Client Profile

For ________________________________ *Date* ___________
Client Name(s) *mm/yyyy*

1. Rank your top 5 goals with 1 being the most important to you.
   - ___ Saving for retirement
   - ___ Saving for a major purchase
   - ___ Providing a legacy
   - ___ Creating a steady stream of income throughout retirement
   - ___ Retiring early
   - ___ Paying for kids'/grandkids' college
   - ___ Protecting what we have saved
   - ___ Other ________________________

2. When do you want to retire? Where do you want to live when you retire? Do you have a plan in place for how to make it happen? ____
   ____

3. How are you currently saving or setting aside money to invest? ______________________________

4. Do you see that changing in the next 3 - 5 years? ____

5. Rank the following in order of importance to you with regard to your investments.
   - ___ Growth
   - ___ Liquidity
   - ___ Withdrawals
   - ___ Minimizing taxes
   - ___ Protection from losses
   - ___ Stability (reducing volatility)
   - ___ Fees
   - ___ Other _________________

6. Have you reviewed all of your retirement accounts to ensure your beneficiaries are up to date? ____

7. Is your family adequately prepared in case something happened to you or your spouse? __________
   Do you have a will/trust set up? __________ Is it updated? ______________

8. How involved do you like to be in financial decisions? _______________________________________

9. How often would you like to meet/discuss your investment accounts? _________________________

10. Is there anything else that would be good/helpful for me to know about you in order to provide you with the best service I can? ____
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