Personal Information

	middic		1031	
What name do you prefer to be called?			Sex: [☐ Male ☐ Female
Date of birth:	Citizenship:	US Citizen	Resident Alien	☐ Non-Resident Alien
Are you married?yesno				
Spouse's full name: first	mid	ddle	last .	
What name does your spouse prefer to be	e called?		Sex: [☐ Male ☐ Female
Date of birth:	Citizenship:	US Citizen	Resident Alien	☐ Non-Resident Alien
Principal Residence:				
Address:				
City:		State:		Zip:
Home phone:	Business p	hone:		Extension:
E-mail:				
How would you prefer to be contacted?	☐ Home ph	one [] Business phone	☐ E-mail
What is the best time to contact you?		am	☐ pm	
Financial Adviso	rs			
			_ Phone:	ext
Attomey:				
Attomey:CPA or Accountant:			_ Phone:	ext
Attomey: CPA or Accountant: Trust Officer:			_ Phone: _ Phone:	ext
Attomey: CPA or Accountant: Trust Officer: Financial Planner:			_ Phone: _ Phone: _ Phone:	ext ext
Financial Adviso Attorney: CPA or Accountant: Trust Officer: Financial Planner: Broker: Insurance Agent:			_ Phone: Phone: Phone: Phone:	ext

Dependents

Full name:		_ Date of birth: .		
Estimated educational cost per year: \$	starting	in year	for	years
Special needs per year: \$	starting in year	for	years	
Full name:		Date of birth: .		
Estimated educational cost per year: \$	starting	in year	for	years
Special needs per year: \$	starting in year	for	years	
Full name:		Date of birth: .		
Estimated educational cost per year: \$	starting	in year	for	years
Special needs per year: \$	starting in year	for	years	
Full name:		_ Date of birth: .		
Estimated educational cost per year: \$	starting	in year	for	years
Special needs per year: \$	starting in year	for	years	
Do you have any grandchildren?yes	,	?		
Other Beneficiarie	es .			
Full name:		Date of birth: .		
Full name:	_	Date of birth: .		
Full name:		Date of birth: .		
Full name:		_ Date of birth: _		
Any special concerns, needs, or arrangements to	consider for your children, gr	andchildren, or ot	thers?	

Retirement Planning

You:			
At what age do you plan to retire?			
Will you qualify for Social Security retirement	t benefits?yes _	no	
At what age would you expect to begin rece	iving Social Security retiren	nent benefits?	_
Your Spouse:			
At what age does your spouse plan to retire?	?		
Will your spouse qualify for Social Security re	etirement benefits?	_yesno	
At what age would your spouse expect to be	egin receiving Social Securit	ty retirement benefits?	
Special Retirement Goals:			
Description:	Amount needed in toda	ay's dollars: \$	Year needed:
Description:	Amount needed in toda	ay's dollars: \$	Year needed:
Salary Your Salary: Employer: Current annual salary: \$ Assume annual increases in your salary? Will it continue to be paid at your death?	How many years s yesno	should that salary be assumed Average annual salary incre	ease%
Your Spouse's Salary: Employer:			
Current annual salary: \$			
Assume annual increases in your salary?	·	Average annual salary incre	
Will it continue to be paid at your spouse's d	leath?yesno	If yes, how many years?	
Notes (If not typical of past or future salaries	s, please explain.):		

Additional Salary & Other Income

Source:			
Current annual amount: \$	How man	y years sho	uld this income be assumed to continue?
Assume annual increases?	_yesno		Average annual increase
Will it continue to be paid at rec	cipient's death?yes	no	If yes, how many years?
Source:			Recipient: You Your spouse
Current annual amount: \$	How man	y years sho	uld this income be assumed to continue?
Assume annual increases?	_yesno		Average annual increase
Will it continue to be paid at rec	cipient's death?yes	no	If yes, how many years?
Source:			Recipient: You Your spouse
Current annual amount: \$	How man	y years sho	uld this income be assumed to continue?
Assume annual increases?	_yesno		Average annual increase
Will it continue to be paid at rec	cipient's death?yes	no	If yes, how many years?
Expected In	heritances	5	
•			Recipient: You Your spouse
Source:			Recipient:
Source:	Smallest likely amount	: \$	
Source: Likely amount: \$ Based on the life of:	Smallest likely amount	: \$ Age:	Largest likely amount: \$
Source: Likely amount: \$ Based on the life of: And, based on the life of:	Smallest likely amount	: \$ Age: Age:	Largest likely amount: \$ Current health:
Source: Likely amount: \$ Based on the life of: And, based on the life of:	Smallest likely amount	: \$ Age: Age:	Largest likely amount: \$ Current health: Current health:
Source: Likely amount: \$ Based on the life of: And, based on the life of: Source: Likely amount: \$	Smallest likely amount	Age:	Largest likely amount: \$ Current health: Current health: Recipient:
Source: Likely amount: \$ Based on the life of: And, based on the life of: Source: Likely amount: \$ Based on the life of:	Smallest likely amount	Age: Age: Age:	Largest likely amount: \$ Current health: Current health: Recipient: You Your spouse Largest likely amount: \$
Source:	Smallest likely amount	Age: Age: Age:	Largest likely amount: \$ Current health: Current health: Recipient: You Your spouse Largest likely amount: \$ Current health:
Source: Likely amount: \$ Based on the life of: And, based on the life of: Source: Likely amount: \$ Based on the life of:	Smallest likely amount	Age: Age: Age:	Largest likely amount: \$ Current health: Current health: Recipient: You Your spouse Largest likely amount: \$ Current health:
Source: Likely amount: \$ Based on the life of: And, based on the life of: Source: Likely amount: \$ Based on the life of: And, based on the life of:	Smallest likely amount	Age: Age: Age:	Largest likely amount: \$ Current health: Current health: Recipient: You Your spouse Largest likely amount: \$ Current health:

Checking, Savings & CDs

Name, purpo	ose of account, or typ	e:				
Owner:	You	☐ Your s	pouse	☐ Join	t with spouse	☐ Community property
Value of this	Value of this account: \$		timated inte	rest rate:	% Planned a	nnual deposits: \$
The average in		s a result of flu □ Slight	ctuations due	to market cor		racterize the fluctuations of this account
Name, purpo	ose of account, or typ	oe:				
Owner:	You	☐ Your s	pouse	☐ Join	t with spouse	☐ Community property
Value of this	account: \$	Es	timated inte	rest rate:	% Planned a	nnual deposits: \$
The average in						racterize the fluctuations of this account
Name, purpo	ose of account, or typ	oe:				
Owner:	You	☐ Your s	pouse	☐ Join	t with spouse	☐ Community property
Value of this	account: \$	Es	timated inte	rest rate:	% Planned a	nnual deposits: \$
-	☐ Almost none	☐ Slight	Some	☐ Large	☐ Significant	racterize the fluctuations of this account
Owner:	ose of account, or typ					☐ Community property
				•	·	nnual deposits: \$
						racterize the fluctuations of this account
The average in	☐ Almost none	☐ Slight	Some	☐ Large		□ No fluctuations
Name, purpo	ose of account, or typ	oe:				
Owner:	You	☐ Your s	pouse	☐ Join	t with spouse	☐ Community property
Value of this	account: \$	Es	timated inte	rest rate:	% Planned a	nnual deposits: \$
The average in	nterest of this account is	s a result of flu	ctuations due	to market cor	nditions. Please cha	racterize the fluctuations of this account
	☐ Almost none	☐ Slight	Some	☐ Large	☐ Significant	☐ No fluctuations
Notes:						

Mutual Funds

Do not include fun	ds that are par	rt of an IRA	or employer :	sponsored i	retirement plan (40)	١.	
Name of fund or fu	und company: .							
Owner:	You	☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	ınity _l	oroperty
Current value: \$		Co:	st basis: \$		Annual	deposits: \$		
If not tax exempt:	Estimated ar	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estimated ar	nnual capital	gains rate:	%	Receive capital distributions a		or	Reinvest
If tax exempt:	Estimated a	nnual distrib	ution rate:	%	☐ Receive distrib	outions as cash	or	Reinvest
Appreciation rate for (Not including dividends	or net asset va s or capital gains c	alue: or tax exempt d	% listributions.)					
The average return o	of this fund is a n	esult of fluctu	ations due to n	narket condit	tions. Please characte	erize the fluctuation	ons of	this fund:
]Almost none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctua	tions	
Name of fund or fu	und company:.							
Owner:	You	☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	ınity p	oroperty
Current value: \$		Co:	st basis: \$	Annual deposits: \$				
If not tax exempt:	Estimated ar	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estimated ar	nnual capital	gains rate:	%	Receive capita	al gains	or	Reinvest
If tax exempt:	Estimated a	nnual distrib	ution rate:	%	Receive distrib	outions as cash as cash	or	Reinvest
Appreciation rate for (Not including dividends	or net asset va s or capital gains c	alue: or tax exempt d	% listributions.)					
The average return o	of this fund is a n	esult of fluctu	ations due to n	narket condit	tions. Please characte	erize the fluctuation	ons of	this fund:
]Almost none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctua	tions	
Name of fund or fu	und company: .							
Owner:	You	☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	ınity p	oroperty
Current value: \$		Co:	st basis: \$		Annual	deposits: \$		
If not tax exempt:	Estimated ar	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estimated a	nnual capital	gains rate:	%	Receive capita	ıl gains	or	Reinvest
If tax exempt:	Estimated a	nnual distrib	ution rate:	%	Receive distrib	outions as cash	or	Reinvest
Appreciation rate for (Not including dividends	or net asset va s or capital gains c	alue: or tax exempt d	// listributions.)		2.30.15400113.0	· · · · · · · · · · · · · · · · · · ·		
The average return o	of this fund is a n	esult of fluctu	ations due to n	narket condit	tions. Please characte	erize the fluctuation	ons of	this fund:
]Almost none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctua	tions	

Mutual Funds

Do not include fun	ds that are par	rt of an IRA	or employer	sponsored	retirement plan (4	01(k),TSA, etc.)).	
Name of fund or fu	und company: .							
Owner:	You	☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	unity	property
Current value: \$		Co:	st basis: \$		Annual	deposits: \$		
If not tax exempt:	Estimated ar	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estimated a	nnual capital	gains rate:	%	Receive capital Receive capital Receive capital		or	Reinvest
If tax exempt:	Estimated a	nnual distrib	ution rate:	%	☐ Receive distrib	outions as cash	or	Reinvest
Appreciation rate f	or net asset va s or capital gains c	alue: or tax exempt c	// distributions.)					
The average return o	of this fund is a n	esult of fluctu	ations due to n	narket condi	tions. Please characte	erize the fluctuati	ons of	f this fund:
]Almost none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctua	itions	
Name of fund or fu	und company:.							
Owner:	You	☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	unity	property
Current value: \$		Co	st basis: \$	Annual deposits: \$				
If not tax exempt:	Estimated ar	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estimated ar	nnual capital	gains rate:	%	Receive capital distributions a	al gains is cash	or	Reinvest
If tax exempt:	Estimated a	nnual distrib	ution rate:	%	☐ Receive distrib	outions as cash	or	Reinvest
Appreciation rate f	or net asset va s or capital gains c	alue: or tax exempt c	// listributions.)					
The average return o	of this fund is a n	esult of fluctu	ations due to n	narket condi	tions. Please characte	erize the fluctuati	ons of	f this fund:
]Almost none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctua	itions	
Name of fund or fu	und company:.							
Owner:	You	☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	unity	property
Current value: \$		Co:	st basis: \$		Annual	deposits: \$		
If not tax exempt:	Estimated ar	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estimated ar	nnual capital	gains rate:	%	Receive capital distributions a		or	Reinvest
If tax exempt:	Estimated a	nnual distrib	ution rate:	%	☐ Receive distrib	outions as cash	or	Reinvest
Appreciation rate f								
The average return o	of this fund is a n	esult of fluctu	ations due to n	narket condi	tions. Please characte	erize the fluctuati	ons of	f this fund:
]Almost none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctua	itions	

Mutual Funds

Do not includ	le funds tha	t are par	rt of an IRA	or employer	sponsored i	retirement plan (40)		
Name of fund	d or fund co	mpany: .							
Owner:	You		☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	ınity	oroperty
Current value	::\$		Cos	st basis: \$		Annual	deposits: \$		
If not tax exer	mpt: Estir	nated ai	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estir	Estimated annual capital gains rate:		%	Receive capital Receive capital Receive capital		or	Reinvest	
If tax exempt:	: Estir	mated a	nnual distribi	ution rate:	%	☐ Receive distrib	outions as cash	or	Reinvest
Appreciation (Not including div	rate for net vidends or cap	asset va ital gains c	alue: or tax exempt d	% istributions.)					
The average ret	turn of this fo	und is a n	esult of fluctua	ations due to n	narket condit	tions. Please characte	erize the fluctuation	ons of	this fund:
	□Almos	t none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctuat	tions	
Name of fund	d or fund co	mpany: .							
Owner:	☐ You		☐ Your	spouse	☐ Jo	int with spouse	☐ Commu	ınity	oroperty
Current value	::\$		Cos	st basis: \$	Annual deposits: \$				
If not tax exer	mpt: Estir	nated ar	nnual divider	nd rate:	%	☐ Receive dividends as cash or ☐ Re		Reinvest	
	•			gains rate:			al gains as cash	or	Reinvest
If tax exempt:	: Estir	mated a	nnual distribi	ution rate:	%	☐ Receive distrib	outions as cash	or	Reinvest
Appreciation (Not including div	vidends or cap	ital gains c	or tax exempt d	istributions.)					
The average ret						tions. Please characte			this fund:
	□Almos	st none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctua	tions	
Name of fund	d or fund co	mpany: .							
Owner:	☐ You		☐ Your			int with spouse	☐ Commu	ınity	oroperty
Current value	::\$		Cos	st basis: \$		Annual	deposits: \$		
If not tax exer	mpt: Estir	mated ar	nnual divider	nd rate:	%	☐ Receive divide	ends as cash	or	Reinvest
	Estir	mated ai	nnual capital	gains rate:	%	Receive capital distributions a		or	Reinvest
If tax exempt:	: Estir	mated a	nnual distribi	ution rate:	%	☐ Receive distrib	outions as cash	or	Reinvest
Appreciation (Not including div									
The average ret	turn of this fo	und is a n	esult of fluctua	ations due to n	narket condit	tions. Please characte	erize the fluctuation	ons of	this fund:
	□Almos	st none	☐ Slight	☐ Some	☐ Large	☐ Significant	☐ No fluctuat	tions	

Securities

Do not include	stock in your own	business.		
Name of stock: _				
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	e: \$		What did it cost: \$	
Annual dividend	rate:	%	Annual appreciation rate:	%
Dividends:	Received as	cash 🔲 Divid	dend reinvestment program	
The average retur	n of this security is a	result of fluctuations	due to market conditions. Please chara	acterize the fluctuations of this security:
	☐ Almost none	☐ Slight ☐ Sor	me 🗌 Large 🔲 Significant	☐ No fluctuations
		•	☐ Joint with spouse	
			What did it cost: \$	
Annual dividend	rate:	%	Annual appreciation rate:	%
Dividends:			dend reinvestment program	
The average retur	,			acterize the fluctuations of this security:
	☐ Almost none	☐ Slight ☐ Sor	me □ Large □ Significant	☐ No fluctuations
Name of stock				
Owner:			☐ Joint with spouse	Community property
		•	What did it cost: \$	
	rate:	_	Annual appreciation rate:	%
Dividends:	☐ Received as of		dend reinvestment program	
The average retur	n of this security is a		due to market conditions. Please chara me	acterize the fluctuations of this security: $ \square \text{ No fluctuations} $
	_			_
Name of stock: _				
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	e: \$		What did it cost: \$	
	rate:		Annual appreciation rate:	
Dividends:	Received as		dend reinvestment program	
	_		1 0	acterize the fluctuations of this security:
Ü	☐ Almost none	☐ Slight ☐ Sor		☐ No fluctuations

Securities

Do not include	stock in your own	business.		
Name of stock: _				
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	e: \$		What did it cost: \$	
Annual dividend	rate:	%	Annual appreciation rate:	%
Dividends:	Received as	cash 🔲 Divid	dend reinvestment program	
The average retur	n of this security is a	result of fluctuations	due to market conditions. Please chara	acterize the fluctuations of this security:
	☐ Almost none	☐ Slight ☐ Sor	me 🗌 Large 🔲 Significant	☐ No fluctuations
		•	☐ Joint with spouse	
			What did it cost: \$	
Annual dividend	rate:	%	Annual appreciation rate:	%
Dividends:			dend reinvestment program	
The average retur	,			acterize the fluctuations of this security:
	☐ Almost none	☐ Slight ☐ Sor	me □ Large □ Significant	☐ No fluctuations
Name of stock				
Owner:			☐ Joint with spouse	Community property
		•	What did it cost: \$	
	rate:	_	Annual appreciation rate:	%
Dividends:	☐ Received as of		dend reinvestment program	
The average retur	n of this security is a		due to market conditions. Please chara me	acterize the fluctuations of this security: $ \square \text{ No fluctuations} $
	_			_
Name of stock: _				
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	e: \$		What did it cost: \$	
	rate:		Annual appreciation rate:	
Dividends:	Received as		dend reinvestment program	
	_		1 0	acterize the fluctuations of this security:
Ü	☐ Almost none	☐ Slight ☐ Sor		☐ No fluctuations

Securities

Do not include	stock in your owr	business.		
Name of stock:				
Owner:	☐ You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	ue: \$		What did it cost: \$	
Annual dividend	d rate:	%	Annual appreciation rate:	%
Dividends:	☐ Received as	cash Divid	dend reinvestment program	
The average retu	,		due to market conditions. Please char me □ Large □ Significant	acterize the fluctuations of this security: No fluctuations
Name of stock:				
Owner:	☐ You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	ue: \$		What did it cost: \$	
Annual dividend	d rate:	%	Annual appreciation rate:	%
Dividends: The average retu	rn of this security is	a result of fluctuations	dend reinvestment program due to market conditions. Please char me	acterize the fluctuations of this security:
Name of stock:				
Owner:	☐ You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	ue: \$		What did it cost: \$	
Annual dividend	d rate:	%	Annual appreciation rate:	%
Dividends: The average retu	rn of this security is	a result of fluctuations	dend reinvestment program due to market conditions. Please char me 🔲 Large 🔲 Significant	acterize the fluctuations of this security:
Name of stock:				
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Fair market valu	ue: \$		What did it cost: \$	
Annual dividend	d rate:	%	Annual appreciation rate:	%
Dividends:	☐ Received as	cash Divid	dend reinvestment program	
The average retu	rn of this security is	a result of fluctuations	due to market conditions. Please char	acterize the fluctuations of this security:
	☐ Almost none	☐ Slight ☐ Sor	me 🗆 Large 🗀 Significant	☐ No fluctuations

Bonds

Name of bond:		
Owner: You	☐ Your spouse	☐ Joint with spouse ☐ Community property
Maturity (face) amount: \$ _		Matures in year:
Purchase price: \$		Market value: \$
Tax exempt?yes	no	Coupon interest income:%
Grade: US Government	□ AAA or Aaa □ AA or Aa	□A □ BBB, BB or Baa, Ba □ B or below
Name of bond:		
Owner: You	Your spouse	☐ Joint with spouse ☐ Community property
Maturity (face) amount: \$ _		Matures in year:
Purchase price: \$		Market value: \$
Tax exempt?yes	no	Coupon interest income:%
Grade: US Government	□AAA or Aaa □AA or Aa	□ A □ BBB, BB or Baa, Ba □ B or below
Name of bond:		
Owner: You	Your spouse	☐ Joint with spouse ☐ Community property
Maturity (face) amount: \$ _		Matures in year:
Purchase price: \$		Market value: \$
Tax exempt?yes	no	Coupon interest income:%
Grade: US Government	□AAA or Aaa □AA or Aa	□ A □ BBB, BB or Baa, Ba □ B or below
Name of bond:		
Owner: You	Your spouse	☐ Joint with spouse ☐ Community property
Maturity (face) amount: \$ _		Matures in year:
Purchase price: \$		Market value: \$
Tax exempt?yes	no	Coupon interest income:%
Grade: US Government	□ AAA or Aaa □ AA or Aa	□A □ BBB, BB or Baa, Ba □ B or below

Real Estate

Principal Residence: Do you own your home? __yes ___no ☐ Your spouse ☐ Joint with spouse ☐ Community property Owner: You Fair market value: \$ ______ Cost: \$ ______ Estimated appreciation rate: ______% Current mortgage balance: \$ ______ Interest rate for loan: _____% Monthly payment: \$ ______ The average appreciation of this residence is a result of fluctuations due to market conditions. Please characterize the fluctuations of this residence: ☐ Almost none ☐ Slight ☐ Some ☐ Large ☐ Significant ☐ No fluctuations **Secondary Residence:** Street name or location: ____ You Your spouse | Joint with spouse | Community property Owner: Fair market value: \$ _____ Cost: \$ _____ Estimated appreciation rate: _____% Current mortgage balance: \$ ______ Interest rate for loan: ______ % Monthly payment: \$ ______ The average appreciation of this residence is a result of fluctuations due to market conditions. Please characterize the fluctuations of this residence: ☐ Almost none ☐ Slight ☐ Some ☐ Large ☐ Significant ☐ No fluctuations **Other Real Estate:** Street name or location: _____ ☐ You ☐ Your spouse ☐ Joint with spouse ☐ Community property Owner: Is this an investment property? ____yes ____no Annual income: \$ _____ Fair market value: \$ _____ Cost: \$ _____ Estimated appreciation rate: _____% Current mortgage balance: \$ ______ Interest rate for loan: ______ % Monthly payment: \$ ______ The average appreciation and income of this real estate is a result of fluctuations due to market conditions. Please characterize the fluctuations of this real estate: Almost none Slight Some Large Significant No fluctuations Street name or location: ___ ☐ Your spouse ☐ Joint with spouse ☐ Community property You Is this an investment property? ____yes ____no Annual income: \$ _____

Fair market value: \$ ______ Cost: \$ _____ Estimated appreciation rate: _____%

Current mortgage balance: \$ _______ Interest rate for loan: _______ % Monthly payment: \$ ______ The average appreciation and income of this real estate is a result of fluctuations due to market conditions. Please characterize the fluctua-

☐ Some ☐ Large ☐ Significant ☐ No fluctuations

tions of this real estate: Almost none Slight

Other Real Estate

Street name or location:		
Owner: You	☐ Your spouse	☐ Joint with spouse ☐ Community property
Is this an investment property?	yesno	Annual income: \$
Fair market value: \$	Cost: \$	Estimated appreciation rate:%
Current mortgage balance: \$	Interest rate for	or loan:% Monthly payment: \$
The average appreciation and incom	ne of this real estate is a result of f	fluctuations due to market conditions. Please characterize the
fluctuations of this real estate:	☐ Almost none ☐ Slight	☐ Some ☐ Large ☐ Significant ☐ No fluctuations
Street name or location:		
Owner: You	☐ Your spouse	☐ Joint with spouse ☐ Community property
Is this an investment property?	yesno	Annual income: \$
Fair market value: \$	Cost: \$	Estimated appreciation rate:%
Current mortgage balance: \$	Interest rate for	or Ioan:% Monthly payment: \$
9 11		fluctuations due to market conditions. Please characterize the Some Large Significant No fluctuations
Street name or location:		
Owner: You	☐ Your spouse	☐ Joint with spouse ☐ Community property
Is this an investment property?	yesno	Annual income: \$
Fair market value: \$	Cost: \$	Estimated appreciation rate:%
Current mortgage balance: \$	Interest rate for	or Ioan:% Monthly payment: \$
The average appreciation and incom	ne of this real estate is a result of f	fluctuations due to market conditions. Please characterize the
fluctuations of this real estate:	☐ Almost none ☐ Slight	☐ Some ☐ Large ☐ Significant ☐ No fluctuations
Street name or location:		
Owner: You	☐ Your spouse	☐ Joint with spouse ☐ Community property
Is this an investment property?	yesno	Annual income: \$
Fair market value: \$	Cost: \$	Estimated appreciation rate:%
Current mortgage balance: \$	Interest rate fo	or loan:% Monthly payment: \$
0 11		fluctuations due to market conditions. Please characterize the

Business Assets

Business	/ Farm name or	description:		
Address: _				
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Cost: \$ _		Fair market v	ralue of the share owned: \$ _	
Annual inc	come other than sala	ary from the business: \$		
Estimated	annual growth rate	for the next 10 years:	%	
What do)	you want to happen	to this business/farm:		
If you	are disabled?			
At yo	ur retirement?			
At yo	ur death?			
Does this	business or farm qu	alify as a family business?	yesno (see rules be	elow)
The average business:	-	of this business is a result of fluc ☐ Slight ☐ Some		ns. Please characterize the fluctuations of this No fluctuations
Business	/ Farm name or	description:		
Address: _				
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Cost: \$ _		Fair market v	value of the share owned: $\$ _	
Annual inc	come other than sala	ary from the business: \$		
Estimated	annual growth rate	for the next 10 years:	%	
What do y	you want to happen	to this business/farm:		
If you	are disabled?	_		
At yo	ur retirement?	_		
At yo	ur death?	_		
Does this	business or farm qu	alify as a family business?	yesno (see rules be	elow)
The average business:	e income and growth Almost none	of this business is a result of fluc ☐ Slight ☐ Some	tuations due to market condition Large Significant	ns. Please characterize the fluctuations of this No fluctuations
There and Here and I. T. 2. T. 3. F.	e the requirements The business has ope The value of the busi amily members own	lerations for businesses that a for classification as a family be arated in five of the last eight iness is more than 50% of your over 50% of the business. I inherit the business.	years.	ess.

These are just general rules for consideration as a family business; additional rules apply when two or three families own the majority of the business. Consult your attorney or tax advisor for further information on family business treatment.

Annuities

Do not inclu	de annuities that ar	e part of an IRA or employer	sponsored retirement plan (4	01(k),TSA, etc.).
Description (or name of annuity:			
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Current valu	e:\$	Cost basis: \$	Annual de	posits: \$
Estimated an	nual interest rate:_	%		
Do you plan	on receiving incom	e during your lifetime from th	nis annuity?yesr	10
At what age	do you expect to s	tart receiving income from th	nis annuity?	
Preferred set	ttlement option:		☐ Life + 10 years certain☐ Other:	
The average re	eturn of this annuity is □Almost none			rize the fluctuations of this annuity: No fluctuations
Description (or name of annuity:			
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Current valu	e:\$	Cost basis: \$	Annual de	posits: \$
Estimated an	nual interest rate:_	%		
Do you plan	on receiving incom	e during your lifetime from th	nis annuity?yesr	10
At what age	do you expect to s	tart receiving income from th	is annuity?	
Preferred set	ttlement option:	•	Life + 10 years certain Other:	
The average re	,		narket conditions. Please character Large Significant	rize the fluctuations of this annuity: No fluctuations
Description (or name of annuity:			
Owner:	You	☐ Your spouse	☐ Joint with spouse	☐ Community property
Current valu	e:\$	Cost basis: \$	Annual de	posits: \$
Estimated an	nual interest rate:_	%		
Do you plan	on receiving incom	e during your lifetime from th	nis annuity?yesr	00
At what age	do you expect to s	tart receiving income from th	is annuity?	
Preferred set	ttlement option:	☐ Life only ☐ Joint + 50% survivor	Life + 10 years certain Other:	☐ Joint life
The average re	eturn of this annuity is		narket conditions. Please character	rize the fluctuations of this annuity: No fluctuations

Traditional IRAs, Roth IRAs, and Rollover IRAs

Description or name of account: _				Participant:	∐ You	
Type of retirement plan:	eductible IRA	☐ Roth IRA		☐ Rollover IR	Α	
Value of this account: \$ Estim			ual growth ra	ate:	%	
Your annual contribution: \$		How many ye	ars will you c	ontinue to con	tribute? _	
At what age do you expect to sta	rt receiving income	from this plan?				
The average growth of this qualified pqualified plan:		ations due to mai ☐ Some	rket conditions	s. Please character Significant		ctuations of this fluctuations
Description or name of account: _				Participant:	☐ You	☐ Your spouse
Type of retirement plan:	eductible IRA	☐ Roth IRA		☐ Rollover IR	A	
Value of this account: \$		Estimated ann	ual growth ra	ate:	%	
Your annual contribution: \$		How many ye	ars will you c	ontinue to con	tribute? _	
At what age do you expect to sta	rt receiving income	from this plan?				
The average growth of this qualified pqualified plan:		nations due to man ☐ Some	rket conditions	s. Please character		ctuations of this fluctuations
Description or name of account: _				Participant:	☐ You	☐ Your spouse
Type of retirement plan:	eductible IRA	☐ Roth IRA		☐ Rollover IR	А	
Value of this account: \$		Estimated ann	ual growth ra	ate:	%	
Your annual contribution: \$		How many ye	ars will you c	ontinue to con	tribute? _	
At what age do you expect to sta	rt receiving income	from this plan?				
The average growth of this qualified pqualified plan:		ations due to mai ☐ Some	rket conditions	s. Please characte ☐ Significant		ctuations of this fluctuations
Description or name of account: _				Participant:	☐ You	☐ Your spouse
Type of retirement plan:	eductible IRA	☐ Roth IRA		☐ Rollover IR	А	
Value of this account: \$		Estimated ann	ual growth ra	ate:	%	
Your annual contribution: \$		How many ye	ars will you c	ontinue to con	tribute? _	
At what age do you expect to sta	rt receiving income	from this plan?				
The average growth of this qualified p	olan is a result of fluctu	iations due to mai	ket conditions	s. Please character	ize the flu	ctuations of this
qualified plan:	t none 🔲 Slight	☐ Some	☐ Large	☐ Significant	□No	fluctuations

Traditional IRAs, Roth IRAs, and Rollover IRAs

Description or name of accou	ınt:			Participant:	☐ You	☐ Your spouse
Type of retirement plan:	Deductible IRA	☐ Roth IRA		☐ Rollover IR	Д	
Value of this account: \$		Estimated annu	ual growth ra	ate:	%	
Your annual contribution: \$ _		How many yea	ars will you o	continue to cont	ribute? _	
At what age do you expect to	start receiving income	from this plan? _				
The average growth of this qualif qualified plan: □AI	ied plan is a result of fluctua most none ☐ Slight		ket condition: □ Large	s. Please character ☐ Significant		ctuations of this fluctuations
Description or name of accou	ınt:			Participant:	☐ You	☐ Your spouse
Type of retirement plan:	Deductible IRA	☐ Roth IRA		☐ Rollover IR	Д	
Value of this account: \$		Estimated annu	ual growth ra	ate:	%	
Your annual contribution: \$ _		How many yea	ars will you o	continue to cont	ribute? _	
At what age do you expect to	start receiving income	from this plan? _				
The average growth of this qualif qualified plan: □AI	ied plan is a result of fluctua most none	ations due to mar Some	ket condition:	s. Please character ☐ Significant		ctuations of this fluctuations
Description or name of accou	ınt:			Participant:	☐ You	☐ Your spouse
Type of retirement plan:	Deductible IRA	☐ Roth IRA		☐ Rollover IR	Д	
Value of this account: \$		Estimated annu	ual growth ra	ate:	%	
Your annual contribution: \$ _		How many years will you continue to contribute?				
At what age do you expect to	start receiving income	from this plan? _				
The average growth of this qualified plan:	ied plan is a result of fluctua most none	ations due to mar Some	ket condition:	s. Please character		ctuations of this fluctuations
Description or name of accou	ınt:			Participant:	☐ You	☐ Your spouse
Type of retirement plan:	Deductible IRA	☐ Roth IRA		☐ Rollover IR	Д	
Value of this account: \$		Estimated annu	ual growth ra	ate:	%	
Your annual contribution: \$ _		How many yea	ars will you o	continue to cont	ribute? _	
At what age do you expect to	start receiving income	from this plan? _				
The average growth of this qualif						

Retirement Plans

Qualified retirement plans such as a 401(k), 403(b), profit sharing, defined benefit or other pension plans. Description or name of account: Participant: You Your spouse ☐ Profit sharing Type of retirement plan: ☐ Salary reduction (401(k), 403(b), etc.) ☐ Defined contribution □ Other: Estimated annual growth rate: ______% Value of this account: \$ _____ Your annual contribution: \$ _____ How many years will you continue to contribute? _____ Employer's contribution: \$ _____ How many years will employer continue to contribute? _____ At what age do you expect to start receiving income from this plan? ___ The average growth of this qualified plan is a result of fluctuations due to market conditions. Please characterize the fluctuations of this qualified plan: ☐ Almost none ☐ Slight ☐ Some □ Large ☐ Significant ☐ No fluctuations Participant: You Your spouse Description or name of account: Type of retirement plan: Salary reduction (401(k), 403(b), etc.) ☐ Profit sharing ☐ Defined contribution Other: _____ Value of this account: \$ _____ Estimated annual growth rate: ______% Your annual contribution: \$ _____ How many years will you continue to contribute? _____ Employer's contribution: \$ ______ How many years will employer continue to contribute? _____ At what age do you expect to start receiving income from this plan? ___ The average growth of this qualified plan is a result of fluctuations due to market conditions. Please characterize the fluctuations of this qualified plan: ☐ Almost none ☐ Slight ☐ Some □ Large ☐ Significant ☐ No fluctuations Type of retirement plan: Salary reduction (401(k), 403(b), etc.) Profit sharing ☐ Defined contribution ☐ Other: Estimated annual growth rate: ______% Value of this account: \$ ____ Your annual contribution: \$ _____ How many years will you continue to contribute? _____ Employer's contribution: \$ _____ How many years will employer continue to contribute? _____ At what age do you expect to start receiving income from this plan? _____ The average growth of this qualified plan is a result of fluctuations due to market conditions. Please characterize the fluctuations of this qualified plan: ☐ Almost none ☐ Slight ☐ Some □ Large ☐ Significant ☐ No fluctuations Notes (Give details regarding any defined benefit plans, etc.):

Deferred Compensation

Non-qualified deferred compensation, salary continuation, or executive bonus plans.

You:		How many years will
Expected annual payment: \$	_Age when payments start:	
Will remaining payments continue after your death?	yesno	
If yes,		
Expected annual payment: \$	How many years will payments	s be made?
To whom will these payments be made?		
The average deferred compensation benefit is a result of benefit:	fluctuations due to market conditions. Pleas some	
Your spouse:		How many years will
Expected annual payment: \$	Age when payments start:	
Will remaining payments continue after your spouse	e's death?yesno	
If yes,		
Expected annual payment: \$	How many years will payments	s be made?
To whom will these payments be made?		
The average deferred compensation benefit is a result of benefit:	fluctuations due to market conditions. Pleas iome	
Notes:		

Personal Property & Other Assets

Personal property:

Personal prope	rty includes assets	such as hous	sehold furnis	hings, clothes,	automobiles, bo	ats, collectibles, jewelry, etc.	
What is the val	ue of:						
Prope	rty owned jointly v	with spouse?	\$_				
Your p	personal property?		\$_				
Your s	pouse's personal p	property?	\$_				
Other assets	•						
Assets not listed	d elsewhere.						
Brief description	n or name:						
Owner:	You	☐ Your s	spouse	☐ Join	t with spouse	☐ Community property	,
Fair market valu	ue: \$		Co:	st: \$			
		_		(Not incluarket conditions	ding income earning s. Please characteri	appreciation rate:s.) ize the fluctuations of this asset: \[\sum \text{No fluctuations} \]	%
Other commer	nts about this item:						
Brief description	n or name:						
Owner:	You	☐ Your s	spouse	☐ Join	t with spouse	☐ Community property	
Fair market valu	ue: \$		Co:	st: \$			
				(Not inclu	ding income earning	appreciation rate:s.) ize the fluctuations of this asset:	%
The average retu	Almost none	Slight	Some	Large	☐ Significant	☐ No fluctuations	
Other commer	nts about this item:	:					

Life Insurance Policies

Insured:	Company name or description:
☐ Community property ☐ Trust	☐ Joint with spouse ☐ Other:
,	Relationship:
	Cash value: \$
Planned annual premium: \$	
Insured:	Company name or description:
Owner: You Your spouse Trust	☐ Joint with spouse ☐ Other:
Beneficiary:	Relationship:
Face amount: \$	Cash value: \$
Planned annual premium: \$	
Insured:	Company name or description:
Owner: You Your spouse Community property Trust	·
	☐ Other: Relationship:
•	Cash value: \$
Planned annual premium: \$	
'	
Insured:	Company name or description:
Owner: You Your spouse	☐ Joint with spouse
Community property Trust	Other:
	Relationship: Cash value: \$
Planned annual premium: \$	
Notes (Include information for purpose, policy loans, termi	nation of coverage, etc.):

Disability Income Insurance

Policy or memo:			insurea:			
Annual premium: \$		Monthly benefit	: \$	or perc	ent of salary:	%
Elimination period:	☐ 30 Days	☐ 90 Days	☐ 180 Days	☐ 365 Days		
Benefit period:	☐ 2 Years	5 Years	☐ Age 65	Life	COLA:	%
Policy or memo:			Insured:			
Annual premium: \$		Monthly benefit	: \$	or perc	ent of salary:	%
Elimination period:	☐ 30 Days	☐ 90 Days	☐ 180 Days	☐ 365 Days		
Benefit period:	2 Years	5 Years	☐ Age 65	Life	COLA:	%
Policy or memo:			Insured:			
Annual premium: \$		Monthly benefit	: \$	or perc	ent of salary:	%
Elimination period:	☐ 30 Days	☐ 90 Days	☐ 180 Days	☐ 365 Days		
Benefit period:	2 Years	5 Years	☐ Age 65	Life	COLA:	%
Long Ter	m Care	e Insurc	ince			
Policy or memo:			Insured:			
Annual premium: \$		Monthly benefit	: \$			
Elimination period:	☐ 30 Days	☐ 90 Days	☐ 180 Days	☐ 365 Days		
Benefit period:	2 Years	5 Years	☐ Age 65	Life	COLA:	%
Other benefits:						
Benefits included:	☐ Nursing ho	ome benefits	☐ Home heal	th care benefits		
Policy or memo:			Insured:			
Annual premium: \$		Monthly benefit	: \$			
Elimination period:	☐ 30 Days	☐ 90 Days	☐ 180 Days	☐ 365 Days		
Benefit period:	☐ 2 Years	5 Years	☐ Age 65	Life	COLA:	%
Other benefits:						
Benefits included:	☐ Nursing ho	ome benefits	☐ Home heal	th care benefits		

Living Expenses

Include living expenses not accounted for elsewhere. **Do not** include expenses for investments, gifts, or payments for a debt or mortgage.

	Monthly Expenses	or	Annual Expenses	Average Annual Increase	Continuing After First Death (0 to 100%)
Household:	\$	_ \$		%	%
Child care:	\$	_ \$		%	%
Transportation total:	\$	_ \$		%	%
Food:	\$	_ \$		%	%
Clothing:	\$	_ \$		%	%
Furnishings:	\$	_ \$		%	%
Personal care & cash:	\$	_ \$		%	%
Medical/Dental/Rx:	\$	_ \$		%	%
Education:	\$	_ \$		%	%
Entertainment:	\$	_ \$		%	%
Vacation:	\$	_ \$		%	%
Property Taxes:	\$	_ \$		%	%
Other:	\$	_ \$		%	%
Other:	\$	_ \$		%	%
Other:	\$	_ \$		%	%
Total Expenses:	\$	_ \$		_	
Notes:					

Personal Liabilities

Debts other than the mortgages already described. Description of debt or liability: Who is responsible for debt: You Your spouse ☐ Joint with spouse Current amount of debt: \$ ______ Interest rate: ______ % Monthly payment: \$ ______ Description of debt or liability: Who is responsible for debt: \square You \square Your spouse \square Joint with spouse Current amount of debt: \$ ______ Interest rate: ______ % Monthly payment: \$ ______ **Equity account:** Name or description: _____ Credit limit: \$ _____ Who is responsible for debt: You Your spouse Joint with spouse Current amount of debt: \$ ______ Interest rate: ______ % Monthly payment: \$ ______ Is interest income tax deductible? ____yes ____no Name or description: ______ Credit limit: \$ _____ Who is responsible for debt: You Your spouse Joint with spouse Current amount of debt: \$ ______ Interest rate: ______ % Monthly payment: \$ ______ Is interest income tax deductible? ____yes ____no Credit card debts: Credit card name or description: ______ Credit limit: \$ _____ Current amount of debt: \$ ______ Interest rate: ______% Monthly payment: \$ ______ Credit card name or description: ______ Credit limit: \$ _____ Who is responsible for debt: You Your spouse Joint with spouse Current amount of debt: \$ ______ Interest rate: ______ % Monthly payment: \$ ______ Credit card name or description: _____ Credit limit: \$ _____ Who is responsible for debt: \(\sum \) You \(\sum \) Your spouse \(\sum \) Joint with spouse Current amount of debt: \$ ______ Interest rate: ______ % Monthly payment: \$ ______

Your Prior Planning

You:	
Do you have a will?yesno	
If yes:	
Charitable bequests: \$	Bequests to persons other than surviving spouse: \$
What does the will do with the remaining	g estate after the above are considered?
Leaves everything to surviving s	spouse, otherwise to children
Leaves everything to children, g	randchildren or others
Uses trusts to take advantage o (Often called Marital/Family or A-B tr	• •
Tries to use the applicable crediremainder to spouse	t amount without a trust,
Leaves everything to someone	other than surviving spouse
Notes:	
Your Spouse:	
Does your spouse have a will?yes	no
If yes:	
Charitable bequests: \$	Bequests to persons other than surviving spouse: \$
What does the will do with the remaining	g estate after the above are considered?
Leaves everything to surviving s	spouse, otherwise to children
Leaves everything to children, g	randchildren or others
Uses trusts to take advantage o	• •
Tries to use the applicable crediremainder to spouse	t amount without a trust,
Leaves everything to someone	other than surviving spouse
Notes:	
Prior Gifts	
Have you made any gifts that required filing a	a gift tax return?yesno
, - , - , - , - , - , - , - , - , - , -	Total taxes paid on these gifts: \$
Has your spouse made any gifts that require	•
	Total taxes paid on these gifts: \$

Comments

Please list any other items to be considered or explain any prior answers. Be sure to include special expenses, specific needs existing agreements, expected inheritances, existing trusts, and special bequests.				