Legacy Financial Planning, Inc   815-786-7851   Fax 815-786-7861

General Information & Planning Issues

Date: ______________________

Section A – Personal Information
All information supplied will be treated confidentially

1. Personal Information

	Client	Co-Client
Name (First, MI, Last)		
Preferred (Nick) Name		
Street Address		
City, State, Zip		
Home Phone		
Cell Phone		
Fax Number		
Email Address		
Date of Birth		
U.S. Citizen? (Y/N)		
Social Security No.		
Marital Status		
Previous Marriage?		
Health		
Hobbies		

2. Employment Information

	Client	Co-Client
Employer		
Street Address		
City, State, Zip		
Work Phone		
Work Fax		
Work Email		
Occupation/Position		
Salary		
Bonus		
Tenure		

3. Children and Other Dependents

Name				
Relationship				
Date of Birth				
Sex				
Health				
Living w/You?				
Marital Status				
College Planned				
Grandchildren				

4. Professional Advisors

Advisor	**Name/Company**	**Address**	**Telephone / Fax**
Accountant			
Estate Attorney			
Life Ins. Agent			
Stock Broker			
Financial Planner			

Section B – Miscellaneous Information

1. Have you ever been dissatisfied with advice you have received from a financial advisor?

Explain: ____

2. Have you ever been or are now involved in any litigation? ☐ Yes ☐ No

Explain: ____

3. Do you have a home computer? ☐ Yes ☐ No
   Do you regularly check for email messages? ☐ Yes ☐ No
   Where do you prefer your email messages be sent to? ☐ Home ☐ Work

4. Do you use a software package to track your spending and/or other financial activity? ☐ Yes ☐ No

Software package used: ____

5. Do you currently have the following estate planning documents?

Will Yes No
Living Will (Final Directives) Yes No
Revocable Trust (Living Trust) Yes No
Funeral Plan Yes No

Section C – Financial Planning Issues

Cash Flow and Tax Planning

- I need help in tracking my spending and getting it under control.
- I feel I am paying too much in income tax and would like to reduce it.
- I want to set up a planned savings program.

Retirement Planning

- I want to start planning now to retire in _________ years.
- I am not sure if the amount I am saving will be sufficient to allow me continue my present lifestyle.
- I am ready to retire and do not know what to do with my pension options or 401(k) choices.
- I am retired and want to know how my asset base is holding up compared to my spending.
- I am retired (retiring) and feel it is time to rollover my employers retirement accounts.
- I want to review the tax impact of various retirement plan distribution choices.
- I have employer stock shares in my 401(k) and am interested in a partial rollover.

Investment Planning

- I would like asset allocation recommendations for existing investments.
- I have a sum of idle cash that needs to be invested.
- I would like assistance in keeping up-to-date on my investment accounts.
- I am looking for a second opinion on the investment choices in my portfolio.
- I have an employer retirement account in which I would like help selecting investment choices.
- I am unsure of the appropriate diversification for my account (i.e. growth vs. value, equity vs. fixed income, small, mid or large capitalization, domestic vs. international).

Insurance & Estate Planning

- I have the following estate planning documents (circle): Will, Durable Power of Attorney, Living Will, Healthcare Power of Attorney, Trust.
- I'd like to get an estimate of how much life insurance might be appropriate for me
- I would like to know if I should consider disability insurance.
- I am interested in finding out about long term care insurance
- I do not have umbrella liability insurance and want to know if I should.
- I am interested in ways to leave a legacy for future generations.
- My net worth is more than $2,000,000 and I have not made any provisions to reduce potential estate taxes at my death.
- I have not developed a funeral plan or planned to pay for it.

Special Needs Planning

- I would like to explore college funding alternatives.
- I have a special needs child who will require assistance after we are gone.