

# Protection of Principal & Income Solutions

*"Minimize fees & expenses, control taxes, outpace inflation,  
grow your money safely, and manage risk exposure."*

## Protected Growth Planning Profile

This comprehensive, personal financial planning summary is designed to help you take inventory and assign realistic values to your personal assets and liabilities. It's the essential first step in Protected Growth Planning.

### **Please bring the following documents**

1. Last year's tax return
2. All brokerage firm statements
3. All life insurance & annuity policies
4. All IRA & retirement statements

### **FAMILY INFORMATION:**

Name \_\_\_\_\_ DOB \_\_\_\_\_ Age \_\_\_\_\_ yrs

Spouse \_\_\_\_\_ DOB \_\_\_\_\_ Age \_\_\_\_\_ yrs

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Hm Ph \_\_\_\_\_ (cell) \_\_\_\_\_ Wk \_\_\_\_\_

Email \_\_\_\_\_

Social Security # \_\_\_\_\_ SS# Spouse \_\_\_\_\_

Children

Age

State of Residence

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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**1. Personal Questions**

- |  | Yes | No  |
|--|-----|-----|
| 1. Do you have a Financial Advisor?<br>(No stockbrokers, please)<br>If yes, who? _____ | ___ | ___ |
| 2. Do you have a living trust?   | ___ | ___ |
| 3. Do you have a will?   | ___ | ___ |
| 4. Do you have income from real estate?  | ___ | ___ |
| 5. Do you have an attorney?  | ___ | ___ |
| 6. Do you have an accountant?  | ___ | ___ |
| 7. Do you expect to care for a child or parent?  | ___ | ___ |
| 8. Do you expect an inheritance?   | ___ | ___ |
| 9. Any problems with previous stockbrokers?  | ___ | ___ |
| 10. Do you have long term care protection?   | ___ | ___ |

**2. Financial Planning Objectives**

Rank the following according to your level of concern.  
(Please circle the most appropriate number)

	Not Concerned					Very Concerned				
	1	2	3	4	5	6	7	8	9	10
Planning for Children Grandchildren										
Reducing Income Taxes										
Increasing Retirement Income										
Estate Planning										
Tax-Free Retirement Alternatives										
Maximum Risk Free Growth										
Home Equity Management										

**3. Current Income**

You \$ \_\_\_\_\_

Spouse \$ \_\_\_\_\_

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

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

**4. Real Estate**

Estimated Value of Home \$ \_\_\_\_\_

Remaining Mortgage \$ \_\_\_\_\_

Equity in Home \$ \_\_\_\_\_  
(market value less mortgage)

Remaining Mortgage \$ \_\_\_\_\_

Total Value of Real Estate \$ \_\_\_\_\_

**5. Sources of Monthly Retirement Income**

**SOCIAL SECURITY**

You \$ \_\_\_\_\_

Spouse \$ \_\_\_\_\_

**PENSION**

You \$ \_\_\_\_\_

Spouse \$ \_\_\_\_\_

**6. Bank and Credit Union Inventory**

(Checking, Savings, Money Market Accounts)

Name of Institution	Average Balance
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

**7. Current Stockbrokers**

(Please check any brokerage firm that you have any account with)

\_\_\_ Merrill Lynch      \_\_\_ Paine Webber

\_\_\_ A.G. Edwards      \_\_\_ Prudential

\_\_\_ Raymond James      \_\_\_ Other

\_\_\_ Charles Schwab      \_\_\_ Other

\_\_\_ Smith Barney      \_\_\_ Other

**8. Individual Stocks & Bonds** (Please include EE Bonds, but not mutual funds or IRA's here)  
 (Also, please bring all statements)

Number Of Shares	Name of Company	Original Investment	Market Value	Ownership	Date Acquired
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____

**9. Mutual Funds/Limited Partnerships**

Number Of Shares	Name of Company	Original Investment	Market Value	Ownership	Date Acquired
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____
_____	_____	\$ _____	\$ _____	_____	_____

**10. CD's**

Name of Bank	Rate of Return	Amt. Invested	Maturity Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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**11. IRA & Other Retirement Account Information**

(Please bring in latest reports/statements)

Name Where Account is (Banks, Brokers, Employer)	Type (401K, IRA, 403b, TSA)	Approximate Value
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**12. Present Life Insurance**

(Please bring in latest reports/statements)

Company	Type	Face Amount	Cash Value	Annual Premium	Who is Insured	Who is Beneficiary
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

**13. Annuities**

(Please bring in latest reports/statements)

Company	Original Investment	Date Purchased
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**NOTES:** (to be filled at meeting)