

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)

Where You Currently Stand

1. I have a written inventory of my assets and liabilities that is complete and up-to-date.
☐ Yes ☐ No
2. I am satisfied with the amount of money I'm currently saving/investing.
☐ Yes ☐ No
3. I am confident the insurance I have (health, life, home, auto, etc.) would adequately protect me if needed.
☐ Yes ☐ No
4. I have a will/estate plan that is complete & up to date.
☐ Yes ☐ No
5. I communicate regularly and effectively with my spouse/partner about money (if applicable).
☐ Yes ☐ No
6. I am confident that my investment plan is allocated in a way appropriate for my goals.
☐ Yes ☐ No

PRELIMINARY PERSONAL FINANCIAL PLANNING PROFILE



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

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