



# Initial Client Interview Form

Data gathering is the first step in the financial planning process. Unless required by law, information provided in this profile will not be released without client consent.

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Client Name: \_\_\_\_\_ Age: \_\_\_\_\_ DOB \_\_\_\_/\_\_\_\_/\_\_\_\_

Employer/Profession \_\_\_\_\_

Spouse/Partner's Name: \_\_\_\_\_ Age: \_\_\_\_\_ DOB \_\_\_\_/\_\_\_\_/\_\_\_\_

Employer/Profession \_\_\_\_\_

Home Address: \_\_\_\_\_

Home #: (\_\_\_\_)\_\_\_\_-\_\_\_\_ Bus #: (\_\_\_\_)\_\_\_\_-\_\_\_\_ Fax #: (\_\_\_\_)\_\_\_\_-\_\_\_\_

Client Email: \_\_\_\_\_

Spouse/Partner E-mail: \_\_\_\_\_

**Children/Dependents:**

1. \_\_\_\_\_ DOB \_\_\_\_/\_\_\_\_/\_\_\_\_ 3. \_\_\_\_\_ DOB \_\_\_\_/\_\_\_\_/\_\_\_\_

2. \_\_\_\_\_ DOB \_\_\_\_/\_\_\_\_/\_\_\_\_ 4. \_\_\_\_\_ DOB \_\_\_\_/\_\_\_\_/\_\_\_\_

**1. What is your primary motivation for contacting a financial planner at this time?**

\_\_\_\_\_  
\_\_\_\_\_

**2. What are your most important financial concerns?**

a) \_\_\_\_\_

b) \_\_\_\_\_

c) \_\_\_\_\_

d) \_\_\_\_\_

**3. What are your most important non-financial concerns & objectives right now?**

a) \_\_\_\_\_

b) \_\_\_\_\_

c) \_\_\_\_\_

d) \_\_\_\_\_

**4. What kind of service/relationship do you desire with a financial adviser?**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Have you ever worked with a financial advisor before? Yes \_\_\_ No \_\_\_

What was good/bad about that experience?

6. How much is your current monthly income?

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

Salary: \$ \_\_\_\_\_ Investments: \$ \_\_\_\_\_ Interest Income: \$ \_\_\_\_\_

Rental: \$ \_\_\_\_\_ Business: \$ \_\_\_\_\_ Other ( \_\_\_\_\_ ): \$ \_\_\_\_\_

Spouse/Partner Total \$ \_\_\_\_\_

Salary: \$ \_\_\_\_\_ Investments: \$ \_\_\_\_\_ Interest Income: \$ \_\_\_\_\_

Rental: \$ \_\_\_\_\_ Business: \$ \_\_\_\_\_ Other ( \_\_\_\_\_ ): \$ \_\_\_\_\_

7. What are your current monthly expenses (approximately)?

Client \$ \_\_\_\_\_ Spouse/Partner \$ \_\_\_\_\_

8. Do you own \_\_\_\_\_ or are otherwise a *decision-maker* for \_\_\_\_\_ a business?

9. What changes do you expect in the future that you wish to plan for?

Family obligations: \_\_\_\_\_

Inheritances: \_\_\_\_\_

Other: \_\_\_\_\_

10. Do you or your spouse/partner have any of the following?

Client

Wills \_\_\_\_\_ Trusts \_\_\_\_\_ Life Insurance \_\_\_\_\_ Disability Insurance \_\_\_\_\_ Investment Real Estate \_\_\_\_\_

Amounts: \_\_\_\_\_

Spouse/Partner

Wills \_\_\_\_\_ Trusts \_\_\_\_\_ Life Insurance \_\_\_\_\_ Disability Insurance \_\_\_\_\_ Investment Real Estate \_\_\_\_\_

Amounts: \_\_\_\_\_

11. What are your goals/concerns regarding passing assets to children, charities or others?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. Is there anything else we need to talk about? Any "special needs" situations you are responsible for?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Net Worth Statement

Please give us a rough idea of your assets and liabilities so we can start preparing a more detailed list of questions needed to properly advise you. For this page, all we're looking for are estimated dollar amounts. We'll go into much more detail regarding your assets later in the process, if needed. We can total everything for you if you wish.

Assets	Dollar Amount	Liabilities	Dollar Amount
<b>CASH EQUIVALENTS:</b>		<b>REAL ESTATE DEBT:</b>	
Checking & Savings Accounts	\$	1 <sup>st</sup> Mortgage on	\$
Money Market Accounts	\$	2 <sup>nd</sup> Mortgage on Residence	\$
CDs (Certificates of Deposit)	\$	Loans on Other Residences	\$
T-Bills	\$	All Rental Mortgages	\$
Life Insurance Cash Values	\$	<b>Subtotal:</b>	\$
(↑ <i>Not death benefit</i> ) <b>Subtotal:</b>	\$	<b>OTHER LIABILITIES:</b>	
<b>SECURITIES (NON-CASH):</b>		All Vehicle Loans	\$
Individual Bonds or Notes	\$	Credit Card Debt (not	
Mutual Funds	\$	paid off monthly)	\$
Fixed Annuities	\$	All Aircraft & Boat Loans	\$
Variable Annuities	\$	Investment/Margin Loans	\$
Individual Stocks	\$	Business Loans	\$
Limited partnerships	\$	Life Insurance/401(k)	\$
<b>Subtotal:</b>	\$	All Other Debt or Loans	\$
<b>OTHER SECURITIES:</b>		All Other Debt or Loans	\$
IRAs/Keoghs/TSAs/401(k)s	\$	<b>Subtotal:</b>	\$
Precious Metals	\$	<b>TOTAL LIABILITIES:</b> \$	
ESOP/Employer Stock Options	\$		
Business Interests (Assets)	\$		
Loans Payable to You	\$		
Rental Real Estate	\$		
Raw Land & Other Real Estate	\$		
<b>Subtotal:</b>	\$	<b>TOTAL ASSETS:</b>	\$
<b>PERSONAL EFFECTS:</b>		<b>- TOTAL LIABILITIES:</b>	\$
Personal Residence	\$	<b>NET WORTH:</b>	\$
Gems, Artwork, Collections	\$		
Autos & Personal Effects	\$		
<b>Subtotal:</b>	\$		
<b>TOTAL ASSETS:</b>	\$		

## Financial Satisfaction Profile®

Name \_\_\_\_\_

Date \_\_\_\_\_

**Circle the number that corresponds to how you feel today.**

<b>1</b>	I have no idea what it would take to become financially independent.	1      2      3      4      5	I have made plans and have developed strategies to become financially independent.
<b>2</b>	I do not have enough time, resources, and experience to research and monitor all of my investments.	1      2      3      4      5	I have enough time, resources, and experience to research and monitor all of my investments.
<b>3</b>	I get separate investment statements from all of my accounts but am not sure what my overall allocation is at any time.	1      2      3      4      5	On a regular basis, I get a detailed summary of my total overall asset allocation across all of my investment accounts no matter where they are held.
<b>4</b>	I have delayed a decision or not taken the advice of my advisor because I worried the advice was biased.	1      2      3      4      5	I completely trust the advice I receive since it is provided by an independent advisor with no conflicts of interest.
<b>5</b>	I'm not sure if I would lose all of my assets if I was sued.	1      2      3      4      5	I feel confident that if I was involved in a lawsuit my assets would be protected as much as possible.
<b>6</b>	I am not happy with the level of service I receive from my financial advisor.	1      2      3      4      5	I am completely satisfied with the level of service I receive from my financial advisor.
<b>7</b>	I often worry about my investments and am not comfortable with the volatility of my accounts.	1      2      3      4      5	I do not worry about my investments and am comfortable with the volatility of my accounts.
<b>8</b>	I am not sure where my assets will go when I pass away or if I have done everything I can to minimize estate taxes.	1      2      3      4      5	I know exactly where my assets will go when I pass away and I am confident I have done everything I can to minimize estate taxes.
<b>9</b>	I think I may be paying too much income tax each year.	1      2      3      4      5	I am extremely confident that I am paying as little income tax as legally possible.
<b>10</b>	I have not taken any steps to ensure my family's well being in the event of a tragedy.	1      2      3      4      5	In the event of a tragedy, I know that I have taken the proper steps to ensure my family's well being.