Fact Finder/Data Gathering

What would you like to FIX, CHANGE, or ADDRESS with your current investments/ retirement?

Family Profile

Are you currently married? If so, fill in spouse information (Co-Client)

Client

First and Last Name	
Date of Birth	
Current Primary Address	
Are you currently employed?	
What is your current occupation?	
At what age do you expect to retire?	

Co-Client

First and Last Name	
Date of Birth	
Current Primary Address	
Are you currently employed?	
What is your current occupation?	
At what age do you expect to retire?	

Income

It is preferred to attain a social security statement for all clients to gather all values for any age. (www.ssa.gov)

Client (Income)

What is your current annual salary?	
Is there an annual increase and or bonus?	
Will you receive social security? If so, list the values for age 62, full retirement, and age 70. Already receiving? List value.	
Will you receive a pension? (Y/N)	
When will the pension be available? (What age?)	
List the monthly pension value?	
Is the pension available for a lump-sum? List Value?	
List any other additional income. (Dividends, Royalties, annuities, life insurance etc)	

Co-Client (Income)

What is your current annual salary?	
Is there an annual increase and or bonus?	
Will you receive social security? If so, list the values for age 62, full retirement, and age 70. Already receiving? List value.	
Will you receive a pension? (Y/N)	
When will the pension be available? (What age?)	
List the monthly pension value?	
Is the pension available for a lump-sum? List Value?	
List any other additional income. (Dividends, Royalties, annuities, life insurance etc)	

Savings

Client (Savings)	
Are you contributing to a retirement account? (Y/N)	
List all monthly/annual/ percentage contributions and to what account. (401K, IRA, Roth, Profit-sharing, HSA, 529, etc)	
Is the company matching (Y/N)	
List all monthly/annual/ percentage of company match and to what account.	

Co-Client (Savings)	
Are you contributing to a retirement account? (Y/N)	
List all monthly/annual/ percentage contributions and to what account. (401K, IRA, Roth, Profit-sharing, HSA, 529, etc)	
Is the company matching (Y/N)	
List all monthly/annual/ percentage of company match and to what account.	

Net Worth

Client (Net Worth)

Qualified Accounts

List all qualified accounts
(401K, 403B, IRA, Roth IRA, SEP IRA, Annuities ETC)

Account Type	Custodian	Balance	Surrender Cost	Maturity Date	Cost Basis

Co-Client (Net Worth)

Qualified Accounts

List all qualified accounts
(401K, 403B, IRA, Roth IRA, SEP IRA, Annuities ETC)

Account Type	Custodian	Balance	Surrender Cost	Maturity Date	Cost Basis

Client (Net Worth)

Non-Qualified Accounts

List all non-qualified accounts
(Individual, Joint, Annuities)

Account Type	Custodian	Balance	Surrender Cost	Maturity Date	Cost Basis

Co-Client (Net Worth)

Non-Qualified Accounts

List all non-qualified accounts
(Individual, Joint, Annuities)

Account Type	Custodian	Balance	Surrender Cost	Maturity Date	Cost Basis

List any saving/checking account values (totaling 10K or more)	
Account Type	Balance

List any saving/checking account values (totaling 10K or more)	
Account Type	Balance

Property/ Real Estate							
Current Value	Original Cost	Interest Rate	Exp. Date/Term	Monthly Mortgage	Annual Appreciation (Optional)	Rental Income	Type of Property (primary, vacation, etc)

Insurance					
Owner/Insure of Policy	Type of Insurance	Cash Value	Death Benefit Value	Premium (Monthly/Annually)	Term/ Exp. Of policy

Expenses

Monthly Expenses (Monthly Value, Do not Include mortgage) Alimony, medial, loans other	Monthly Payments	Term/Balance of Loan	Interest Rate	Filing Status (Single, Married filing joint, etc)

Goals

Retirement Goals				
Desire Income (Monthly/Annual Value)	Vacation Funds	Car Funds	New Property Funds	Other Funds

Additional Notes, Questions, Concerns?