



## **Preliminary Personal Financial Planning Profile**

Please fill out the next three pages and gather the documents listed on the last page. We request that you deliver the documents to our offices no less than one week prior to your Initial Consultation so we may have time to review and prepare.

*The information you provide is strictly confidential and will not be disclosed to anyone without your consent.*

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# Preliminary Personal Financial Planning Profile

## General Information

Today's date: \_\_\_\_\_

Client's name: \_\_\_\_\_ Co-Client's name: \_\_\_\_\_

Birth Date: \_\_\_\_\_ Birth Date: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Phone Numbers: \_\_\_\_\_ (Home) \_\_\_\_\_ (Work)

Preferred E-Mail Address: \_\_\_\_\_

How did you hear about us? \_\_\_\_\_

Please check one:  Single  Married  Divorced  Widowed  Other

## Children:

### Name

### Birthdate

| Name  | Birthdate |
|-------|-----------|
| _____ | _____     |
| _____ | _____     |
| _____ | _____     |

## Client

## Co-Client

Please check:  Employed  Self-Employed  Retired

Employed  Self-Employed  Retired

Occupation: \_\_\_\_\_

## Financial Planning Priorities and Goals

What are your three most important financial concerns or goals?

1.

2.

3.

**Asset Information** *Please estimate the value of the following:*

Checking, Savings/CD, Money Market Funds \$ \_\_\_\_\_

Retirement Accounts (IRA's, 401(k)'s 403(b)'s, etc.) \$ \_\_\_\_\_

Your Home \$ \_\_\_\_\_ Other Real Estate \$ \_\_\_\_\_

Stocks, Bonds \$ \_\_\_\_\_ Mutual Funds \$ \_\_\_\_\_

Other Assets \$ \_\_\_\_\_

**Liability Information** *Please estimate the value of the following:*

Primary Mortgage \$ \_\_\_\_\_ Other Mortgages \$ \_\_\_\_\_

Installment Loans \$ \_\_\_\_\_ Credit Cards \$ \_\_\_\_\_

Other Liabilities \$ \_\_\_\_\_

**Annual Earned Income**

Salary(ies) \$ \_\_\_\_\_ Commission \$ \_\_\_\_\_

Bonus \$ \_\_\_\_\_ Other Income \$ \_\_\_\_\_

Is income fairly uniform and reliable?  Yes  No

Explanation (if needed):

**Contributions**

Are you contributing on a regular basis to a retirement plan such as 401(k), 403(b) or deferred compensation, or to an IRA?  Yes  No

**Life Insurance**

How much life insurance do you have?

Client \$ \_\_\_\_\_ Co-Client \$ \_\_\_\_\_

**Wills**

Do you have a will(s)? \_\_\_\_\_ Date Signed: \_\_\_\_\_

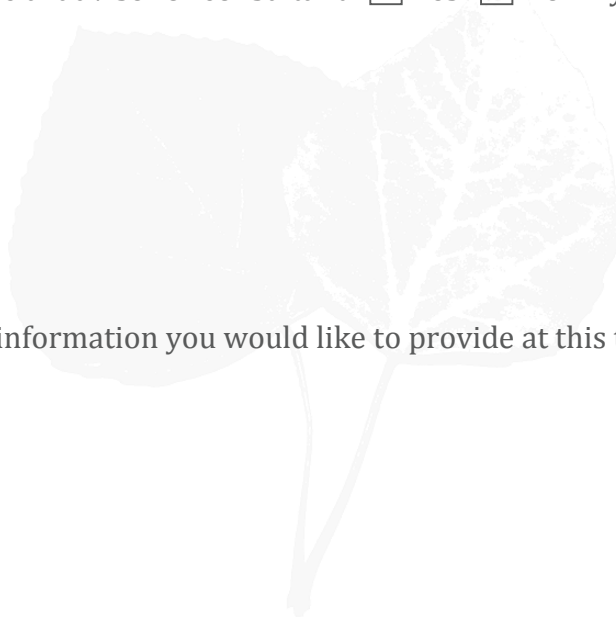
## Other Information

How much do you expect to earn on your investments?

6-8% \_\_\_\_ 8-10% \_\_\_\_ 10-12% \_\_\_\_ 12-15% \_\_\_\_ 15% + \_\_\_\_

What did you do the last time the stock market went down by 5% or more?

Have you ever been unhappy with the recommendations of a stockbroker, insurance agent and/or financial adviser or consultant?  Yes  No If yes, please explain:



Is there any other information you would like to provide at this time?

Please bring the following documents to your free initial consultation or provide them a week in advance if possible.

- Tax returns for last three years
- Most recent brokerage/mutual fund statement(s)
- Most recent retirement plan statement(s)
- Most recent IRA statement(s)

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

*Thank you!*