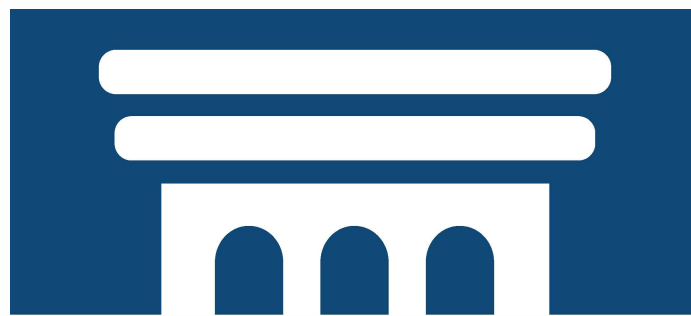


# TRINITY WEALTH MANAGEMENT



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## Confidential Profile

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Securities and advisory services offered through LPL Financial,  
a Registered Investment Advisor, Member FINRA/SIPC

# CONFIDENTIAL PROFILE

This comprehensive, personal financial planning summary is designed to help you take inventory and assign realistic values to your personal assets and liabilities. It is the essential first step in organizing a sensible financial plan for your future. Once you have completed the following information, please return this packet in the enclosed, postage-paid envelope.

## FAMILY INFORMATION

Your Name	Nick Name	Age	Birthdate	Social Security # (Optional)
Spouse's Name	Nick Name	Age	Birthdate	Social Security # (Optional)
Children's Names & Ages:				
1) _____	3) _____	5) _____		
2) _____	4) _____	6) _____		
Residence Address	City	State	Zip Code	
Mailing Address	City	State	Zip Code	
Home Phone	Cell	Fax	E-mail	
Referred By _____	Client Name	TV	Radio	Print

## OCCUPATION

Your Job Title	Employer (last, if retired)	# of Years	Work Phone	Retirement Date
Spouse's Job Title	Employer (last, if retired)	# of Years	Work Phone	Retirement Date

## PERSONAL ADVISORS

Financial Advisor's Name: _____	Firm: _____
Do you have a preference or a commitment to this advisor? Yes No	
Attorney's Name: _____	Firm: _____
Do you have a preference or a commitment to this advisor? Yes No	
Accountant's Name: _____	Firm: _____
Do you have a preference or a commitment to this advisor? Yes No	
Insurance Agent's Name: _____	Firm: _____
Do you have a preference or a commitment to this advisor? Yes No	
Stockbroker's Name: _____	Firm: _____
Do you have a preference or a commitment to this advisor? Yes No	

## *What is important about money to you?*

[illegible]

# OBJECTIVES & CONCERNS

## General:

Are you anticipating any major lifestyle changes?  
(i.e., marriage, divorce, retirement, moving, etc.)

Yes No Uncertain

If so, what changes are you expecting? \_\_\_\_\_

Are you comfortable with your current cash flow?

Yes No Uncertain

## Retirement Planning:

What minimum income will you need at retirement (in today's dollars)? \$ \_\_\_\_\_

If you plan on working after retirement, estimate your expected income: \$ \_\_\_\_\_

Are you contributing to an IRA?

Yes No

Are you covered by any company retirement plans?

Yes No

Type of company pension plan? \_\_\_\_\_

## Protection:

Do you have adequate disability coverage?

Yes No Uncertain

Do you have adequate personal liability coverage?

Yes No Uncertain

Amount? \$ \_\_\_\_\_

Do you have enough life insurance?

Yes No Uncertain

Do you have long-term care insurance for  
nursing home expenses?

Yes No Uncertain

## Estate Planning:

Do you have current wills?

Yes No Uncertain

Have you established any trusts?

Yes No Uncertain

Are you the beneficiary of any trusts?

Yes No Uncertain

Have you adequately considered estate taxes?

Yes No Uncertain

Have you provided adequate estate liquidity for your heirs?

Yes No Uncertain

## Concerns:

Please list your current concerns: \_\_\_\_\_

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# RISK PROFILE

Please check the appropriate response for each question.

1. What is your investment experience with stocks or stock mutual funds?

None  
A little  
Some

A fair amount  
A great deal

2. What is your investment experience with bonds or bond mutual funds?

None  
A little  
Some

A fair amount  
A great deal

3. What is your investment goal?

Retirement  
More current income

Saving for major purchase  
Other \_\_\_\_\_

4. How many years do you have until retirement?

Already retired  
Less than 5 years

5 to 10  
More than 10 years

5. What do you expect to be your next major expenditure?

Buying a house  
Paying for a college education  
Capitalizing a new business

Providing for retirement  
Other \_\_\_\_\_

6. How many years until this expense is incurred?

Less than 5 years  
5 to 10 years

More than 10 years

7. What are your major objectives for your investments?

Current and future income  
Preserving capital  
Building wealth for heirs

Keeping ahead of inflation  
Increasing returns

8. When do you expect to use the bulk of the money you are accumulating in your investments?

At any time now in the coming months. Liquidity is highly important.  
In 1 to 5 years  
In 6 to 10 years  
In 11 to 20 years

9. Over the next several years, do you expect your household annual income to:
- |                     |                        |
|---------------------|------------------------|
| Stay about the same | Decrease moderately    |
| Grow moderately     | Decrease substantially |
| Grow substantially  |                        |
10. I am expecting an inheritance of approximately \$\_\_\_\_\_ in
- |               |                    |
|---------------|--------------------|
| 0 to 5 years  | 10 to 15 years     |
| 5 to 10 years | More than 15 years |
11. Due to a general market correction, one of your investments loses 25% of its value a short time after you buy it. What do you do?
- Sell the investment  
Hold it and wait for it to climb back up then sell  
Hold it  
Buy more at the new lower price
12. Some people need their investment portfolio to generate current income to meet on-going needs. This typically tilts the investment portfolio toward bonds and dividend paying stocks. How accurately does this describe your objectives?
- |                     |                     |
|---------------------|---------------------|
| Very accurate       | Slightly accurate   |
| Moderately accurate | Not accurate at all |
13. You have just reached the \$10,000 plateau on a TV game show. Now you must choose between quitting with the \$10,000 in hand or betting the entire \$10,000 on one of the three scenarios below. Which do you choose?
- |                                  |                                  |
|----------------------------------|----------------------------------|
| Take the money and run           | A 20% chance of winning \$75,000 |
| A 50% chance of winning \$50,000 | A 5% chance of winning \$100,000 |
14. How large of a temporary decline in your portfolio are you willing to accept before changing your investment strategy, assuming you start with \$100,000?
- 10% decline (portfolio value is \$90,000)  
15% decline (portfolio value is \$85,000)  
20% decline (portfolio value is \$80,000)  
25% decline or greater (portfolio value is \$75,000 or less)  
50% decline or greater (portfolio value is \$50,000 or less)
15. By what percentage do you expect your portfolio to grow annually over the long term, 10+ years?
- |          |           |               |
|----------|-----------|---------------|
| 6% - 8%  | 10% - 12% | 14% - 16%     |
| 8% - 10% | 12% - 14% | More than 16% |

# FAMILY BALANCE SHEET

ASSETS	LIABILITIES
<p><b><u>Investments (Non-Retirement):</u></b></p> <p>Stocks \$ _____</p> <p>Bonds \$ _____</p> <p>Mutual Funds \$ _____</p> <p>Other \$ _____</p> <p><b><u>Investments (Retirement):</u></b></p> <p>IRA \$ _____</p> <p>401(k) \$ _____</p> <p>403(b) \$ _____</p> <p>Profit Sharing \$ _____</p> <p>Other \$ _____</p> <p><b><u>Business:</u></b> \$ _____</p> <p><b><u>Real Estate:</u></b> \$ _____</p> <p><b><u>Other:</u></b></p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><b><u>Short Term:</u></b></p> <p>Credit Cards, Notes \$ _____</p> <p><b><u>Long Term:</u></b></p> <p>Home \$ _____</p> <p>Business \$ _____</p> <p>Additional Property \$ _____</p> <p><b><u>Other:</u></b></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>

# ***FAMILY INCOME STATEMENT***

## **Annual Income:**

Earned Income \$ \_\_\_\_\_

Investment Income \$ \_\_\_\_\_

Social Security \$ \_\_\_\_\_

Other \$ \_\_\_\_\_

Total \$ \_\_\_\_\_

## **Annual Expenses:**

Fixed \$ \_\_\_\_\_

Variable \$ \_\_\_\_\_

Total \$ \_\_\_\_\_



# PERSONAL GOAL PLANNING

How can we help you? On a scale of 1 to 10 (1 being low and 10 being high) please rate the following:

- \_\_\_\_\_ Increase my net worth by \_\_\_\_\_%
- \_\_\_\_\_ Reduce my tax burden
- \_\_\_\_\_ Pay education expenses for my children
- \_\_\_\_\_ Financial security at retirement
- \_\_\_\_\_ Purchase real estate
- \_\_\_\_\_ Plan for long-term care
- \_\_\_\_\_ Provide for my family in the event of my (or my spouse's) death
- \_\_\_\_\_ Minimize the cost of probate and estate taxes
- \_\_\_\_\_ Control the distribution of assets to my heirs
- \_\_\_\_\_ Fund a charitable endeavor

Other goals:

If you could change three things about your current financial situation, what would you change?

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_

Investment Goals	Priority Level				
Return should exceed inflation rate	None	Low	Medium	High	Urgent
Principal should be safe	None	Low	Medium	High	Urgent
Investments should be liquid (immediately accessible)	None	Low	Medium	High	Urgent
Diversification is important	None	Low	Medium	High	Urgent
Professional asset management	None	Low	Medium	High	Urgent
Reduce my taxable income	None	Low	Medium	High	Urgent
Build tax-free income	None	Low	Medium	High	Urgent
Long-term growth	None	Low	Medium	High	Urgent
Short-term profits	None	Low	Medium	High	Urgent

Risk Tolerance	Low				High					
Rate your risk tolerance level on a scale of 1 to 10	1	2	3	4	5	6	7	8	9	10

**Thank you for taking the time to complete this profile!**