

A Registered Investment Advisor

Completing the Fact Finder

The **Fact Finder** form is an interactive Adobe PDF file that allows you to summarize your financial resources. You will find that the form is easy to use and permits you to save the information on your computer, allowing you to keep a copy for your records. Here are some guidelines for using it:

1. Complete the entire **Fact Finder** to the best of your ability. Providing thorough information will assist our planning and investment teams as they begin to design a financial plan specific to your needs and goals.
2. To save your work, click on *File* in the menu bar, choose *Save As* and rename your file. If you are unable to complete the Fact Finder in one sitting this will allow the file to be re-opened, modified and then submitted.

Accessing a Paper Copy

If you prefer, you can complete a paper version of the **Fact Finder**. To access a paper version click on File in the menu bar and choose Print. After completing, please mail the **Fact Finder** back to:

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WealthPLANW

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www.■



We're With You.

Family Information

Your Name:	DOB: / /	Marital Status
Spouse Name:	DOB: / /	
Address:		
City:	State:	Zip Code:
Home Phone:	Fax:	
Your Cell Phone:	Spouse Cell Phone:	
Your Email:	Spouse Email:	

Children/Grandchildren

Name	Child/Grandchild	DOB	Marital Status	Spouse Name	Spouse DOB

Occupational Information

	You	Spouse
Occupation		
Employer		
Address		
City, State & Zip Code		
Employer Phone		

Income

	You	Spouse
Annual Salary		
Annual Bonus		
Other		
401(k): Employee Contributions	%	%
401(k): Employee Match	% Up To:	% Up To:

Retirement Income

	You	Spouse
Pension	At Age:	At Age:
Pension: Survivor Benefit		
Social Security Estimate*	At Age:	At Age:
Social Security Estimate: Disability Benefits		
Social Security Estimate: Surviving Child Benefits		

*For access to your latest Social Security Estimate visit the U.S. Social Security Administration website at www.ssa.gov.

How did you hear about us?



We're With You.

Real Estate & Personal Property

Name & Address of Property	Current Value	Owner (Joint, Trust, etc.)	Cost Basis & Year of Purchase

Mortgages/Loans

Property	Institution Name	Original Loan Amount	Date & Term of Loan	Current Balance	Interest Rate	Monthly Payment

Non-Qualified Assets (Taxable & Cash) - NOT Managed by WealthPLAN Partners

Type of Account	Institution Name	Current Value	Owner	Beneficiary

Retirement Assets (IRA's Annuities, Deferred Compensation, 401(k), etc.) - NOT Managed by WealthPLAN Partners

Type of Account	Institution Name	Current Value	Owner	Beneficiary

529 Plans - NOT Managed by WealthPLAN Partners

Name & Institution	Current Value	Beneficiary	Monthly Investment

Business Interests

Name	Current Value of Business	Owner	% Owned	Amount Invested



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Life Insurance

	Life Policy 1	Life Policy 2	Life Policy 3
Institution Name/Policy #			
Purchase Date			
Policy Type			
Insured			
Owner			
Beneficiary			
Current Death Benefit			
Current Cash Value			
Basis			
Annual Premium			
Premium Term (years)			

Long Term Care Insurance

	Long Term Care 1	Long Term Care 2
Institution Name/Policy #		
Insured		
Benefit Amount/Frequency		
Annual Premium		
Premium Term		
Elimination Period		
Benefit Period		
Is the Benefit Taxable?		

Disability Insurance

	Long Term Care 1	Long Term Care 2
Institution Name/Policy #		
Purchase Date		
Policy Type		
Insured		
Benefit Type		
Benefit Amount/Frequency		
Annual Premium		
Premium Term		
Elimination Period		
Benefit Period		
Is the Benefit Taxable?		



We're With You.

Please rank the following from 1 to 10, 1 being least and 10 being most, in order of importance to you:

- Increase my standard of living _____
- Increase my net worth by _____% _____
- Minimize probate and estate taxes _____
- Pay for college for my children _____
- Buy a home _____
- Financial security at retirement _____
- Reduce my tax burden _____
- Provide for my family upon my death _____
- Control distribution of assets to heirs _____
- Plan for long-term or nursing home care _____

Other important goals:

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

1. _____
2. _____

Investment Goals:

Low

High

- | | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Return exceeds inflation rate | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Safety of principal | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Liquidity of investments (immediately accessible) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Diversification of investments | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Professional asset management | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Reduction of taxable income | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Increase tax-free income | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Long-term growth | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Short-term profits | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Rate your risk tolerance:

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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In which of the following are you interested in receiving more information?

- Mortgage Planning _____
- Insurance Planning _____
- Tax Planning _____
- Estate Planning _____
- Bank Planning _____



We're With You.

If you own a home, do you have more than 30% equity?

No Yes I don't own a home

Do you plan to work during retirement?

Full-time, for as long as possible Full-time, for a few years Part-time Not at all

From an original investment of \$15,000, your portfolio now worth \$25,000 suddenly declines \$3,750 or 15%, which best describes your response?

I would look for a way to invest more
 I would take no action
 I would be somewhat concerned
 I would avoid any investment that could suddenly lose 15% of its value (Choose last answer for next question)

Your portfolio, from the previous question, now worth \$21,250 suddenly declines another \$2,125 or 10%, which best describes your response?

I would look for a way to invest more
 I would take no action
 I would be somewhat concerned
 I would probably sell
 I would never have made this investment (Choose last answer on previous question)

Have you invested in Equities?

No Yes

Have you invested in Fixed Incomes?

No Yes

Have you invested in Mutual Funds?

No Yes

Have you invested in Options, Futures or Derivatives?

No Yes

How would you describe your level of investment knowledge?

None Limited Good Extensive

How much investment experience do you have? (Limited: 1 – 3 years; Good: 4 – 5 years; Extensive: more than 5 years)

None Limited Good Extensive

Do you currently need to withdraw from your investments to provide income?

No Yes

How soon do you expect to need to withdraw from these assets to provide retirement income?

Less than 2 years 5 to 10 years
 2 to 5 years More than 10 years



We're With You.

Please bring the following items with you to your complimentary consultation:

_____ A copy of your most recent tax return

Copies of your most recent investment statements:

_____ IRA/Roth

_____ 401(k)

_____ 403(b)

_____ Pension/Profit Sharing

_____ Brokerage Accounts

_____ Mutual Funds

_____ Annuities

_____ Bank Accounts

_____ Life Insurance

_____ Social Security statement (Your/Spouse)

_____ 401(k) Contributions and Employer Match data

_____ Current Estate Plan (Will/Trust/ILIT/CRUT)