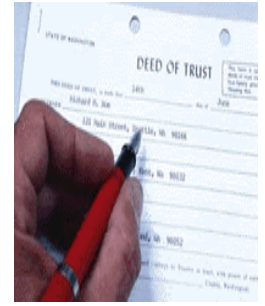




# Initial Meeting Personal Financial Profile



*Initial Meeting Date* \_\_\_\_\_



**THE FINANCIAL ADVISORY GROUP, INC.**

**A Fee-Only  
Financial Planning & Investment Management Firm**

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The purpose of your INITIAL MEETING PERSONAL FINANCIAL PROFILE is to enable The Financial Advisory Group, Inc. and you, our prospective client, opportunity to conduct your complimentary initial meeting in an efficient manner. A summary knowledge of your financial situation and objectives will enable The Financial Advisory Group, Inc. to evaluate if our services would be appropriate for you. We will keep confidential your information and return this PROFILE to you should you decide not to engage The Financial Advisory Group, Inc. Thank you for expending time and energy into planning your financial future.

**PERSONAL DATA INFORMATION**

<i>Client and Spouse:</i>	<i>Date of Birth:</i>	<i>Social Security #:</i>
_____	_____	_____
_____	_____	_____
<i>Children:</i>	<i>Date of Birth:</i>	<i>Social Security #:</i>
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Send all correspondence to (check one):**    Home     Client Office     Spouse Office

**Home:**                      Address \_\_\_\_\_

City \_\_\_\_\_, State \_\_\_\_\_ Zip Code \_\_\_\_\_

Home Phone: \_\_\_\_\_ Home Fax: \_\_\_\_\_

**Client's Office:**              Occupation \_\_\_\_\_

Company \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_, State \_\_\_\_\_ Zip Code \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Cell Phone: \_\_\_\_\_ Pager: \_\_\_\_\_ Other: \_\_\_\_\_ (      )

**Spouse's Office:**              Occupation \_\_\_\_\_

Company \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_, State \_\_\_\_\_ Zip Code \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Cell Phone: \_\_\_\_\_ Pager: \_\_\_\_\_ Other: \_\_\_\_\_ (      )

	<u>Name</u>	<u>Address</u>	<u>Phone</u>	<u>Fax</u>
<b>Accountant:</b>	_____			
<b>Attorney:</b>	_____			
<b>Insurance Agent:</b>	_____			

**PERSONAL SUMMARY QUESTIONNAIRE**

Please respond with the appropriate letter:

- |                             |                               |                           |
|-----------------------------|-------------------------------|---------------------------|
| (a) Below \$200,000         | (b) \$200,000 - \$400,000     | (c) \$400,000 - \$600,000 |
| (d) \$600,000 - \$1,000,000 | (e) \$1,000,000 - \$2,000,000 | (f) Over \$2,000,000      |

Gross Income \_\_\_\_\_ Taxable Net Income \_\_\_\_\_ Net Worth Less Insurance \_\_\_\_\_

\_\_\_\_\_ Sole proprietor / practitioner, \_\_\_\_\_ partnership, \_\_\_\_\_, incorporated, or \_\_\_\_\_ employee?

How much do you expect to pay in income taxes this year? \$ \_\_\_\_\_ Federal \$ \_\_\_\_\_ State/Local

How much was last year's total personal income taxes? \$ \_\_\_\_\_ Federal \$ \_\_\_\_\_ State/Local

Do you and your spouse have wills? \_\_\_\_\_ If yes, date prepared/amended \_\_\_\_\_

Approximate amount of life insurance on Husband \$ \_\_\_\_\_  
 Wife \$ \_\_\_\_\_

Have you funded your children's education? \_\_\_\_\_ If so, how much already set aside? \$ \_\_\_\_\_

How much disability insurance coverage do you have? \$ \_\_\_\_\_/month Target retirement age? \_\_\_\_\_

Estimate the value of your investment portfolio? Personal (After-Taxes) \$ \_\_\_\_\_ Qualified Plans? \_\_\_\_\_

How much are you saving per year for your goals? Personal (After-Taxes) \$ \_\_\_\_\_ Qualified Plans? \_\_\_\_\_

How are you presently investing your money? \_\_\_\_\_

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Please respond with the appropriate letter as to the importance of discussing the following topics at our initial meeting:

- |                    |               |                 |
|--------------------|---------------|-----------------|
| (a) Very Important | (b) Important | (c) Unimportant |
|--------------------|---------------|-----------------|

Financial Independence (Retirement)	_____	Insurance (Risk Mgt.)	_____
Income Tax Management	_____	Estate Planning	_____
Cash Management	_____	Education Funding	_____
Asset Management (Investments)	_____	Practice Management	_____
Pension/Profit Sharing/Keogh/IRA	_____	Business Succession Planning	_____
Investment Policy Statement	_____	Other (_____)	_____

**SUMMARY FINANCIAL STATEMENT\***

AS OF \_\_\_\_/\_\_\_\_/\_\_\_\_

**CASH:**

**\$ VALUE \*\***

CHECKING	_____
SAVINGS (MONEY MARKET, ETC.)	_____
CD'S, REPURCHASE AGREEMENTS, ETC.	_____
OTHER: _____	_____
OTHER: _____	_____
OTHER: _____	_____

**RECEIVABLES:**

ACCOUNTS RECEIVABLE	_____
NOTES RECEIVABLE	_____

**MARKETABLE SECURITIES:**

STOCKS - PUBLICLY TRADED	_____
STOCKS - PRIVATELY-HELD	_____
MUTUAL FUNDS	_____
<b>BONDS:</b>	
TAXABLE	_____
TAX-EXEMPT	_____

**OTHER ASSETS:**

AUTOMOBILE(S)	_____
FURNITURE	_____
ART/JEWELRY	_____
PERSONAL PROPERTY	_____
RESIDENCE(S)	_____
OTHER REAL ESTATE	_____
RETIREMENT PLAN(S)	_____
ANNUITIES	_____
CASH SURRENDER VALUE OF LIFE INSURANCE	_____

**LIABILITIES:**

MORTGAGE-RESIDENCE	_____
REAL ESTATE	_____
INVESTMENT	_____
PERSONAL	_____
CREDIT CARDS	_____
OTHER LOANS	_____
RETIREMENT PLAN LOANS	_____
LIFE INSURANCE LOANS	_____

\* RECENT FINANCIAL STATEMENT MAY BE SUBMITTED IN LIEU OF THIS PAGE  
 \*\* ESTIMATE THESE VALUES TO THE BEST OF YOUR ABILITY

**CHECKLIST OF DOCUMENTS FOR DATA GATHERING**

**Planning Materials**

- \_\_\_\_\_ Retirement Plan Questionnaire (will be provided by The Financial Advisory Group, Inc.)
- \_\_\_\_\_ Investment Policy Statement Questionnaire (will be provided by The Financial Advisory Group, Inc.)

**Tax Planning**

- \_\_\_\_\_ Prior year's tax returns (including Personal, Partnership, Corporate, Gift and Estate Tax, and Trusts)
- \_\_\_\_\_ Estimated tax payment declarations for current year (pay stubs YTD and ES Vouchers paid and remaining)

**Asset Planning**

- \_\_\_\_\_ Financial analyses and reports for all major investment and tax shelters including the most recent tax return
- \_\_\_\_\_ All descriptive memorandums (offering brochures) on any investment previously purchased by you
- \_\_\_\_\_ Copies of current brokerage confirms or statements
- \_\_\_\_\_ Copy of current statement on each mutual fund
- \_\_\_\_\_ Closing agreements or recent statements on all loans or real estate purchases, or other investment purchases

**Estate & Gift Planning**

- \_\_\_\_\_ Wills, Codicils, Trust Agreements
- \_\_\_\_\_ Previous estate and financial planning analyses
- \_\_\_\_\_ Separation and property agreements

**Retirement Planning**

- \_\_\_\_\_ Keogh and/or IRA statements
- \_\_\_\_\_ Profit-Sharing and/or Pension Plan statements or reports
- \_\_\_\_\_ Retirement plan adoption agreement and beneficiary election forms
- \_\_\_\_\_ Bonus or incentive compensation (*e.g.*, restricted stock, phantom shares, etc.) policies and reports
- \_\_\_\_\_ Employment contracts
- \_\_\_\_\_ Partnership agreement (or summary description)
- \_\_\_\_\_ Current and deferred executive compensation agreements
- \_\_\_\_\_ Stock option agreements
- \_\_\_\_\_ Medical reimbursement plans

**Contingency Planning and Other**

- \_\_\_\_\_ Disability income policies
- \_\_\_\_\_ Life Insurance policies
- \_\_\_\_\_ Annuity contracts

The Financial Advisory Group, Inc. will make copies of any original documents if you do not have an extra copy, and return our originals at a later date. Of course, some of the items in the DOCUMENT CHECKLIST may not be applicable in your circumstances, so simply mark N/A as needed.

