

Personal Financial Information

All information is strictly confidential



CLIENT: _____

DATE: _____

STRATEGIC WEALTH ASSOCIATES

Documents Needed

Please provide photocopies of the following documents rather than originals if possible.

Complete Income Tax Returns

- Client
- Co-client

Liability Statements

- Mortgage Statements
- Auto Loan Statements
- Credit Card Statements

Insurance Policies and/or Statements

- Life
- Medical
- Disability
- Long-term Care
- Auto and Home
- Liability
- Group Insurance

Investments and Retirement Statements and /or plan descriptions

- Bank Statements
- Securities Accounts
- IRA / Roth IRA
- 401(k) / TSA / PEDC
- SEP IRA / SIMPLE IRA
- Pension / Profit Sharing Plan
- Dividend / Interest Statements
- 529 College Savings Plan
- Annuities

Employment Benefit Information

- 2 Most Recent Payroll Stubs
- Most Recent Social Security Statements
- Employee Benefit Statements/Booklets
- Employee Retirement Plan Booklets
- Employee Stock Ownership

Estate Planning Documents

- Tax Returns - Gift, Trust, Estate Tax
- Wills/Codicils
- Trust Agreements
- Power of Attorney
- Health Care Directive

Business Documents

- Business Tax Returns (S-Corp, C-Corp, LLC)
- Buy-Sell Agreements
- Deferred Compensation Agreements
- Split Dollar Agreements
- Wage Continuation Agreements
- Employment / Consulting Agreements
- Other Employer Paid Benefits

Expense Worksheet

Planning Focus:

What areas are most important for you to address in your financial plan?

- Help with setting goals
- Analyzing cash flow (taxes, debt, giving, etc.)
- Organization and analysis of assets and liabilities
- Investment asset allocation
- Retirement Planning
- Protection Planning
- Estate planning (wills, trusts, etc.)
- _____

Information provided by the client and not verified by the representative. Securities products and financial planning services are offered through registered representatives and financial planners, respectively, of New England Securities Corp., a broker-dealer (member FINRA/SIPC) and a Registered Investment Adviser. {Branch Office Address & Telephone Number}. **SWA** is not affiliated with New England Securities. L0411175008[exp0513][AZ,CA,NM,NV]

Goals and Objectives:

What are your most important short-term (1 – 3 years) goals? Include any major purchases you anticipate within the next 1 - 5 years. Also, note when you expect to make your next auto purchases, what the cost will be, and how often you expect to replace these vehicles.

What are your most important long-term (life) goals?

Do you want to pay for a family member's education? What type of school? How much do you think it will cost? When will your family member start school

Describe your concept of retirement and the age at which you want it to start (month/year)?

In reference to your cash flow, how much do you feel is left over to allocate towards your financial goals each month in addition to what you are currently saving?

If you own a business, please provide general information regarding the structure (S-Corp, LLC, partnership) value, etc. Also include corporate tax returns, retirement plan documents, buy/sell agreement and employee census.

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Assets & Liabilities (Not Included With Documents)

<i>Housing/Mortgage</i>	Primary Residence	Other (other property or 2nd mortgage information)	Other (other property or 2nd mortgage information)
Description			
Current Value			
Purchase Date & Loan Terms			
Purchase Price			
Loan Balance			
Minimum Monthly Payment <small>(excluding taxes and insurance)</small>			
Actual Monthly Payment			
Monthly Taxes			
Mortgage Insurance			

<i>Other Debt</i>			
Description			
Purchase Date & Term			
Loan Balance			
Minimum Monthly Payment			
Actual Monthly Payment			

Savings or Investment Account Contributions

	Specific Account	Annual / Monthly	Amount
Retirement Savings			
Company Contribution			
Retirement Savings			
Company Contribution			
Education Savings			
Short-Term Savings			
Other Savings			

Other Assets - *Personal Property, Collectibles, EE Savings Bonds, Etc.*

Estimated Value	Description

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The first step in the financial planning process involves evaluating your current financial situation and becoming financially organized. Organizing your important documents and storing them in a secure location makes it easier for you and/or your family members to respond in the event of an emergency or premature death.

1. How would you generally categorize your primary investment objective for these investment assets?

- Maximum Growth:** emphasis on greater capital appreciation, with little need for income.
- Growth with income:** equal emphasis on capital appreciation and income.
- Income:** emphasis on dividend and interest-bearing securities with the possibility of some capital appreciation.

2. To a large extent, your investment time horizon will dictate your tolerance to accept portfolio fluctuations. The longer the time horizon for your investments, the less impact volatility will have on your investment success. What is the appropriate time horizon?

- 1–3 years**
- 3–5 years**
- 5–10 years**
- 10 years or more**

3. What return do you expect to earn on your overall investment portfolio during this time horizon?

- 3%–5%**
- 5%–7%**
- 7%–9%**
- 9%–11%**
- Over 11%**

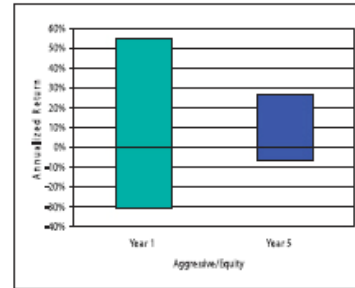
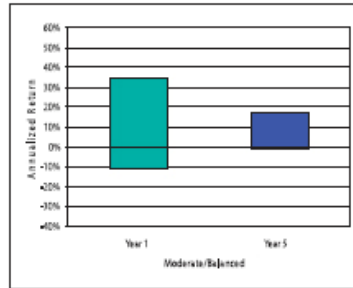
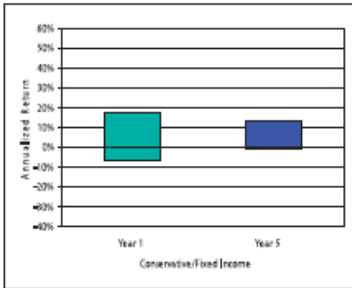
4. What level of annual pre-tax income (dividends and interest) do you expect to earn from these investments?

- 0%–2%**
- 2%–3%**
- 3%–4%**
- 4%–5%**
- Over 5%**

5. During the short term markets can be very volatile. How would you describe your willingness to accept significant fluctuation in the value of these investments over time periods of 1 year or less?

- Aggressive:** willing to accept declines of 20% or more in your overall portfolio.
- Moderate:** willing to accept declines in your overall portfolio, but less than the broad equity market.
- Conservative:** unwilling to accept more than temporary minor declines in your overall portfolio.

6. The following graphs illustrate a potential range of annualized returns for three hypothetical portfolios. The first portfolio is the most conservative (representing a hypothetical fixed income portfolio), while the last portfolio is the most aggressive (representing a hypothetical equity portfolio). Select the portfolio with which you would be most comfortable.



7. The following table illustrates hypothetical portfolios with various returns and varying degrees of volatility. The first portfolio is the most conservative portfolio, while the last portfolio is the most aggressive. Select the portfolio with which you would be most comfortable.

Yearly Return %

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 5 Annualized
Portfolio A	4.1	3.5	3.2	4.7	4.5	4
Portfolio B	-1.0	5.9	10.5	3.7	12.3	6.2
Portfolio C	-1.5	9.8	19.9	-4.5	17.9	7.9
Portfolio D	-2.1	12.2	27.8	-8.4	24.1	9.8
Portfolio E	-3.5	18.6	28.3	-13.1	37.9	12.0

8. Which of the following investment situations would make you feel more comfortable?

- Consistent, but lower returns
- Larger swings in portfolio value, but larger returns

9. Should this portfolio invest in a tax-sensitive portfolio?

- Yes
- No