

Family Information

Client

Date 05/14/2016

Name (First/Last)		
Date of Birth:		Gender:
Marital Status: (single, married, separated, divorced, domestic partnership, widow, widower)		

Spouse

Name (First/Last)		
Date of Birth:		Gender:

Contact Info

Address:			
City:	State:	Zip:	
Home Phone:			
Cell Phone:			
Spouse Cell Phone:			
Fax:			
Client Preferred E-mail:	test1@iexodus.com		
Spouse Preferred E-mail:			

Employment - Client

Employer Name:			
Employer Address:			
City:	State:	Zip:	
Work Phone:			
Work Fax:			
Work Email Address:			
Title/Position:			
Years Employed:			

Employment - Spouse

Employer Name:			
Employer Address Line:			
City:	State:	Zip:	
Work Phone:			
Work Fax:			
Work Email Address:			

Title/Position:	
Years Employed:	

Children

First/Last Name	Address	DOB	M/F	Marital Status	Telephone/E-Mail	Special Needs?

Investments

Real Estate

	Primary Residence	Secondary Residence	Investment Property	Investment Property
Property Name:				
Address 1:				
Address 2:				
City:				
State:				
Zip:				
Property Type: (Residence, Non-Residence)				
Current Value:				
Mortgage Balance:				
Owner: (Client, Spouse, Joint, etc.)				

Taxable Investments and 529 Plans

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Current Value:					
Owner: (Client, Spouse, Joint, etc.)					
Beneficiary:					

Qualified Retirement

(401(k), IRA, Money Purchase, Profit Sharing, 403(b), Pension, SEP, Other)

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Type: (Traditional 401(k), Roth401(k), IRA, Money Purchase, ProfitSharing, Traditional 403(b), Roth403(b),					

Pension, SEP, Other)					
Current Value:					
Owner: (Client, Spouse)					
Beneficiary:					

Contributions to Retirement Plan

General Contribution Information

	Client	Spouse
Contributions Based On: (All Earned Income, Salary)		

Employee Annual Contributions (For 401(k) or 403(b))

	Client	Spouse
Type: (Percent of Salary, Match Percent, Fixed Amount, Maximum)		
Percent:		
Dollar Amount:		

Employer Annual Contributions (For 401(k), Money Purchase, 403(b), SEP, or Profit Sharing)

	Client	Spouse
Type: (Percent of Salary, Match Percent, Fixed Amount, Maximum)		
Employer Percent Match of Employee Contribution:		
Dollar Amount:		

Annuities (Fixed/Variable)

	(1)	(2)	(3)	(4)	(5)
Asset Name:					
Asset Type: (Fixed / Variable)					
Type of Funds: (Qualified, NQ, Tax Free)					
Current Value:					
Owner: (Client, Spouse, Joint, etc.))					
Beneficiary:					

Insurance

Life Insurance

	(1)	(2)	(3)	(4)
Policy Name & Carrier:				

Policy Type: (Whole Life, VWL, Term, UL, VUL, Group, Other)				
Term Ends at Retirement: (Group Life Only) (Yes / No)				
Insured: (Client, Spouse, Survivorship, etc.)				
Owner: (Client, Spouse, Joint, etc.)				
Beneficiary: (Client, Spouse, Survivor, etc)				
Current Death Benefit:				
Annual Premium:				

Long Term Care

	(1)	(2)	(3)
Policy Name & Carrier:			
Insured: (Client, Spouse, Joint)			
Benefit Amount:			
Period for Benefit Amount: (Annually, Quarterly, Monthly, Weekly, Daily):			
Owner: (Client, Spouse, Joint)			
Annual Premium:			

Disability

	(1)	(2)	(3)
Policy Name & Carrier:			
Policy Type: (Group Short Term, Group Long Term Personal Short Term, Personal Long Term, Other)			
Insured: (Client, Spouse)			
Benefit Type: (Fixed Amount, Percent Of Salary)			
Benefit Amount:			
Period for Benefit Amount: (Annually, Quarterly, Monthly, Weekly, Daily):			
Owner: (Client, Spouse, Joint)			
Annual Premium:			

Income/Retirement

Salary & Bonus

	(1)	(2)	(3)	(4)
Salary / Bonus Name:				
Annual Amount:				
Owner: (Client, Spouse, Joint)				
Self-Employment? (Yes				

/ No)				
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Retirement Dates

	Semi-Retirement Date/Age w/Expected Income	Full Retirement Date/Age
Client:		
Spouse:		

Social Security (disregard if supplying Social Security statements)

	Client	Spouse
Retirement Benefit at Age 62:		
Retirement Benefit at Full Retirement Age:		

Living Expenses - All values are net after-tax in today's dollars

Current Monthly Standard of Living:	
Semi-Retirement Monthly Standard of Living (if applicable):	
Retirement Monthly Standard of Living:	

Client's Monthly Standard of Living in Event of:

Spouse's Death Before Retirement:	
Spouse's Death in Retirement:	

Spouse's Monthly Standard of Living in Event of:

Client's Death Before Retirement:	
Client's Death in Retirement:	

Wills, Estate Documents and Gifting

Check All Documents That Are Currently In Place

	Will	Rev Trust	Irr Trust	ILIT	FLP	Planned Gifts	CLT	CRT	Buy/Sell	Other
Client										
Spouse										

Objectives

Retirement/ Investment

Rate the importance of each item according to the following scale:			
Your retirement goals	Low		

Directing a portion of your personal savings or investment portfolio to a tax advantaged vehicle	Med		
Having all of your portfolios consolidated and analyzed to make sure your overall plan is on track	High		
Matching your risk tolerance to that of your investment portfolio	High		
Reviewing your investment performance against that of an index	Med		
Reviewing your investment performance against your plan	Low		
Reviewing alternative retirement methods			
Minimizing the taxes on your investment accounts			
Reviewing techniques to save income tax and estate taxes on deferred money			
Asset protection in the result of serious illness			
Protecting assets in the event that you require long term care in the future			
Receiving adequate income in the event of disability during your working years			
Planning for income for your spouse in the event of your premature death			
Generating a guaranteed retirement income stream			
Planning for income for your children in the event of your premature death			

Estate

Rate the importance of each item according to the following scale:			
Distributing assets equally to your children	Low		
Protecting your assets transferred to your children from creditors, divorce, and bankruptcy	Med		
Reviewing your insurance portfolio	High		
Reviewing different methods of meeting your estate tax liabilities	High		
Minimizing estate taxes	Med		
Charitable planning to your estate's planning	Low		

Contributing annually to charity			
Gifting to your children if it doesn't interfere with your financial independence			
Planning for your grandchildren's education			
Reviewing your current will structure to eliminate unnecessary taxes			
Protecting your residence and/or vacation home from estate taxes			
Having your estate in trust for your spouse in order to protect your children's inheritance			

Risk Tolerance

If you own a home, do you have more than 30% equity?
Which of the following best describes your current employment situation?
Have you invested in Equities?
Have you invested in Fixed Incomes?
Have you invested in Mutual Funds?
Have you invested in Options, Futures, or Derivatives?
How would you describe your level of investment knowledge?
How much investment experience do you have?
Which of the following best describes your primary financial goal for this investment?
What is the time horizon for your investment?
The assets considered for investment are what percentage of your total investable assets?
Please choose the phrase that best describes the degree to which you will rely on these assets.
How likely is it you will need to withdraw a significant portion of these assets prior to your planned time horizon to pay for a home, education, or some other purpose?
If you do expect to withdraw a significant portion of your account, when is it likely to be?

If you made a long-term investment of \$100,000, how much of a loss in a single year would you withstand before selling?

Suppose that, over a 2 or 3 year period, your portfolio has lost value. What action would you take?

Assume your investment horizon is more than 10 years. During the second year of investment, your portfolio declines to less than its initial value. Where would you place your reaction along the following scale? (Check one)

A B C D E F

From the Investor Profiles form, are you...

Professional Contacts

Advisors

Advisor Type (Accountant, Attorney, etc.)	First/Last Name	Company	Address	Phone, Fax, Email

Do you have an Estate Planning Attorney?		Would you like us to recommend someone?	
Do you have a CPA?		Would you like us to recommend someone?	
Is your Attorney a key decision maker for you?		Is your CPA a key decision maker for you?	

Notes:

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