CONFIDENTIAL PROFILE

CARSON WEALTH
MANAGEMENT GROUP

CONFIDENTIAL PROFILE

This comprehensive, personal wealth planning summary is designed to help you take inventory and assign realistic values to your personal assets and liabilities. It is the essential first step in organizing a sensible wealth plan for your future. Once you have completed the following information, please return this packet in the enclosed, postage-paid envelope.

FAMILY INFORMATION

Your Name | Nick Name | Age | Birth Date | Social Security # (Optional)

Spouse's Name | Nick Name | Age | Birth Date | Social Security # (Optional)

Wedding Date:

Children's Names & Birth Dates:

1) ____________ 3) ____________ 5) ____________

2) ____________ 4) ____________ 6) ____________

Residence Address | City | State | Zip Code

Mailing Address | City | State | Zip Code

Home Phone | Cell #1 | Cell #2 | Fax

E-mail #1 | E-mail #2

Referred By ____________ Client Name ☐ TV ☐ Radio ☐ Print ____________ Publication

OCCUPATION

Your Job Title | Employer (last, if retired) | # of Years | Work Phone | Retirement Date

Spouse's Job Title | Employer (last, if retired) | # of Years | Work Phone | Retirement Date

PERSONAL ADVISORS

Financial Advisor's Name: ____________ Firm: ____________

Length of Relationship: ____________ Phone: ____________

Are you committed to working with this advisor? ☐ Yes ☐ No E-mail: ____________

Attorney's Name: ____________ Firm: ____________

Length of Relationship: ____________ Phone: ____________

Are you committed to working with this advisor? ☐ Yes ☐ No E-mail: ____________

Accountant's Name: ____________ Firm: ____________

Length of Relationship: ____________ Phone: ____________

Are you committed to working with this advisor? ☐ Yes ☐ No E-mail: ____________

Insurance Agent's Name: ____________ Firm: ____________

Length of Relationship: ____________ Phone: ____________

Are you committed to working with this advisor? ☐ Yes ☐ No E-mail: ____________

WHAT IS IMPORTANT ABOUT MONEY TO EACH OF YOU?

1)

2)

3)

4)

1)

2)

3)

4)

DO YOU HAVE AN INVESTMENT POLICY?

Please share that here.

WEALTH PLANNING

At Carson Wealth Management Group, we focus on holistic Wealth Planning which also encompasses non-financial objectives. A Wealth Plan is a GPS designed to effectively guide you toward your life goals.

What do you value most in life?

What do you ultimately want to achieve in your life?

What is the vision for your future?

OBJECTIVES & CONCERNS

General

Are you anticipating any major lifestyle changes? ☐ Yes ☐ No ☐ Uncertain
(i.e., marriage, divorce, retirement, move, etc.)

If yes, what changes are you expecting and when? ______________________________

Are you comfortable with your current cash flow? ☐ Yes ☐ No ☐ Uncertain

Retirement Planning

What minimum after-tax income will you need at retirement (in today's dollars)? $______________________

If you plan on working during retirement, estimate your anticipated income: $______________________

Are you contributing to a traditional IRA? ☐ Yes ☐ No ☐ Uncertain

Are you contributing to a Roth-IRA? ☐ Yes ☐ No ☐ Uncertain

Are you covered by any company retirement plans? ☐ Yes ☐ No ☐ Uncertain

Type of company retirement plan, value, and annual contribution? ______________________________

Protection

Do you have adequate disability coverage?	Amount? $__________	☐ Yes ☐ No ☐ Uncertain
Do you have adequate personal liability coverage?	Amount? $__________	☐ Yes ☐ No ☐ Uncertain
Do you have enough life insurance?	Amount? $__________	☐ Yes ☐ No ☐ Uncertain
Do you have long-term care insurance for home health care?	Amount? $__________	☐ Yes ☐ No ☐ Uncertain
Do you have long-term care insurance for assisted living?	Amount? $__________	☐ Yes ☐ No ☐ Uncertain
Is employer-provided health insurance available during retirement?	Amount? $__________	☐ Yes ☐ No ☐ Uncertain

Estate Planning

When were your current wills/trusts signed? ______________________________

Have you established any trusts? ☐ Yes ☐ No ☐ Uncertain

Are you the beneficiary of any trusts? ☐ Yes ☐ No ☐ Uncertain

Have you adequately planned for estate taxes? ☐ Yes ☐ No ☐ Uncertain

Have you provided adequate estate liquidity for your heirs? ☐ Yes ☐ No ☐ Uncertain

Have you planned your legacy? ☐ Yes ☐ No ☐ Uncertain

Concerns

Please list your current concerns, financial or otherwise: ______________________________

RISK PROFILE

Please check the appropriate response for each question.

1. What is your investment experience with stocks or stock mutual funds?
   - ☐ None
   - ☐ A little
   - ☐ Some
   - ☐ A fair amount
   - ☐ A great deal

2. What is your investment experience with bonds or bond mutual funds?
   - ☐ None
   - ☐ A little
   - ☐ Some
   - ☐ A fair amount
   - ☐ A great deal

3. What is your investment goal?
   - ☐ Retirement
   - ☐ More current income
   - ☐ Saving for major purchase
   - ☐ Other

4. How many years do you have until your expected retirement?
   - ☐ Already retired
   - ☐ Less than 5 years
   - ☐ 5 to 10 years
   - ☐ More than 10 years

5. What do you expect to be your next major expenditure?
   - ☐ Buying a house Amount ____________ Timing ____________
   - ☐ Paying for a college education Amount ____________ Timing ____________
   - ☐ Capitalizing a new business Amount ____________ Timing ____________
   - ☐ Providing for retirement Amount ____________ Timing ____________
   - ☐ Other ____

6. What are your major objectives for your investments, in order of importance? (Rank 1 to 5)
   - ______ Current and future income
   - ______ Preserving capital
   - ______ Building wealth for heirs
   - ______ Keeping ahead of inflation
   - ______ Increasing returns

7. When do you expect to use the bulk of the money you are accumulating in your investments?
   - ☐ 0 to 1 year
   - ☐ 1 to 5 years
   - ☐ 5 to 10 years
   - ☐ 10 to 20 years

8. Over the next several years, do you expect your household annual income to:

- ☐ Stay about the same
- ☐ Grow moderately
- ☐ Grow substantially
- ☐ Decrease moderately
- ☐ Decrease substantially

9. I am expecting an inheritance of approximately $______________ in

- ☐ 0 to 5 years
- ☐ 5 to 10 years
- ☐ 10 to 15 years
- ☐ More than 15 years

10. Due to a general market correction, one of your investments loses 25% of its value a short time after you buy it. What do you do?

- ☐ Sell the investment
- ☐ Hold it and wait for it to climb back up then sell
- ☐ Hold it
- ☐ Buy more at the new lower price

11. Some people need their investment portfolio to generate current income to meet on-going needs. This typically tilts the investment portfolio toward bonds and dividend paying stocks. How accurately does this describe your objectives?

- ☐ Very accurate
- ☐ Moderately accurate
- ☐ Slightly accurate
- ☐ Not accurate at all

12. You have just reached the $10,000 plateau on a TV game show. Now you must choose between quitting with the $10,000 in hand or betting the entire $10,000 on one of the three scenarios below. Which do you choose?

- ☐ Take the money and run
- ☐ A 50% chance of winning $50,000
- ☐ A 20% chance of winning $75,000
- ☐ A 5% chance of winning $100,000

13. How large of a temporary decline in your portfolio are you willing to accept before changing your investment strategy, assuming you start with $100,000?

- ☐ 10% decline (portfolio value is $90,000)
- ☐ 15% decline (portfolio value is $85,000)
- ☐ 20% decline (portfolio value is $80,000)
- ☐ 25% decline or greater (portfolio value is $75,000 or less)
- ☐ 50% decline or greater (portfolio value is $50,000 or less)

14. By what percentage do you expect your portfolio to grow annually over the long term, 10+ years?

- ☐ 0% - 2%
- ☐ 2% - 4%
- ☐ 4% - 6%
- ☐ 6% - 8%
- ☐ More than 8%

____

Signature

____

Print

____

Date

FAMILY BALANCE SHEET

Investment account statements or summaries can be substituted for this page.

ASSETS

Investments (Non-Retirement)

Stocks $______________________

Bonds $______________________

Mutual Funds $______________________

Other $______________________

Investments (Retirement)

IRA $______________________

Roth-IRA $______________________

401(k)/403(b) $______________________

Defined Benefit $______________________

Profit Sharing $______________________

Other $______________________

Business

Business Value $______________________

Entity Type ______________________

Real Estate

Residence $______________________

2nd Home $______________________

Rental Property $______________________

Land $______________________

Other ______________________

____

LIABILITIES

Short-Term

		Interest Rate
Credit Cards, Notes	$__________	__________
Personal Loan	$__________	__________

Long-Term

Home Mortgage	$__________	__________
Second Mortgage	$__________	__________
Business	$__________	__________

Additional Property $______________________

Other ______________________

____

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FAMILY INCOME STATEMENT

ANNUAL INCOME

Client Income

Earned $________________

Investment $________________

Social Security $________________

Pension $________________

Other $________________

Total **$**________________

Spouse Income

Earned $________________

Investment $________________

Social Security $________________

Pension $________________

Other $________________

Total **$**________________

ANNUAL EXPENSES

Expenses

Fixed $________________

Variable $________________

Total **$**________________

RISK PROFILE

How can we help you? On a scale of 1 to 10 (1 being low and 10 being high) please rate the following:

______________ Increase my net worth by ____________ %

______________ Reduce my tax burden

______________ Pay education expenses for my children

______________ Financial security at retirement

______________ Purchase real estate

______________ Plan for long-term care

______________ Provide for my family in the event of my (or my spouse's) disability or death

______________ Minimize the cost of probate and estate taxes

______________ Control the distribution of assets to my heirs

______________ Fund a charitable endeavor

List other goals

1) ____

2) ____

3) ____

If you could change three things about your current financial situation, what would you change?

1) ____

2) ____

3) ____

Investment Goals	**Priority Level**				
Return should exceed inflation rate	None	Low	Medium	High	Urgent
Principal should be safe	None	Low	Medium	High	Urgent
Investments should be liquid (immediately accessible)	None	Low	Medium	High	Urgent
Diversification is important	None	Low	Medium	High	Urgent
Professional asset management	None	Low	Medium	High	Urgent
Reduce my taxable income	None	Low	Medium	High	Urgent
Build tax-free income	None	Low	Medium	High	Urgent
Long-term growth	None	Low	Medium	High	Urgent
Short-term profits	None	Low	Medium	High	Urgent

Risk Tolerance	**Low**									**High**
Rate your risk tolerance level on a scale of 1 to 10	1	2	3	4	5	6	7	8	9	10

THANK YOU FOR TAKING THE TIME
TO COMPLETE THIS PROFILE.

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