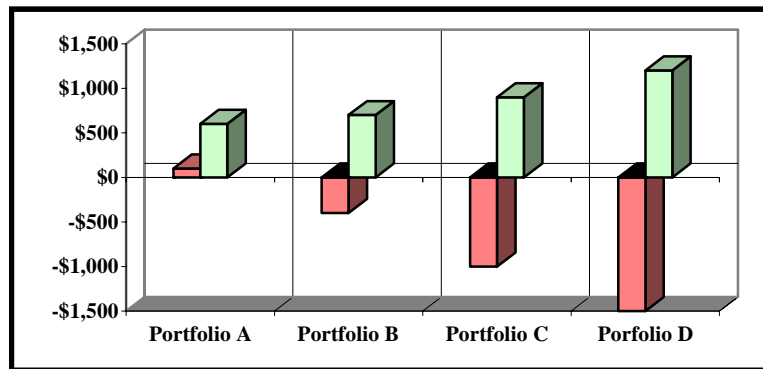
(2) What is the rate of return goal for your total combined investment portfolio? (Note: Having 100% of your assets in a large basket of large stocks (S&P500) has had an average return of about 11% over the last 75 years. Having 100% of your assets in a large basket of small stocks has had an average return of about 13% over the last 75 years. Having more than 70% of your assets invested in stocks is considered to be taking very high risk.)

- A 4.5% to 6.5%
B 6.5% to 8.5%
C 8.5% to 10.5%
D Over 10.5%

(3) Which of the following best describes your investment objectives & temperament? (Check only one box.)

- A Income: Preservation of capital with major emphasis on generating current investment income. Most investment income will be withdrawn and spent. E.g., I want the portfolio to produce income to live off of (either now or in the near future) while minimizing risks of principal loss.
- B Income & Growth: A combination of current income, preservation of capital, and capital appreciation, with the primary consideration being preservation of capital and current income. Some income will be withdrawn. E.g., I want the portfolio to produce income, but also provide enough principal growth so the income will keep pace, or outpace, inflation over a long-time horizon.
- C Growth & Income: A combination of capital appreciation and current income, with the primary consideration being growth of capital. Most income will be reinvested. E.g., I want the portfolio to grow moderately to accumulate wealth for future goals.
- D Growth: Maximum capital appreciation (long-term growth), accepting higher risk and volatility, with little or no income expected or withdrawn. E.g., I want the portfolio to grow substantially to accumulate wealth for future goals.

INVESTMENTS, CONTINUED



(4) The chart above shows the one-year profit/loss on a \$10,000 investment from four different portfolios. Assume you have an equal chance of getting any random positive or negative return within each portfolio's range (do not assume you'll get the average of the minimum and maximum return). Which one portfolio would you choose?

- A Portfolio A (where you'll make anywhere between +\$100 to +\$600, or +1% to +6% over the next year.)
B Portfolio B (where you'll make anywhere between -\$400 to +\$700, or -4% to +7% over the next year.)
C Portfolio C (where you'll make anywhere between -\$1,000 to +\$900, or -10% to +9% over the next year.)
D Portfolio D (where you'll get anywhere between -\$1500 to +\$1200, or -15% to +12% over the next year.)

(5) How do you feel about inflation and its impact on your investments? (Note: The U.S. annual inflation rate has averaged about 3.25% since 1926, but has also been over 10% several years in that period.)

- A I am satisfied with my investments just keeping pace with the rate of inflation, or being slightly above. I am willing to forego returns higher than inflation in order to limit the risk in my investments.
B I prefer to achieve returns that are slightly to moderately above the rate of inflation (2% to 4% higher). I am willing to assume some risk in my investments in order to achieve such returns.
C I prefer to achieve returns that are moderately above the rate of inflation (5% to 7% higher). I am willing to assume higher risk in my investments in order to achieve such returns.
D I prefer that my investments achieve returns much higher than the rate of inflation (>7% higher). I am willing to assume significant risk in order to achieve returns that are much higher than inflation.

(6) How do you feel about short-term (one year or less) fluctuations in the value of your portfolio? (Note: a $\pm 5\%$ fluctuation over one year in a \$10,000 investment would mean its value would fluctuate between \$9,500 and \$10,500 over the year.)

- A I do not want the possibility of substantial fluctuations in the value of my portfolio. I prefer to minimize all fluctuations in the value of my portfolio.
B I can tolerate small to moderate fluctuations in my portfolio ($\pm 1\%$ to $\pm 5\%$) in order to attempt to outpace inflation over the long term.
C I can tolerate moderate to high amounts of fluctuations in my portfolio ($\pm 6\%$ to $\pm 10\%$) in order to attempt to achieve returns higher than inflation over the long term.
D I can tolerate large fluctuations in my portfolio ($\pm >10\%$) in order to increase the potential of achieving returns much higher than inflation over the long term.

INVESTMENTS, CONTINUED

(7) Given the fact that it's normal for the value of investment portfolios to fluctuate year to year, what would you consider to be the maximum acceptable loss to your portfolio over a one-year time frame?

- A Loss of -1% to -5%. (Note: It's normal for even a conservative portfolio to lose money sometimes.)
- B Loss of -6% to -10%.
- C Loss of -11% to -15%.
- D Loss of more than -15%.

(8) How do you see your overall personal and business situation changing in the next few years regarding your family's employment, cash flow, health, legal, taxes, and potential for unforeseen financial expenditures?

- A I am worried that there may be significant changes for the worse on the horizon.
- B Everything seems stable and OK for now, but I'm still worried.
- C Everything seems stable and OK for the foreseeable future, and may improve.
- D Everything seems like it will improve substantially over the foreseeable future.

(9) About what percent of your retirement income (all retirement income, including Social Security and all employer pensions, etc.) do you anticipate coming from your investment portfolio with us?

- A Over 75% of my retirement income will come from my investments with you.
- B 51% to 75% of my retirement income will come from my investments with you.
- C 25% to 50% of my retirement income will come from my investments with you.
- D I/we won't be retiring in the next few years, and/or, less than 25% of my retirement income will come from my investments with you.

(10) How long do you plan to have your money invested before you begin to make withdrawals from it?

- A I expect to start withdrawing money in one year or less (or I'm currently withdrawing income).
- B I expect to start withdrawing money somewhere between one and five years from now.
- C I expect to start withdrawing money somewhere between six and ten years from now.
- D Never, or I expect to start withdrawing money more than ten years from now.

(11) Once you start withdrawing money, over how much time do you anticipate withdrawing it?

- A One year or less.
- B Over a period of from 1 to 5 years.
- C Over a period of from 6 to 10 years.
- D More than 10 years, or over my lifetime.

(12) If you plan on taking any lump-sum withdrawals from your portfolio in the next year, approximately how much would it be? (Note: This is in addition to any regular monthly income distributions.)

- A I plan to take out 25% or more from my portfolio in the next year.
- B I plan to take out between 10% and 25% of my portfolio in the next year.
- C I plan to take out less than 10% of my portfolio in the next year.
- D I have no plans on making any lump-sum distributions in the next year.

INVESTMENTS, CONTINUED

(13) Assume that all of your U.S. stock holdings are invested in one U.S. stock mutual fund (we know this is unrealistic, but please humor us and assume!). The stock market (and your fund) has experienced a near crash, losing 25% of its value in one month. What action would you take assuming this happened last month?

- A Sell the stock fund. I am afraid the market is in a downturn, and I can't afford more decreases in value.
- B Sell half of my investment in the fund. I think that the market may rebound, but I'm not willing to leave all of my investments exposed to further loss.
- C Hold the fund. I understand that my investments may be subject to short-term price swings, and am comfortable "weathering the storm."
- D Buy more of the stock fund to take advantage of its low price. I am comfortable with market fluctuations, and assume that the fund will eventually regain its previous value, or increase in value.

(14) Again, assume that all of your U.S. stock holdings are invested in one U.S. stock mutual fund. The stock market has been gradually declining at an average of 2% per month. This slow decline is also reflected in your stock mutual fund. Your investment has lost 24% of its value from a year ago. You would want to:

- A Sell the fund and realize the 24% loss. I do not believe the fund will regain its value.
- B Sell half of my investment in the fund. I am not willing to leave all of my investment at risk for further loss.
- C Do nothing. I am comfortable waiting for the fund to regain its previous value, or increase in value.
- D Invest more now because the fund is selling for much less than it was 12 months ago. I believe the fund will regain its value, or possibly appreciate higher than its initial value.

(15) Which one of the following investment choices have you utilized most in the past and feel most comfortable with investing in the future?

- A Savings accounts, CDs, savings bonds, money market funds, and/or government/municipal bonds.
- B Corporate bonds or stocks, mutual funds holding these assets, and/or rental real estate.
- C International stocks or bonds; or mutual funds that invest mostly in these types of securities.
- D Limited partnerships, commodities like gold, penny stocks, or derivatives such as options or futures.

(16) How much experience do you have with investing your own funds?

- A None (e.g., I have very limited knowledge or expertise).
- B A little (e.g., I've bought some mutual funds and/or have self-directed my 401(k) funds).
- C Some (e.g., I keep informed on the subject and have invested money myself here and there).
- D Extensive (e.g., I watch the markets routinely, and control how my funds are invested).

(17) What is your estimate of the average annual rate of return for the U.S. stock market over the next 10 years?

- A Between a loss of up to 15% and 1% to 5% (gain).
- B Average annual gains of around 5% to 10%.
- C Average annual gains of around 10% to 15%.
- D Average annual gains of more than 15%.

(18) How many children (or other people) currently depend on you for financial support?

- A 0 - 1.
- B 1 - 2.
- C 3 - 4.
- D 5 or more.

INVESTMENT DISCOVERY, CONTINUED

(19) What's your outlook for U.S. business conditions, economic growth, employment, inflation, and the overall economy over the next few years?

- A I am worried that there may be a slowdown in business, higher inflation, and/or higher unemployment.
- B I think that business conditions and the overall economy will be about the same, but I'm still worried.
- C I think that business conditions and the overall economy will be about the same, and may improve.
- D I think that business conditions and the overall economy will improve substantially.

(20) Imagine you owned what you thought was a conservative investment portfolio. Over the last year, it lost 5% of its value. Over the same period, the stock market as a whole lost 10%.

- A I am shocked and upset that my conservative portfolio could actually lose money.
- B I am surprised and concerned that my conservative portfolio actually lost money.
- C I feel okay that my conservative portfolio lost only 5% when the market was down 10%.
- D I am very happy that my conservative portfolio only lost 5% while the market was down 10%.

(21) Imagine your growth and income investment portfolio (invested 60% in stocks) increased 15% over the last year, while the stock market as a whole went up 25% over the same period.

- A I feel okay because I didn't lose money, and my return was still much higher than bank-type investments.
- B I feel okay as long as the portfolio doesn't lag the market by so much every year.
- C I am curious and concerned why my portfolio did not keep up with the stock market as a whole.
- D I'm not happy and I don't understand why my portfolio did not outperform the stock market as a whole.

(22) You've just received a windfall equal to one-half of your current investment portfolio. How would you invest these proceeds?

- A I would invest in something that offered moderate current income and was very conservative.
- B I would invest in something that offered high current income with a moderate amount of risk.
- C I would invest in something that offered high total return (current income plus capital appreciation) with a moderately high amount of risk.
- D I would invest in something with substantial capital appreciation potential even though it was risky.

Questions 23 & 24 are not used for scoring investment risk tolerance. It's just FYI.

(23) Which option in both questions (A) and (B) would make you the most upset? (Please answer both A & B.)

- A Holding cash/money market funds when the market goes up (you missed the boat); OR
 Holding stocks when the stock market goes down.
- B Selling a stock and seeing it immediately increase in value (got out too soon); OR
 Buying a stock and having it immediately decrease in value.

(24) Do you realize that the U.S. stock market as a whole has lost over 30% in one year several times in the past, and is likely to lose this much - or more - in one year, sometime in your lifetime?

- A Yes, I realize this is possible.
- B No, I didn't know this, or don't think this is possible.

INVESTMENT DISCOVERY, CONTINUED

RISK CATEGORY CALCULATOR*

**We can do this part for you if you wish.*

Your answers will select the risk tolerance category that best fits your goals and objectives.

Step 1: Circle the answer (and weight) that you gave for each question.

Step 2: Multiply the Answer Weight found in Step 1 by the Question Weight, and put the product in the Total Question & Answer Score column. Example: If you answered C to question #1, the total would be 12.

Step 3: Add all the numbers in the Total Question & Answer Score column and enter the total in the bottom row.

Step 4: Your Grand Total Score then selects your risk category as shown at the bottom of this page.

Question Number	Answer Weight (circle the number corresponding to the answer you gave)	Question Weight	Total Question & Answer Score (Answer Weight times Question Weight)
1	a = 1 b = 2 c = 3 d = 4	4	16
2	a = 1 b = 2 c = 3 d = 4	3	12
3	a = 1 b = 2 c = 3 d = 4	3	12
4	a = 1 b = 2 c = 3 d = 4	3	12
5	a = 1 b = 2 c = 3 d = 4	3	12
6	a = 1 b = 2 c = 3 d = 4	3	12
7	a = 1 b = 2 c = 3 d = 4	5	20
8	a = 1 b = 2 c = 3 d = 4	5	20
9	a = 1 b = 2 c = 3 d = 4	2	8
10	a = 1 b = 2 c = 3 d = 4	2	8
11	a = 1 b = 2 c = 3 d = 4	2	8
12	a = 1 b = 2 c = 3 d = 4	4	16
13	a = 1 b = 2 c = 3 d = 4	2	8
14	a = 1 b = 2 c = 3 d = 4	2	8
15	a = 1 b = 2 c = 3 d = 4	1	4
16	a = 1 b = 2 c = 3 d = 4	1	4
17	a = 1 b = 2 c = 3 d = 4	1	4
18	a = 1 b = 2 c = 3 d = 4	1	4
19	a = 1 b = 2 c = 3 d = 4	1	4
20	a = 1 b = 2 c = 3 d = 4	10	40
21	a = 1 b = 2 c = 3 d = 4	1	4
22	a = 1 b = 2 c = 3 d = 4	1	4
Grand Total Score:			

If your Grand Total Score is between 60 to 95, your risk category is considered to be Conservative.

If your Grand Total Score is between 96 to 130, your risk category is considered to be Moderately Conservative.

If your Grand Total Score is between 131 to 170, your risk category is considered to be Moderate.

If your Grand Total Score is between 171 to 200, your risk category is considered to be Moderately Aggressive.

If your Grand Total Score is between 201 to 240, your risk category is considered to be Aggressive.

CREATING YOUR PERSONAL STATEMENT OF EXPECTATIONS

Please prepare a prioritized list of those services or benefits you expect to receive as a result of your relationship with us. Your list will help keep us focused on the services *you* believe are the most important. Your personal list will be reviewed at our meetings. We will suggest additions to your list if we believe specific services or benefits would be of value to you. Your list may expand and contract with time as your needs change and as projects are completed.

A sample list might look like this:

Client: 1) *We need quality investment advice because we don't have time to do it ourselves.*
2) *We want to get a good return on our investments, but we don't want to worry about them.*
3) *We want to be informed about income tax saving opportunities.*
4) *We would like to have financial statements that we can easily understand.*

Spouse: 1) *Our accountant needs timely information for our tax returns.*
2) *We want ideas how to help our children and grandchildren financially.*
3) *We are worried about paying too much in federal estate taxes.*
4) *We want to be kept informed about ideas that may be useful to us or to our children.*

CLIENT:

- 1) _____
- 2) _____
- 3) _____
- 4) _____
- 5) _____

Is there anything you think we should have asked you on these forms, but didn't? _____

SPOUSE:

- 1) _____
- 2) _____
- 3) _____
- 4) _____
- 5) _____

Is there anything you think we should have asked you on these forms, but didn't? _____

ASSET SUMMARY

Please give us a rough idea of your assets and liabilities, so we can start preparing a more detailed list of questions needed to properly advise you. For this page, all we're looking for are estimated dollar amounts rounded to the nearest thousand. We'll go into much more detail regarding your assets later in the process, if needed. We can total everything for you if you wish.

Asset Type	Dollar Amount	Liability Type	Dollar Amount												
CASH EQUIVALENTS:		REAL ESTATE DEBT:													
Checking & Savings Accounts	\$ _____	1 st Mortgage on	\$ _____												
Money Market Accounts	\$ _____	2 nd Mortgage on Residence	\$ _____												
CDs (Certificates of Deposit)	\$ _____	Loans on Other Residences	\$ _____												
T-Bills	\$ _____	All Rental Mortgages	\$ _____												
Whole Life Insurance Cash Values	\$ _____	Subtotal:	\$ _____												
(↑ <i>Not death benefit!</i>) Subtotal:	\$ _____	OTHER LIABILITIES:													
SECURITIES (NON-CASH):		All Vehicle Loans	\$ _____												
Individual Bonds or Notes	\$ _____	Credit Card Debt (not	\$ _____												
Mutual Funds	\$ _____	paid off monthly)	\$ _____												
Fixed Annuities	\$ _____	All Aircraft & Boat Loans	\$ _____												
Variable Annuities	\$ _____	Investment/Margin Loans	\$ _____												
Variable Life Cash Values	\$ _____	Business Loans	\$ _____												
Individual Stocks	\$ _____	Life Insurance/401(k)	\$ _____												
Limited partnerships	\$ _____	All Other Debt or Loans	\$ _____												
Subtotal:	\$ _____	All Other Debt or Loans	\$ _____												
OTHER SECURITIES:		Total:	\$ _____												
IRAs/Keoghs/TSAs/401(k)s	\$ _____	TOTAL ASSETS: \$ _____													
Precious Metals	\$ _____	TOTAL LIABILITIES: \$ _____													
ESOP/Employer Stock Options	\$ _____	NET WORTH: \$ _____													
Business Interests (Assets)	\$ _____	<table style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2"><u>Client Incomes:</u></td> </tr> <tr> <td>Total Annual Earned</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>Total Annual Unearned Income:</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td colspan="2"><u>Spouse Incomes:</u></td> </tr> <tr> <td>Total Annual Earned</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td>Total Annual Unearned Income:</td> <td style="text-align: right;">\$ _____</td> </tr> </table>		<u>Client Incomes:</u>		Total Annual Earned	\$ _____	Total Annual Unearned Income:	\$ _____	<u>Spouse Incomes:</u>		Total Annual Earned	\$ _____	Total Annual Unearned Income:	\$ _____
<u>Client Incomes:</u>															
Total Annual Earned	\$ _____														
Total Annual Unearned Income:	\$ _____														
<u>Spouse Incomes:</u>															
Total Annual Earned	\$ _____														
Total Annual Unearned Income:	\$ _____														
Loans Payable to You	\$ _____														
Rental Real Estate	\$ _____														
Raw Land & Other Real Estate	\$ _____														
Subtotal:	\$ _____														
PERSONAL EFFECTS:															
Personal Residence	\$ _____														
Gems, Artwork, Collections	\$ _____														
Autos & Personal Effects	\$ _____														
Total:	\$ _____														

PREMAILING, OR PRE-APPOINTMENT, CHECKLIST

THIS COPY IS FOR YOU TO KEEP. PLEASE USE THIS CHECKLIST TO BE SURE TO EITHER BRING, OR MAIL, EVERYTHING!

We checked here to say that we need this info

Use these boxes for checking off

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | This questionnaire (Initial Fact Finder Part 1). |
| <input type="checkbox"/> | <input type="checkbox"/> | Initial Fact Finder Part 2 (if we gave one to you). |
| <input type="checkbox"/> | <input type="checkbox"/> | The Asset Fact Finder questionnaire, or pages (if we gave one to you). |
| <input type="checkbox"/> | <input type="checkbox"/> | Wills, trusts, codicils, and other pertinent legal documents. |
| <input type="checkbox"/> | <input type="checkbox"/> | Separation agreements, divorce decrees, guardianship, prenuptial, etc. |
| <input type="checkbox"/> | <input type="checkbox"/> | Last year's tax returns (including gift, partnership, corporate, & trust data). |
| <input type="checkbox"/> | <input type="checkbox"/> | Real estate holdings, including mortgage and other debt information. |
| <input type="checkbox"/> | <input type="checkbox"/> | Existing (written) financial and estate plans. |
| <input type="checkbox"/> | <input type="checkbox"/> | Bank statement info: CD amounts, due dates, interest rates, and penalties.
Checking account amounts and interest rates.
Savings account amounts and interest rates.
Savings bonds amounts. |
| <input type="checkbox"/> | <input type="checkbox"/> | Credit Union and Savings & Loan: Share or savings account information. |
| <input type="checkbox"/> | <input type="checkbox"/> | Retirement plan statements (IRA, SEPP, Keogh, 401(k), TSA, etc.). |
| <input type="checkbox"/> | <input type="checkbox"/> | Brokerage statements (current monthly and last quarter's statements). |
| <input type="checkbox"/> | <input type="checkbox"/> | Records of investments not held in street/custodian name (stocks, bonds, mutual funds, real estate). |
| <input type="checkbox"/> | <input type="checkbox"/> | Personally owned & employer provided life, health, dental, and disability policies. |
| <input type="checkbox"/> | <input type="checkbox"/> | Auto, home, and personal liability insurance policies. |
| <input type="checkbox"/> | <input type="checkbox"/> | Employer-provided statements, employment/Key Person/Buy-Sell agreements. |
| <input type="checkbox"/> | <input type="checkbox"/> | Employer-provided ESOP and/or stock option statements. |
| | <input type="checkbox"/> | Anything else you may wish to discuss. |