

**FIRST AFFIRMATIVE FINANCIAL NETWORK
(Matthews/Garvan)
PERSONAL FINANCIAL PLANNING
DATE SURVEY FORM
(4-08)**

Date Completed: _____

Spouse/Partner Name: _____

Spouse/Partner Name: _____

Home Address: _____

Business Address:

Spouse/Partner _____

Spouse/Partner _____

Home Telephone: _____

Office Telephone:

Spouse/Partner _____

Spouse/Partner _____

E-mail:

Spouse/Partner _____

Spouse/Partner _____

Asset	Owned by	Date Acquired	Cost or Basis	Current or Fair Market Value	Encumbrances (Int, Pmt, Bal, Maturity)	Current Yield
Cash/Cash Equivalents						
Money Market instruments						
Fixed Income Securities						
Stocks						
Mutual Funds						
Annuities						
Notes Receivable						
Real Estate Investment Property						
Other Investments						
Retirement Plans						
Retirement Plans						
Retirement Plans						
Retirement Plans						
Closely Held Business						
Personal Residence						
Vacation Home-location _____						
Household Contents						
Automobiles						
Jewelry, Art & Collectibles						
Other Personal Property						

RETIREMENT PLANS – Beneficiary Information:

Primary Beneficiary

Contingent

(from prior page)
Retirement Plan 1

Retirement Plan 2

Retirement Plan 3

LIABILITY DATA:

Liability	Date Incurred	Original Amount	Current Basis	Payment, Maturity	Interest Rate
Consumer Credit					
Mortgage					
Loans and Notes Payable					
Other indebtedness					
Business Debt you have guaranteed					
Other Contingent Liabilities					
Loans Against Insurance Policies					
Alimony and/or Support Payments					

LIFE INSURANCE ON CLIENT OR SPOUSE OR OWNED ON THE LIVES OF OTHERS:

Type*	Ownership	Insured	Beneficiary		Premium	Current Cash Value	Policy Loan Outstanding	Face Amount
			Primary	Contingent				
<p>*Abbreviations: WL = Whole Life UL = Universal Life VL = Variable Life VUL = Variable Universal Life</p>							<p>TM = Term JT1 = First to Die JT2 = Second to Die</p>	

INCOME DATA:

	Spouse/Partner	Spouse/Partner	Joint
Salary			
Self Employment Income			
Other (pension, investment, etc.)			

What changes do you expect in the next few years? _____

Why? _____

OUTLAY DATA:

Do you have a savings and investment target amount you aim for each year? _____

How much? _____ Have you been successful? _____

Do you have a formal budget? _____ Do you feel you need one? _____

INVESTMENT DATA:

Are you satisfied with your investment results? _____

If so, why? _____ If no, why not? _____

Are there any investments you would rule out for yourself? (social policy menu) _____

What is your attitude toward investment risk? _____

Why have you chosen the investments in your portfolio? _____

How do you arrive at your investment decisions? _____

Are any of your assets earmarked for a specific use?

What do you expect in terms of inflation? _____ Life expectancy? _____

Return on investments? _____

How does this compare with your current return?

ESTATE PLANNING DATA:

Are you a U.S. citizen? _____ Is your spouse a U.S. citizen? _____

Do you have a will? _____ Date last reviewed: _____

Does your spouse have a will? _____ Date last reviewed: _____

ESTATE PLANNING DATA, continued:

How does your will distribute your property? _____

Do you each have a durable power of attorney? _____ Health care proxy? _____

Living will? _____

Have you set up any trusts? _____

Does any trusts pay you or your family an income? _____

Does anyone possess a remainder interest in any property? _____

If so, what? _____

What amounts do you and your spouse expect in inheritances? _____

In the event of spouse/partner death: _____

Would you want your spouse to pay off any specific debts? _____

How much income would your family need? _____

Would this amount change when the children leave home? _____

In the event of other spouse/partner death: _____

Would you want your spouse to pay off any specific debts? _____

How much income would your family need? _____

Would this amount change when the children leave home? _____

If both of you die, who would you want as your children's guardian? _____

Should that person also be the guardian of your children's assets? _____

How would you want your assets distributed at your death? _____

Are there any others or specific charities whom you should provide in your estate plan? _____

Are either or both of your experienced at handling large amounts of money? _____

ESTATE PLANNING DATA, continued:

Would either of you like to have assistance in handling your money in the event of the other's death?

Would you want your children to receive their inheritance in a lump sum at age 18? _____

If not, when? _____

All at once or over a period of years? _____

Have you ever had to file a gift tax return? _____

RETIREMENT PLANNING DATA:

When do you plan to retire? _____

Does your spouse/partner plan to retire at that time as well? _____

What will be your income sources? _____

Is there anything specific you are doing in preparation for retirement? _____

What amount of income will allow you to do what you want to do? _____

Where do you plan to retire? _____

Will you keep your current home? _____

DISABILITY DATA:

What would you live on if you or your spouse/partner became disabled? _____

How much income would you need? _____

Do you and your spouse currently have disability income insurance? _____

How much? _____ From what source? _____

LONG-TERM CARE INSURANCE:

Do you have long-term care insurance? _____

Does your spouse/partner have long-term care insurance? _____

If no long-term care insurance, how would you plan to pay for long-term care if needed?

MEDICAL INSURANCE DATA:

Do you have health insurance? _____

If yes, Group or Individual

What is the deductible amount? \$ _____ What is the monthly premium? \$ _____

What is the co-pay amount? \$ _____

EDUCATION DATA:

Do you expect to pay higher education costs for any dependents? _____

What do you estimate the cost to be? \$ _____

When do you estimate the expenditures will begin? _____

Have you taken any steps to prepare for this? _____

Would you consider doing so? _____

LIABILITY AND RISK MANAGEMENT DATA:

In what sports and hobbies do you and your family engage? _____

In what other activities (civic and otherwise) do you and your family engage? _____

What contractual obligations have you and your family assumed? _____

Do you have any "attractive nuisances" on your property (swimming pool, etc.)? _____

Do you have any pets? _____

Do you employ anyone at your home (housekeepers, baby sitters, contractors, agents, etc.)? _____

Do you car pool? _____ Who drives? _____

Do either of you serve on any boards of directors? _____

Do you have any sources of professional liability? _____

Do you carry on any business activities from your home? _____

Are you involved in any charity work? _____

Do you handle money for any organization? _____

Do you rent out any property? _____

Do you work on your own vehicles? _____

Are you involved in any partnerships? _____

Do you own any property in joint name with someone other than your spouse/partner or in an association (such as a condominium)? _____

To the best of your knowledge, is all of your property adequately insured? _____

MISCELLANEOUS FINANCIAL GOALS:

Do you have any other further financial goals we haven't discussed (new home, car, boat, travel plans, sabbatical or volunteer year away, starting a new business, returning to school, etc.)? _____

PRIORITIES:

Rank your five most important financial goals in order of importance:

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____

What are the main problems with which you want this process to assist you?

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____

If we were meeting three years from today, what has to have happened during that three-year period for you to feel happy about your progress? _____

