



**CONFIDENTIAL PROFILE**

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

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FAMILY INFORMATION

YOUR NAME:

NICKNAME:

AGE:

BIRTHDATE:

SOCIAL SECURITY (OPTIONAL):

SPOUSE'S NAME:

NICKNAME:

AGE:

BIRTHDATE:

SOCIAL SECURITY (OPTIONAL):

WEDDING DATE:

CHILDREN'S NAMES & BIRTHDAYS:





RESIDENCE ADDRESS:

CITY/STATE:

ZIP:

MAILING ADDRESS:

CITY/STATE:

ZIP:

HOME PHONE:

CELL PHONE:

FAX:

EMAIL #1:

EMAIL #:

JOB TITLE:

EMPLOYER (LAST IF RETIRED)

WORK PHONE:

# OF YEARS:

RETIREMENT DATE:

SPOUSE JOB TITLE:

EMPLOYER (LAST IF RETIRED)

WORK PHONE:

# OF YEARS:

RETIREMENT DATE:

OCCUPATION

FINANCIAL ADVISOR'S NAME:

FIRM:

LENGTH OF RELATIONSHIP:

PHONE:

EMAIL:

ARE YOU COMMITTED TO WORKING WITH THIS ADVISOR?

 YES  NO

ATTORNEY'S NAME:

FIRM:

LENGTH OF RELATIONSHIP:

PHONE:

EMAIL:

ARE YOU COMMITTED TO WORKING WITH THIS ADVISOR?

 YES  NO

ACCOUNTANT'S NAME:

FIRM:

LENGTH OF RELATIONSHIP:

PHONE:

EMAIL:

ARE YOU COMMITTED TO WORKING WITH THIS ADVISOR?

 YES  NO

INSURANCE AGENTS'S NAME:

FIRM:

LENGTH OF RELATIONSHIP:

PHONE:

EMAIL:

ARE YOU COMMITTED TO WORKING WITH THIS ADVISOR?

 YES  NO

WHAT IS IMPORTANT ABOUT MONEY TO YOU?:

1.

2.

3.

4.

WHAT IS IMPORTANT ABOUT MONEY TO YOUR SPOUSE?:

1.

2.

3.

4.

DO YOU HAVE AN INVESTMENT POLICY?

At Aspen Wealth Management, we focus on holistic wealth planning which encompasses non-financial objectives. A Wealth Plan is a GPS designed to effectively guide you toward your life goals.

WHAT DO YOU VALUE MOST IN LIFE?

WHAT DO YOU ULTIMATELY WANT TO ACHIEVE IN YOUR LIFE?

WHAT IS THE VISION FOR YOUR FUTURE?

**GENERAL:**

Are you anticipating any major lifestyle changes? (i.e., marriage, divorce, retirement, moving, etc.)

YES  NO  UNCERTAIN

If yes, what changes are you expecting?

Are you comfortable with your current cash flow?

YES  NO  UNCERTAIN

**RETIREMENT PLAN:**

What minimum after-tax income will you need at retirement (in today's dollars)?

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

Are you contributing to an IRA?

YES  NO  UNCERTAIN

Are you contributing to a Roth-IRA?

YES  NO  UNCERTAIN

Are you covered by any company retirement plans?

YES  NO  UNCERTAIN

Type of plan, value, and annual contribution?

**PROTECTION:**

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 long-term care insurance for home health care?

YES  NO  UNCERTAIN

Do you have long-term care insurance for assisted living?

YES  NO  UNCERTAIN

Is employer-provided health insurance available during retirement?

YES  NO  UNCERTAIN

**ESTATE PLANNING:**

When were your current wills/trusts signed?

Have you established any trusts?

YES  NO  UNCERTAIN

Are you the beneficiary of any trusts?

YES  NO  UNCERTAIN

Have you adequately planned for estate taxes?

YES  NO  UNCERTAIN

Have you provided adequate estate liquidity for your heirs?

YES  NO  UNCERTAIN

Have you planned your legacy?

YES  NO  UNCERTAIN

**CONCERNS** Please list your current concerns, financial or otherwise:

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What is your investment experience with stocks or stock mutual funds?  NONE  A LITTLE  SOME  A FAIR AMOUNT  A GREAT DEAL

What is your investment experience with bonds or bond mutual funds?  NONE  A LITTLE  SOME  A FAIR AMOUNT  A GREAT DEAL

What is your investment goal?  RETIREMENT  MORE CURRENT INCOME  SAVING FOR MAJOR PURCHASES

How many years do you have until retirement?  ALREADY RETIRED  LESS THAN 5 YEARS  5 TO 10 YEARS  MORE THAN 10 YEARS

What do you expect to be your next major expenditure?

Buying a house

AMOUNT:

TIMING:

Paying for a college education

AMOUNT:

TIMING:

Capitalizing a new business

AMOUNT:

TIMING:

Providing for retirement

AMOUNT:

TIMING:

OTHER:

AMOUNT:

TIMING:

What are your major objectives for your investments, in order of importance? (Rank 1 to 5)

\_\_\_ Current and future income      \_\_\_ Keeping ahead of inflation

\_\_\_ Preserving capital                \_\_\_ Increasing returns

\_\_\_ Building wealth for heirs

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

- 0 TO 1 YEAR   
  1 TO 5 YEARS   
  5 TO 10 YEARS   
  10 TO 20 YEARS

Over the next several years, do you expect your household annual income to:

- GROW SUBSTANTIALLY   
  GROW MODERATELY   
  STAY THE SAME   
  DECREASE MODERATELY   
  DECREASE SUBSTANTIALLY

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

- 0 TO 1 YEAR   
  1 TO 5 YEARS   
  5 TO 10 YEARS   
  10 TO 20 YEARS

Due to a general market correction, one of your investments loses 25% of its value in a short time after you buy it. What do you do?

- SELL THE INVESTMENT   
  HOLD IT   
  HOLD IT AND WAIT FOR IT TO CLIMB BACK UP, THEN SELL   
  BUY MORE AT THE LOWER PRICE

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

- VERY ACCURATE   
  MODERATELY ACCURATE   
  SLIGHTLY ACCURATE   
  NOT ACCURATE AT ALL

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 the three scenarios below. Which do you choose?

- TAKE THE MONEY AND RUN   
  A 20% CHANCE OF WINNING \$75,000   
  A 50% CHANCE OF WINNING \$50,000   
  A 5% CHANCE OF WINNING \$100,000

How large of a temporary decline in your portfolio are you willing to accept before changing your investment strategy, assuming you start with \$100,000?

- 10% DECLINE  
(PORTFOLIO VALUE IS \$90,000)   
  15% DECLINE  
(PORTFOLIO VALUE IS \$85,000)   
  20% DECLINE  
(PORTFOLIO VALUE IS \$80,000)
- 25% DECLINE OR GREATER  
(PORTFOLIO VALUE IS \$75,000 OR LESS)   
  50% DECLINE OR GREATER  
(PORTFOLIO VALUE IS \$50,000 OR LESS)

By what percentage do you expect your portfolio to grow annually over the long term, 10+ years?

- 0% - 2%   
  2% - 4%   
  4% - 6%   
  6% - 8%   
  MORE THAN 8%

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print

Investment account statements or summaries can be substituted for this page.

**ASSETS**

**INVESTMENTS (NON-RETIREMENT):**

Stocks	\$ _____	Mutual Funds	\$ _____	Cash	\$ _____
Bonds	\$ _____	Other	\$ _____		

**INVESTMENTS (RETIREMENT):**

IRA	\$ _____	401(k)/403(b)	\$ _____	Profit Sharing	\$ _____
Roth-IRA	\$ _____	Defined Benefit	\$ _____	Other	\$ _____

**BUSINESS:**

Business Value	\$ _____	Entity Type	\$ _____
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**REAL ESTATE:**

Residence	\$ _____	Rental Property	\$ _____
2nd Home	\$ _____	Land	\$ _____

**OTHER:**

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**LIABILITIES**

**SHORT TERM:**

Credit Cards	\$ _____	Notes	\$ _____	Personal Loan	\$ _____
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**LONG TERM:**

Home Mortgage	\$ _____	Business	\$ _____
Second Mortgage	\$ _____	Additional Property	\$ _____

**OTHER:**

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**CLIENT INCOME:**

Earned Income	\$ _____	Social Security	\$ _____	Other	\$ _____
Investment Income	\$ _____	Pension	\$ _____	Total	\$ _____

**SPOUSE INCOME:**

Earned Income	\$ _____	Social Security	\$ _____	Other	\$ _____
Investment Income	\$ _____	Pension	\$ _____	Total	\$ _____

**ANNUAL EXPENSES**

Fixed	\$ _____	Variable	\$ _____	Total	\$ _____
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