

# CONFIDENTIAL PERSONAL 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 is the essential first step on organizing a sensible financial 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: \_\_\_\_\_ D.O.B. \_\_\_\_\_ Social Security # \_\_\_\_\_ U.S. Citizen Yes: \_\_\_ No: \_\_\_

D.L. # \_\_\_\_\_ Exp. Date \_\_\_\_\_ Email Address: \_\_\_\_\_

Spouse's Name: \_\_\_\_\_ D.O.B. \_\_\_\_\_ Social Security # \_\_\_\_\_ U.S. Citizen Yes: \_\_\_ No: \_\_\_

D.L. # \_\_\_\_\_ Exp. Date \_\_\_\_\_ Email Address: \_\_\_\_\_

Home Address: \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Alternative Address: \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Home Phone # \_\_\_\_\_ Cell# \_\_\_\_\_ Spouse's Cell# \_\_\_\_\_

Preferred Mailing Address: Home Alternative Work  
Marital Status: \_\_\_\_\_ Anniversary: \_\_\_\_\_  
Referred By (Client Name): \_\_\_\_\_

## Children's Names

Name	D.O.B.	Social Security #
1) _____	_____	_____
2) _____	_____	_____
3) _____	_____	_____
4) _____	_____	_____
5) _____	_____	_____

**OCCUPATION:**

Employer (last, if retired) \_\_\_\_\_ Your Job Title \_\_\_\_\_ Retirement Date \_\_\_\_\_

Work Address: \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Work Phone # \_\_\_\_\_ Fax# \_\_\_\_\_ Email Address \_\_\_\_\_

Spouse's Employer (last, if retired) \_\_\_\_\_ Spouse's Job Title \_\_\_\_\_ Retirement Date \_\_\_\_\_

Work Address: \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Work Phone # \_\_\_\_\_ Fax# \_\_\_\_\_ Email Address \_\_\_\_\_

**ADVISORS:**

Do you have a preference or a commitment to this advisor?

Financial Advisor's Name \_\_\_\_\_ Firm Name \_\_\_\_\_ City/State \_\_\_\_\_  Yes  No

Attorney's Name \_\_\_\_\_ Firm Name \_\_\_\_\_ City/State \_\_\_\_\_  Yes  No

Accountant's Name \_\_\_\_\_ Firm Name \_\_\_\_\_ City/State \_\_\_\_\_  Yes  No

Insurance Agent's Name \_\_\_\_\_ Firm Name \_\_\_\_\_ City/State \_\_\_\_\_  Yes  No

Stockbroker's Name \_\_\_\_\_ Firm Name \_\_\_\_\_ City/State \_\_\_\_\_



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# CONCERNS & OBJECTIVES

## GENERAL:

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

If so, what changes are you expecting? \_\_\_\_\_

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

Do you anticipate any significant changes in your cash flow?  Yes  No  Uncertain

Do you anticipate any major expenditure in the near future?  Yes  No  Uncertain

If so, what expenditures are you expecting? \_\_\_\_\_

## RETIREMENT PLANNING:

At what age do you expect to retire? \_\_\_\_\_

At what age would you like to be able to retire? \_\_\_\_\_

What minimum income will you need (in today's dollars)? \_\_\_\_\_

If you plan on working after retirement, estimate your expected income: \_\_\_\_\_

Are you contributing to an IRA?  Yes  No

Are you covered by any company retirement plans?  Yes  No

Type of company pension plan? \_\_\_\_\_

## PROTECTION:

Do you have any potential health problems?  Yes  No  Uncertain

Do you have adequate medical coverage?  Yes  No  Uncertain

Do you have adequate disability coverage?  Yes  No  Uncertain

Do you have adequate personal liability coverage?  Yes  No  Uncertain

Do you have enough life insurance?  Yes  No  Uncertain

Do you have an emergency fund (money set aside in savings)?  Yes  No  Uncertain

## ESTATE PLANNING:

Do you have updated/adequate wills?  Yes  No  Uncertain

Have you established any trusts?  Yes  No  Uncertain

Are you the beneficiary of any trusts?  Yes  No  Uncertain

Will you receive a significant inheritance?  Yes  No  Uncertain

Have you adequately considered estate taxes?  Yes  No  Uncertain

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

Is proper titling a concern?  Yes  No  Uncertain

Do you have long-term health care coverage?  Yes  No  Uncertain

**CONCERNS:**

Please list any concerns you may have: \_\_\_\_\_

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# RISK PROFILE

**Please check the appropriate response for each question.**

- 1) What is your age? \_\_\_\_\_ Your Spouse's age? \_\_\_\_\_
- 2) How much investing experience do you have with stocks or stock mutual funds?  
 None  A fair amount (less than 15 years)  
 A little (less than 5 years)  A great deal (20 + years)  
 Some (less than 10 years)
- 3) How much investing experience do you have with bonds or bond mutual funds?  
 None  A fair amount (less than 15 years)  
 A little (less than 5 years)  A great deal (20 + years)  
 Some (less than 10 years)
- 4) What is your investment goal?  
 Retirement  Saving for major purchase  
 More current income  Other \_\_\_\_\_
- 5) What do you expect to be your next major purchase?  
 Buying a house  Providing for retirement  
 Paying for college education  Other \_\_\_\_\_  
 Capitalizing a new business
- 6) How many years until this expense is incurred?  
 5 years or less  
 5 to 10 years  
 More than 10 years
- 7) How many years do you have until retirement?  
 Already retired  5 to 10 years  
 5 years or less  More than 10 years

8) What are your major objectives for your retirement?

- Current and future income
- Preserving capital
- Building wealth for heirs
- Keeping ahead of inflation
- increasing returns

9) When do you expect to use the bulk of the money you are accumulating in your investments?

- At any time now
- In 6 to 10 Years
- In 1 to 5 years
- In 11 to 20 years

Explain: \_\_\_\_\_

10) 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

11) I am expecting an inheritance of approximately \$\_\_\_\_\_ in:

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

12) 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 so you won't have to worry if it will continue to decline.
- Hold on to it and wait for it to climb back up then sell it.
- Hold on to it
- Buy more of the same investment at the new low price.

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

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

14) 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 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



**RETIREMENT PLAN (IRA, 401 – k)**

- \$100,000 - \$250,000
- \$250,001 - \$500,000
- \$500,001 - \$1,000,000
- \$1,000,001 - \$5,000,000
- \$5,000,001 +

**BUSINESS**

- \$100,000 - \$250,000
- \$250,001 - \$500,000
- \$500,001 - \$1,000,000
- \$1,000,001 - \$5,000,000
- \$5,000,001 +

**OTHER:**

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# FAMILY INCOME STATEMENT

## INCOME

Earned Income: \_\_\_\_\_

Investment Income: \_\_\_\_\_

Social Security: \_\_\_\_\_

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

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

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

Total: \_\_\_\_\_

## EXPENSES

Fixed: \_\_\_\_\_

Variable: \_\_\_\_\_

Total: \_\_\_\_\_

# PERSONAL GOALS STATEMENT

## Which items would you like help with?

- Increase my standard of living
- Financial security at retirement
- Increase my net worth by \_\_\_\_\_%
- Reduce my tax burden
- Pay for college education for my children
- Provide for my family in the event of my (or my spouse's) death
- Minimize the cost of probate and estate taxes
- Control the distribution of assets to my heirs
- Plan for long – term or nursing home care
- Buy a house

## Other goals:

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

- 1) \_\_\_\_\_  
 \_\_\_\_\_
- 2) \_\_\_\_\_  
 \_\_\_\_\_

<b>Investment Goals</b>	<b>Low Priority</b>					<b>High Priority</b>				
Return should exceed inflation rate	1	2	3	4	5	6	7	8	9	10
Principle should be safe	1	2	3	4	5	6	7	8	9	10
Investment should be liquid (immediately accessible)	1	2	3	4	5	6	7	8	9	10
Diversification is important	1	2	3	4	5	6	7	8	9	10
I'd like professional asset management	1	2	3	4	5	6	7	8	9	10
I want to reduce my taxable income	1	2	3	4	5	6	7	8	9	10
I want to build tax-free income	1	2	3	4	5	6	7	8	9	10
I am interested in long-term growth	1	2	3	4	5	6	7	8	9	10
I am interested in short-term profits	1	2	3	4	5	6	7	8	9	10
<b>Risk Tolerance</b>	<b>Low Risk Tolerance</b>					<b>High Risk Tolerance</b>				
Rate your risk tolerance level	1	2	3	4	5	6	7	8	9	10

# WEALTH VISION

Take a Tour on our website

[www.genesisfinancialgrp.com](http://www.genesisfinancialgrp.com)

Genesis Financial Group gives you the ability to consolidate and organize all your advisors and assets, at the same time in the same place. Our programs bring control of your lifestyle back to your finger tips.

By simplifying the demands of managing your assets, WealthVision enables you to devote more time to your family, your personal endeavors and your business.

Organize, consolidate and integrate your finances:

- Financial goals/plans
- Balance sheet/Net Worth statements
- Asset allocation strategy

- Account aggregation
- Cash flow/Retirement Models
- Wills, Trusts and Tax Returns
- Insurance coverage and summary
- Estate plan

Benefits to Genesis Financial Group clients:

- Immediate access to all financial related matters in a single location
- Current information
- Your accounts and assets are always current
- Your balance sheets are updated daily
- Analysis

Your updated financial status is automatically integrated into your comprehensive financial and estate plan, continuously providing you with a meaningful, up-to-date analysis.

## DOCUMENTS NEEDED FOR WEALTHVISION

Any statement of accounts

- Bank and Credit Union Statements
- IRA Account Statements
- Other Brokerage Statements
- Real Estate holdings – personal & business

Any loan documents that you may have

- Auto Loans
- Home Mortgage
- Secondary Mortgage or Equity Line of Credit
- Revolving Credit Card Debt

Income Tax Return – Individual and Corporate

- Current Year
- Prior Year

Employment Related Benefits

- 401(k) Plan Statement
- Pension Plan Statement
- Deferred Compensation Statement
- Stock Option Schedules
- Life and Disability Insurance

Any Estate Planning Documents

- Wills
- Revocable or Irrevocable Living Trust
- Power of Attorney

Insurance Policy Statements

- Home Owner's Insurance
- Automobile Insurance
- Medical Insurance
- Life Insurance
- Disability Insurance



