Personal Information

Today's Date: _____/______/______

Name: ______________________________

Birth Date: __________________________

Spouse's Name: _____________________

Birth Date: ___________________________

Address: ____________________________

____

Phone: Home: (____) _________________

Work: (____) _________________

Check One:		
	Married	☐
	Single	☐
	Divorced	☐
	Other	☐

Check all that apply:	You	Spouse
Employed	☐	☐
Self-Employed	☐	☐
Retired	☐	☐

Your Occupation: ____________________________

Spouse's Occupation: _________________________

Number of Children: _____ Ages: ____________

Number of other dependents living with you:
_____Ages: _________

Is anyone disabled: Yes ____ No ____

If yes, please explain: ________________________

____

Asset Information

Please estimate the value of the following:

	less than 25k	$25 k to $50k	$50k to $100k	$100k to $250k	$250k to $500k	more than $500k
◊ Your home	☐	☐	☐	☐	☐	☐
◊ Other Real Estate	☐	☐	☐	☐	☐	☐
◊ Checking, Savings/CDs, Money Market Funds	☐	☐	☐	☐	☐	☐
◊ Stocks & Bonds, Mutual Funds	☐	☐	☐	☐	☐	☐
◊ Retirement Accounts (IRAs, 401Ks, SEPs, Keoghs)	☐	☐	☐	☐	☐	☐
◊ Company Savings & Profit Sharing Plans	☐	☐	☐	☐	☐	☐
◊ Other Assets	☐	☐	☐	☐	☐	☐

Liability Information

Please estimate the balances of the following:

◊ Outstanding installment Loans, Credit Card Balances	☐	☐	☐	☐	☐	☐
◊ Mortgage(s) on your home	☐	☐	☐	☐	☐	☐
◊ Mortgage(s) on other Real Estate	☐	☐	☐	☐	☐	☐
◊ Other Liabilities	☐	☐	☐	☐	☐	☐

Income & Expenditure Information

◊ Annual Household Income	☐	☐	☐	☐	☐	☐
◊ Is Income fairly uniform & predictable? Yes ☐ No ☐	☐	☐	☐	☐	☐	☐
◊ Annual Living Expenditures (Including Federal, State & Local Taxes)	☐	☐	☐	☐	☐	☐
◊ Annual Savings (including company savings plans, personal savings & contributions to retirement plans)	☐	☐	☐	☐	☐	☐

Income Tax Information

◊ Are all Federal, State & Local tax returns up to date and filed on time?

Yes ☐ No ☐

◊ Are any of your income tax filings on extension?

Yes ☐ No ☐

Estate Planning Information

Check the Appropriate box:

	Yes	No	Don't Know
◊ Do you and your spouse (if applicable) each have a will?	☐	☐	☐
◊ Do your will(s) have trust arrangements?	☐	☐	☐
◊ Do you and your spouse (if applicable) have a living trust?	☐	☐	☐
◊ Do you and your spouse (if applicable) have health proxies?	☐	☐	☐
◊ Do you and your spouse (if applicable) have a durable power?	☐	☐	☐

Insurance Information

Which policies do you have? (Check all that apply)

☐ Homeowners ☐ Disability ☐ Life Insurance

Total death benefit of life insurance:

You ________ Spouse _________

How many automobiles do you own? __________

Your Financial Planning Goals & Investment Objectives

◊ **How important are the following Financial Planning Objectives?**

Please rank in the order of importance.
(1= most important, 3 = least)

___ Retire comfortably
___ Provide for children's education
___ Save on income taxes
___ Provide for survivors in the event of my death
___ Structure my estate to minimize estate taxes
___ Other (please explain) __________
____

◊ If retirement is one of your goals, at what age would you like to retire?

____

◊ Your spouse? (if applicable)

____

◊ **How important are the following investment objectives?**

Please rank in the order of importance (1=most important, 3=least)

____ Increase current income
____ Spread risk among investments (i.e. diversity)
____ Have cash available for emergencies or investment opportunities (i.e. liquidity)
____ Accumulate funds that will keep pace with inflation or do better than inflation
____ Use borrowed funds to increase return from my investments (i.e. leverage)
____ Minimize the time I have to spend managing my investments

What Is Your Attitude Towards Risk?

◊ **Check the one that best describes your attitude:**

__ Strongly dislike risk, prefer very safe investments (i.e. insured savings, government securities, etc.)
__ Prefer little risk. I want to know how much my investment will pay (i.e. highly-rated bonds)
__ Willing to assume some risk (i.e. stocks, mutual funds, etc.)
__ Prefer greater risk (i.e. speculative Stocks and other investments where The return is uncertain, but may be substantial)

Miscellaneous Information

◊ Have you ever been unhappy with the recommendations of a stockbroker, insurance agent and/or any other financial advisor or consultant?

☐ Yes ☐ No

If yes, please explain:

____

____

____

◊ Do you expect any inheritances, legal settlements or gifts that may affect your financial plan?

☐ Yes ☐ No

If yes explain:

____

____

____

Preliminary Personal Financial Planning Profile

Gary Alpert & Associates

The following information is strictly confidential and will not be disclosed to anyone without your consent.

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