



446 West Aldine Ave., Suite 3W  
Chicago, IL 60657  
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## **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)  Single  Married **Date Married:** \_\_\_\_\_

### **Names & Ages**

	<b>Individual 1</b>	<b>Individual 2</b>
First Name, Middle Initial		
Last Name		
Birth Date		
Retirement Age		
Social Security Number		
Gender (Male/Female)		

### **Home**

Address		
City, State, Zip		
	<b>Individual 1</b>	<b>Individual 2</b>
Home Phone	(     )     -	(     )     -
Mobile Phone	(     )     -	(     )     -
Email Address		
Web Page		

### **Employment**

	<b>Individual 1</b>	<b>Individual 2</b>
Duties/Title		
Employer		
Work Address		
City, State, Zip		
Work Phone	(     )     -	(     )     -
Email		
Fax		

## Children

First name, middle initial, last name	Social Security number	Birth date	Dependent until age

## Financial Priorities

Please list and rank your five most important financial goals in order of importance.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

What are the main problems or concerns for which you want this process to assist you?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

What actions need to take place for you to feel in control of your finances?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
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 from FICA tax, please explain: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_









## 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 budget that you use for family expenditures? \_\_\_\_\_

Do you feel that you need one? \_\_\_\_\_

Are you satisfied with your investment results? \_\_\_\_\_

If so, why? If not, why not? \_\_\_\_\_

What is most important to you in investing your money (return, safety of principal, diversification, marketability and liquidity, 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 investment risk? \_\_\_\_\_

Why have you chosen the investments in your portfolio? \_\_\_\_\_

How do you arrive at investment decisions? \_\_\_\_\_

Are any of your assets earmarked for a specific use at this point? \_\_\_\_\_

If so, what assets? For what 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.

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