FINANCIAL PLANNING REVIEW

Name: ______________________________ Date: ____________________

To develop an effective strategy to help you best pursue your personal and financial goals, it's important that we understand any significant events that have taken place in your life since our last meeting, as well as any questions or concerns you may have about the future.

Please answer the following questions to the best of your ability:

1. Have you experienced any significant life changes over the past year (e.g., marriage, divorce, birth, death, new car, home purchase, promotion, health issues, recent accomplishments)?

2. Do you have any financial concerns that would benefit from guidance (e.g., estate planning, inheritance, social security eligibility, retirement, paying for college)?

3. Have there been any changes in your personal or financial situation (e.g., retirement time horizon, beneficiary changes, retirement income/cash flow, contributions, company bonuses, tax changes)?

4. Have any of your short- or long-term goals changed (e.g., retirement plan, investment objective, wedding, college tuition payments)?

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5. Have you changed your opinions regarding the stock market or your investment risk tolerance (e.g., domestic, international, bond market, interest rates, unemployment, current goals, future goals, portfolio risk tolerance)?

6. Do you understand the asset allocations we've implemented and the investment decisions we've made? Please explain.

7. Do you have any current or future charitable commitments? If so, please explain.

8. Are you concerned about preserving your assets from health care expenses as you get older? Would you like more information regarding long-term care insurance (LTCI)?

9. Can you tell me some of the issues or concerns (financial or emotional) you have about reaching retirement?

10. How would you describe a happy retirement? How will you spend your time and where and with whom will you live?

11. When was the last time you reviewed your legal documents (e.g., wills, trusts, power of attorney, health care proxy, life insurance, auto insurance, personal umbrella policy)?

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12. Would you like us to review your existing insurance policies and/or explain the benefits of using different types of insurance in your financial plan?

13. What part of the planning process has been the most impactful to you?

14. Do you feel there is any service we should be providing that we currently do not offer? If so, please explain.