



INTERVIEW WORKSHEET

Data Gathering is the first important step in the financial planning process. Unless required by law, information provided in this profile will not be released without client consent.

Client 1

Client 2

Name: _____ Name: _____
DOB: _____ DOB: _____
E-mail: _____ E-mail: _____
Employer: _____ Employer: _____
Home Address: _____
Home #: _____ Bus. #: _____ Fax #: _____

Children/Dependents:

Name	DOB	Name	DOB
_____	_____	_____	_____
_____	_____	_____	_____

We often refer to a jigsaw puzzle as a metaphor for true wealth planning and management. What is the most important piece of the puzzle? Most would answer immediately that it is a corner or border piece. For our purposes, it is the picture on the box. In other words, how does one know how to assemble the pieces without knowing what the puzzle, when completed, is supposed to look like?

To us, the “picture on the box” represents what is important to you in life; what values you hold that ultimately help define the purpose of money to you, currently and for the future; and how your financial “pieces” as they are presently arranged serve your vision of a fulfilled life. Your brief answers to the questions below will begin to orient us as to who you are and how we might work together to better align and help manage your resources as your “family CFO.”

1. What is your primary motivation for contacting a wealth manager at this time?

2. What are your most important financial concerns?

- a) _____
- b) _____
- c) _____
- d) _____

3. What are your most important non-financial concerns & objectives right now?

- a) _____
- b) _____
- c) _____
- d) _____

4. Is your outlook generally optimistic or pessimistic concerning the future? (Please briefly elaborate)

5. Have you ever worked with a financial advisor before? Yes No

What was good about that experience? _____

What was unsatisfactory about that experience? _____

6. How much is your current monthly income (before taxes)?

Client 1 Total \$ _____

Client 2 Total \$ _____

7. What are your current monthly or annual expenses (approximately)?

Client 1 \$ _____ Client 2 \$ _____

How much do you/can you currently save or invest annually?

Personal Accts \$ _____ *Retirement Plans* \$ _____

8. What changes do you expect in the future that you wish to plan for?

Family Obligations: _____

Inheritances: _____

Other: _____

9. Why do you think you need help at this time?

10. Is there anything else we need to talk about? Any "special needs" situations you are responsible for?

11. How did you hear about us?

Net Worth Statement

Please give us a rough idea of your assets and liabilities so we can start preparing a more detailed list of questions needed to properly advise you. For this page, all we're looking for are estimated dollar amounts. We'll go into much more detail regarding your assets later in the process, if needed. We can total everything for you if you wish. *(If you have a prepared version of this form, in similar detail, you may forward it instead)*

Assets		Dollar Amount	Liabilities		Dollar Amount
CASH EQUIVALENTS:			REAL ESTATE DEBT:		
Checking & Savings Accounts		_____	1st Mortgage on Residence		_____
Money Market Accounts		_____	2nd Mortgage on Residence		_____
CDs (Certificates of Deposit)		_____	Loans on Other Residences		_____
T-Bills		_____	All Rental Mortgages		_____
Whole Life Insurance Cash Values		_____	Subtotal:		_____
(↑Not death benefit!) Subtotal:		_____	OTHER LIABILITIES:		
SECURITIES (NON-CASH):			All Vehicle Loans		
Individual Bonds or Notes		_____	Credit Card Debt (not paid off monthly)		_____
Mutual Funds		_____	All Aircraft & Boat Loans		_____
Fixed Annuities		_____	Investment/Margin Loans		_____
Variable Annuities		_____	Business Loans		_____
Variable Life Cash Values		_____	Life Insurance/401(k)		_____
Individual Stocks		_____	All Other Debt or Loans		_____
Limited partnerships		_____	All Other Debt or Loans		_____
Subtotal:		_____	Subtotal:		_____
OTHER SECURITIES:					
IRAs/Keoghs/TSAs/401(k)s		_____	TOTAL ASSETS:		
Precious Metals		_____	- TOTAL LIABILITIES:		
ESOP/Employer Stock Options		_____	NET WORTH:		
Business Interests (Assets)		_____			
Loans Payable to You		_____			
Rental Real Estate		_____			
Raw Land & Other Real Estate		_____			
Subtotal:		_____			
PERSONAL EFFECTS:					
Personal Residence		_____			
Gems, Artwork, Collections		_____			
Autos & Personal Effects		_____			
Subtotal:		_____			

Data & Document Request/Checklist

In an effort to better prepare for our meeting and to understand your financial picture, please furnish Værdi Financial with any of the applicable documents/information listed below.

- Asset account statements
- Employee Benefits (pre- and post-retirement benefits descriptions)
- Pension Statements
- 401k, IRA, other retirement account statements
- Life Insurance policy inventory (face amounts, cash values, loans)
- Long Term Care policy inventory (daily benefit, elimination period, benefit duration, COLA)
- Disability Insurance policy inventory (monthly benefit, elimination period, benefit duration, COLA)
- Social Security benefit statements (or projected benefits, if known)
- Annual income, by source (pre-retirement)
- Annual income, by source (post retirement)
- Annual living expenses (pre retirement)
- Annual living expenses (post retirement)
- Major sources of anticipated future income or capital (inheritance, other?)
 - Expected year(s) of receipt and amounts
- Major expenses or purchases anticipated in future
 - Expected year(s), amount(s) of outlay