Financial Review
Pre-Appointment Worksheet

LAW & ASSOCIATES
Wealth Management and Planning

6111 Tulane Avenue
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Your appointment is scheduled for: Time:

At least two weeks before your appointment, please provide:

1. This completed form
2. Updated copies of all the documents listed on the Document Checklist (please see page 3)

Your Name

Spouse's Name

Your Preferred Phone Number

Spouse's Preferred Phone Number

Your Email

Spouse's Email

Address

City

State

Zip Code

Areas of interest for discussion during upcoming appointment.

Any new additions to the family expected, i.e. children, dependent parents? If yes, please explain.

Any employment changes expected, i.e. change of position, retirement? If yes, please explain.

Risk management, including automobile, homeowners, umbrella, disability, long-term care, life, professional and liability/business should be reviewed every few years. Any significant changes to risk management?

Estate planning documents should be reviewed every two years. If you have not done so already, please provide copies of the following estate planning documents for our files: Financial Durable Powers of Attorney, Medical Powers of Attorney, Living Wills, Wills, Revocable Trusts, Irrevocable Trusts. Any significant changes in your estate planning situation?

Good service is important to us. Are there ways we could serve you better?

Please provide updated values below for any assets not held through Raymond James.

Personal Assets (Residence, Vacation Home, Auto, Time Share, Jewelry, Art/Antiques)

Other Assets (Business Interest, Ltd. Partnerships, Receivables)

Income (Gross)

	Client	Spouse
Salary	$	$
Bonus	$	$
Self-Employment	$	$
Social Security	$	$
Pension	$	$
Rental	$	$
Other	$	$

Living Expenses

Monthly	$
Annually	$

Potential Tax-Related Expenses

Medical Insurance	$
Long-Term Care Insurance	$
Medical/Dental	$
Real Estate Tax	$
Personal Property Tax	$
Charitable Contributions	$
Tax Preparation Fee	$
Other Miscellaneous	$

Document Checklist

(Please provide copies of the following documents)

- ☐ Last two years' Federal and State income tax returns
- ☐ Several recent pay stubs
- ☐ Most recent Social Security and/or pension benefits

Current Statements:

- ☐ Bank Accounts – Checking, Savings, Money Markets, CDs, T-Bills, Savings Bonds
- ☐ Investment Accounts – Stocks, Bonds, Mutual Funds, Managed Accounts
- ☐ Retirement/Tax Deferred Accounts – IRA, SEP-IRA, 401(k), 403(b), Roth IRA, Pension/Profit Sharing, Annuities
- ☐ Children's Assets – Trusts, Custodial-UGMA/UTMA, Education-529, ESA
- ☐ Liabilities – Mortgages, Auto Loans, Lines of Credit, Margin, Credit Cards, Student Loans, Life Insurance Cash Value Loans

Employee Benefit Information:

- ☐ Employer Summary Plan Description
- ☐ Deferred Compensation/Defined Benefit Plan Information
- ☐ Stock Option Information

- ☐ Risk Management – Automobile, Homeowners, Umbrella, Disability, Long-Term Care, Life, Professional Liability/Business
- ☐ Estate Planning Documents – Financial Durable Powers of Attorney, Medical Powers of Attorney, Living Wills, Wills, Revocable Trusts, Irrevocable Trusts
- ☐ Business Interests – Last two years' Federal and State Corporate/Partnership tax returns

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