

Today's Date: \_\_\_\_\_

**Sterling Wealth Advisors, Inc.**  
**Personal Financial Planning Profile**

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

**General Information**

Client's Name: \_\_\_\_\_ Co-Client's Name: \_\_\_\_\_  
Birth date: \_\_\_\_\_ Birth Date: \_\_\_\_\_  
Social Sec. #: \_\_\_\_\_ Social Sec. #: \_\_\_\_\_  
DL# \_\_\_\_\_ DL# \_\_\_\_\_  
DL Issue Date: \_\_\_\_\_ Exp: \_\_\_\_\_ DL Issue Date: \_\_\_\_\_ Exp: \_\_\_\_\_  
Citizenship: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Address: \_\_\_\_\_  
County: \_\_\_\_\_  
Phone #s: \_\_\_\_\_ (home) \_\_\_\_\_ (work/Client) \_\_\_\_\_ (work/Co-Client)  
Fax #: \_\_\_\_\_ e-mail: \_\_\_\_\_ other: \_\_\_\_\_  
Job Title/Work Address: (Client) \_\_\_\_\_  
Job Title/Work Address: (Co-Client) \_\_\_\_\_  
If you own a business, please provide the Federal EIN: \_\_\_\_\_  
Please circle one:    Single    Married    Divorced    Widowed    Domestic Partner

**Children:**

Name	Address	Birthdate	Social Sec. #
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Client: Prior Marriages    # \_\_\_\_\_ Children from: \_\_\_\_\_  
Co-Client: Prior Marriages    # \_\_\_\_\_ Children from: \_\_\_\_\_

**Grandchildren:**

Number of Grandchildren: \_\_\_\_\_  
Grandchildren's Ages: \_\_\_\_\_

Are your parents living? Please check below if yes:

**Client:** Mother \_\_\_\_\_ Father \_\_\_\_\_      **Co-Client:** Mother \_\_\_\_\_ Father \_\_\_\_\_

**Client**

**Co-Client**

Please check:  Employed  Self-Employed  
 Retired

Employed  Self-Employed  
 Retired

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

\_\_\_\_\_

Employer: \_\_\_\_\_

\_\_\_\_\_

**Financial Planning Priorities and Goals**

What are your three most important financial concerns or goals?

- 1. \_\_\_\_\_  
\_\_\_\_\_
- 2. \_\_\_\_\_  
\_\_\_\_\_
- 3. \_\_\_\_\_  
\_\_\_\_\_

**Assets** *Please estimate the value of the following:*

Checking Accounts \_\_\_\_\_

Retirement Accounts \_\_\_\_\_  
(includes IRAs, 401(k)s, 403(b)s, annuities, etc.)

Savings Accounts \_\_\_\_\_

Your Home \_\_\_\_\_

CDs, Savings Bonds \_\_\_\_\_

(estimated fair market value)

Brokerage Accounts \_\_\_\_\_  
(includes stocks, bonds, mutual funds,  
money market accounts, etc.)

Other Real Estate \_\_\_\_\_

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

**Liabilities** *Please estimate the current balance of the following:*

Primary Mortgage \_\_\_\_\_

Education Loans \_\_\_\_\_

Other Mortgages \_\_\_\_\_

Credit Card Balances \_\_\_\_\_  
(list only if they are not paid off monthly)

Auto Loans \_\_\_\_\_

Alimony \_\_\_\_\_

Home Equity Loan \_\_\_\_\_

Other Debts \_\_\_\_\_

**Annual Earned Income**

**Client**

**Co-Client**

Salary \_\_\_\_\_

Salary \_\_\_\_\_

Commission \_\_\_\_\_

Commission \_\_\_\_\_

Bonus \_\_\_\_\_  
Social Security \_\_\_\_\_  
Pension \_\_\_\_\_  
Other Income \_\_\_\_\_

Bonus \_\_\_\_\_  
Social Security \_\_\_\_\_  
Pension \_\_\_\_\_  
Other Income \_\_\_\_\_

Is income fairly consistent and reliable?

Yes No

Yes No

### Contributions

Are you contributing on a regular basis to a retirement plan such as an IRA, 401(k), 403(b), etc.?

Client: Yes No

Co-Client Yes No

### Estate Planning

Do you have a will(s)? Yes No

Do you have any trusts? Yes No

Please list your current professional advisors:

Are you pleased  
with their service?

Phone #

Accountant: \_\_\_\_\_

Yes No

\_\_\_\_\_

Attorney: \_\_\_\_\_

Yes No

\_\_\_\_\_

Brokerage Co: \_\_\_\_\_  
(and broker)

Yes No

\_\_\_\_\_

Insurance Co: \_\_\_\_\_  
(and agent)

Yes No

\_\_\_\_\_

Bank: \_\_\_\_\_

Yes No

\_\_\_\_\_

Other: \_\_\_\_\_

Yes No

\_\_\_\_\_

### Insurance

How much life insurance do you have? What type of insurance is it?

Client

Co-Client

\$ \_\_\_\_\_

\$ \_\_\_\_\_

Type \_\_\_\_\_

Type \_\_\_\_\_

Do you (both) have health insurance? Yes No

Do you (both) have disability insurance? Yes No

Do you have auto insurance? Yes No

Do you have homeowner's insurance? Yes No

Do you have an umbrella liability policy?      Yes      No

**Other Information**

Do you follow a budget?      Yes      No

What do you expect to earn on your investments?

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

Have you ever been unhappy with the recommendations of a stockbroker, insurance agent, and/or financial advisor or consultant? \_\_\_\_\_ If yes, please explain:

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Who may we thank for your referral? \_\_\_\_\_

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

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**On a Personal Note:**

What do you like to do with your free time? \_\_\_\_\_

What brings you the most happiness? \_\_\_\_\_

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Where in the world would you like to travel most? \_\_\_\_\_

Please bring to the meeting the following: (1) your previous 3 years' tax returns (federal only), (2) most recent statements for your brokerage/investment accounts, IRAs, 401(k)s, 403(b)s, pensions, etc., (3) a recent pay stub for client and co-client, and (4) any other pertinent information.

**Thank You!**