Understanding Your Expectations

**Your Experience Working with Financial Professionals**

1. You currently work with a: Financial Advisor ❒ Investment Advisor ❒

Estate Planner ❒ Other (specify) ❒ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

How long have you worked with this individual(s)?

Are you satisfied with their service? Why or why not?

1. What are your primary reasons for seeking a financial advisor?
2. What are your expectations from the financial planning process?
3. What stage are you at in your career?

Starting career ❒ Semi-retired ❒

Mid-career ❒ Retired ❒

Nearing Retirement ❒ Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Do you have a Retirement Plan? Yes ❒ No ❒

*If yes* - Are you satisfied with it? Why or why not?

1. Do you have an Estate Plan? Yes ❒ No ❒

*If yes* - Are you satisfied with it? Why or why not?

1. What is the best financial decision you’ve ever made?
2. What is the worst financial decision you’ve ever made?

**Your Current Financial Situation** (the Big Picture)

To the best of your knowledge, approximately how much do you currently have in totally investable assets? $\_\_\_\_\_\_\_\_\_\_\_ If possible, provide more details:

Savings - Cash & Cash Equivalents $\_\_\_\_\_\_\_\_\_\_\_   
Savings - Retirement $\_\_\_\_\_\_\_\_\_\_\_   
Savings - Education & Caring for Others $\_\_\_\_\_\_\_\_\_\_\_

Savings - Other $\_\_\_\_\_\_\_\_\_\_\_

Assets Other - Real Estate, Business $\_\_\_\_\_\_\_\_\_\_\_

Debt – Mortgage $\_\_\_\_\_\_\_\_\_\_\_

Debt – Non-Mortgage $\_\_\_\_\_\_\_\_\_\_\_

Approximate Annual Income? $\_\_\_\_\_\_\_\_\_\_\_

Are there any other details of your current financial situation you would like me to know at this point?