

FORM 1.02

Preliminary Client Data

This form is used by the financial planner to summarize basic information on a prospective or new client. Income and balance sheet information typically represent client estimates, which must be more carefully analyzed before any recommendations are made. (See ¶ 1.02.)

Client Name: **Date:**, 20

1. Address:
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2. Telephone: Home:(.....) Office:(.....)

3. Marital status:

4. Ages: Client: Spouse:

5. Dependents: Number Ages:

6. Employer/occupation:

Client:

Spouse:

7. Approximate annual income:

Client: Earned: \$ Passive: \$

Spouse: Earned: \$ Passive: \$

8. Approximate personal balance sheet:

<u>Assets</u>		<u>Liabilities and Net Worth</u>	
Cash	\$	Liabilities	\$
Personal residence	Net worth (assets	
Investments	less liabilities)
Other (all sources)		
Total	<u>\$</u>	Total	<u>\$</u>

9. Specific matters of concern to the client:

General planning issues
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Recordkeeping and personal financial statements
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Insurance
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Borrowing and credit
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Capital accumulation, including equity, interest-earning, and real estate investments
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Tax planning
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Retirement planning
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Estate planning
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General observations and next steps to be taken
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