

446 West Aldine Ave., Suite 3W Chicago, IL 60657 Phone: 773-477-7835

Confidential Preliminary Client Profile

Name:

Date:

Dear Prospective Client,

All prospective clients are requested to fill in the attached preliminary questionnaire prior to our first meeting. We will then review and discuss it with you at that meeting. This preparation will enable us to better understand your situation and how we can best help you.

Be assured that all information and data will be held in the strictest confidence.

In addition to this questionnaire, please bring as many of the following items as you can to our first meeting:

- ☐ Two most recent pay stubs with all regular deduction information
- □ Last 2 years' federal and state income tax returns
- Social Security Statement of Benefits
- ☐ Insurance policies (life, disability income, major medical) and declarations pages (automobile, home)
- □ Latest account statements
- □ Information regarding your mortgages and other loans
- □ Latest wills and trust statements
- □ Any other items that you feel would be pertinent

Sincerely,

Peter G. Haag

Personal Information

Marital Status: (check one)	Sir	ngle	Married	Date N	Married	l:	
Names & Ages		Indi	ividual 1			Indi	vidual 2
First Name, Middle Initial							
Last Name							
Birth Date							
Retirement Age							
Social Security Number							
Gender (Male/Female)							
Home							
Address							
City, State, Zip							
		Indi	ividual 1			Indi	vidual 2
Home Phone	()	-		()	-
Mobile Phone	()			()	
Email Address							
Web Page							
Employment		Indi	ividual 1			Indi	vidual 2
Duties/Title							
Employer							
Work Address							
City, State, Zip							
Work Phone	()	-		()	-
Email							
Fax							

Children

Social Security number	Birth date	Dependent until age
	Social Security number	Social Security number Birth date

Financial Priorities

Please	list and rank your five most important financial goals in order of importance.
1	
2	
3	
J	
	re the main problems or concerns for which you want this process to assist you?
5	
	ctions need to take place for you to feel in control of your finances?
5	

Annual Earned Income

Income Source	Individual 1	Individual 2	Expected Increase/When
Salaries/Wages/Bonus			
Self-Employment Income			
Social Security Benefits			
Other Government Benefits			
Taxable Investment Income			
Non-Tax Investment Income			
Pensions			
Other earned income			
Other earned income			
Other earned income			
If any wages are exempt fro	um FICA tay nlease	evnlain:	
in any wages are exempt no	mi Fich tax, piease	слріані	

Savings and Investment Accounts

Bank accounts, IRAs, 401k, 403b, Mutual Funds, etc.

Description	Owner*	Recent value	Account Type**
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

^{*}Owner: Specify one of the following: (1) Owner's name (2) Joint (3) Community property (4) In Trust (5) Other

^{**}Account Type: Describe the type of account, such as Checking, Savings, CD, Money Market, Brokerage, Mutual Fund, IRA, Roth IRA, 401(k), 403(b), etc. Note that more than one of these may apply; for example, a mutual fund could also be an IRA.

Personal Assets

Major personal property such as residence, real estate, vehicles, jewelry, art, collectibles

Description	Cost Basis	Value	Owner
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	

Note: Cost basis is normally what you paid for the property, including taxes and fees. For residence and real estate it also includes any improvements (but not normal maintenance)

LiabilitiesMortgages, Credit Card Debt, Student Loans, etc.

	Liability 1	Liability 2	Liability 3	Liability 4
Description				
Owed to				
Owed by				
Original amount	\$	\$	\$	\$
Current account balance	\$	\$	\$	\$
Monthly payment (Principal & interest only)	\$	\$	\$	\$
Interest rate	%	%	%	%

Risk Tolerance and Objectives

Risk Tolerance Level:							
Choose one of the following risk levels: 1. Very Conservative 2. Somewhat Conservative 3. Moderate 4. Somewhat Aggressive 5. Very Aggressive							
Risk Test:							
Check the statements that most accurated I am more concerned about prote I prefer the ease of mutual funds Professional advisors and mutual I am comfortable with investment I don't brood over bad investment I don't like surprises. I am optimistic about my financiated my immediate concern is for incertain and a risk taker. I make investment decisions comformed in the concern is for incertain and routine in the concern is for incertain and investment decisions comformed in the concern is for incertain and routine in the concern in the concern is for incertain and routine in the concern in the concern is for incertain and routine in the concern	to the funds that decided future for table in my conforts of forts of forts of the slope for the slope forts of the slope for the slope forts of the slope forts of the slope forts of the slope forts of the slope for the slope forts of the slope for the slope forts of the slope for the slope forts of the slope for the slope forts of the slope for the slope forts of the slo	my ass uncert s may a t promi sions I are. ather the oly and laily list ow, safe on reserve	ets that ainty cachieve ise slow 've man an opp quick- fe. e but surve fur	of trying the higher with long and the higher which we have a second to the higher with the higher was a second to the higher with the higher was a second to the higher was a second t	estments	n. k winning stocks. n that I can. opreciation and gro s. ce rather than grov	
Financial Objectives:	<< <u>I</u>	∆ow		Н	igh>>		
Reducing income taxes	O	O	O	O	O		
Protection from inflation	O	Ο	O	O	O		
Maximum investment growth potential	Ο	Ο	O	Ο	O		
Current spendable income from assets	O	Ο	O	Ο	O		
Liquidity (convert assets to cash)	О	O	Ο	Ο	O		

Financial Goals

Specific items where you wish to compute the amount of immediate capital needed or the monthly deposits needed to fund a future expense – for example, a new car, down payment for first home, starting a business, returning to school, and special vacations.

Description	Year needed	Amount needed
		\$
		\$
		\$
		\$
		\$
		\$

Savings and Investment Planning

Do you have a savings and	investment target amount you aim for each year?
How much?	Have you been successful? Why or why not?
Do you have a formal budg	et that you use for family expenditures?
Do you feel that you need o	one?
Are you satisfied with your	investment results?
If so, why? If not, why not	?
What is most important to marketability and liquidity.	you in investing your money (return, safety of principal, diversification, growth potential, etc.)?
Are there any investments	you would rule out for yourself?
Are there any investments	you would prefer over others? Why?
What is your attitude toward	d investment risk?
Why have you chosen the i	nvestments in your portfolio?
How do you arrive at inves	tment decisions?
• •	narked for a specific use at this point?
If so, what assets? For what	tt use?

Estate Planning

Do you have a will? Date last reviewed:
Have you set up any trusts?
Do any trusts pay you or your family an income?
How amount do you expect in inheritances?
What do you expect in terms of inflation? Return of investment?
How does this compare with your current return?
If both of you were to die, who would you want as your children's guardian?
Should that person also be the guardian of your children's assets?
Are there any others for whom you should provide in your estate plan?
Have you ever made substantial gifts?
Do you have a durable power of attorney?
In the event of Individual 1's death:
What specific debts should be paid off?
How much income per month (before taxes) would your family need?
How much income per month (before taxes) would Individual 2 able to provide?
Would the family continue to live in their present home?
Should a college fund be provided?
Are there any assets that should be sold at your death? If so, please provide details.
In the event of Individual 2's death:
What specific debts should be paid off?
How much income per month (before taxes) would your family need?
How much income per month (before taxes) would Individual 1 be able to provide?
Would the family continue to live in their present home?
Should a college fund be provided?
Are there any assets that should be sold at Individual 1's death? If so, please provide details.

Retirement Planning

When do you plan to retire?
How will you spend your time during retirement?
Do either of you plan to work for compensation on a part-time basis after retirement?
If yes, please elaborate.
Where do you plan to retire?
Will you keep your current home?
What amount of income will you need?
What will be your income sources?
Do either of you anticipate a slowdown period prior to retirement? If so, at what age or ages?
Do you plan to sell your business at your retirement?
Education Planning
Have you begun any investment or savings programs for your children's education?
If yes, please list the assets/accounts and their values.
Risk Management
What would you live on if either of you became disabled?
How much income would you need?
Do either of you currently have disability income insurance? Give details of any trusts, power of attorney, or living wills you have set up to plan for a disability.
Give details of any trusts, power of attorney, or fiving wills you have set up to plan for a disability.