



Name _____

Yes No

Personal Information

- Has there been a change in your marital status since we last met? _____
- Has there been a change in your tax filing status or tax situation? _____
- Can another taxpayer claim you or your spouse as a dependent? _____
- Did either you or your spouse receive an increase or decrease in your income such as a base compensation or bonus? _____
- Has there been a change in your net worth? _____
- Did either you or your spouse receive a grant of Stock Options? _____
- Did either you or your spouse give \$10,000 or more? _____
- Have there been any changes in you or your spouses health condition? _____
- Did you change any points of contact (e.g., address, email, phone)? _____
- Are there any other changes in your personal circumstances I should know about? _____

Notes:

Dependents

- Where there any changes to the status or number of dependents? _____

Notes:

Education Goals

- Has there been any changes to the number of years you would like to provide education funding for your dependents? _____
- Has there been any changes to the college or university your dependents plan to attend? _____
- Have you made any changes to the recommended funding and/or the investment vehicles used to fulfill your education goal? _____
- Have there been any other changes to your education goals? _____

Notes:

Benefits

- Have there been any changes to your or your spouses employer benefits? _____
- Have there been any changes to the vesting schedule of your or your spouse's Employer Stock Option Plan? _____
- Has a deferred compensation plan been established /deleted by either your or your spouse's employer? _____

Notes:

Accumulation/Emergency

- Have there been any changes to the assets set aside to fund your goals? _____
- Have there been any changes to the assets set aside to fund emergencies? _____
- Have either you or your spouse changed goals or plan to fund them? _____

Notes:

Name _____

Yes No

Purchases, Sales and Debts

- Have either you or your spouse started or participate in a start up company? _____
- Did either you or your spouse sell an existing business? _____
- Have either you or your spouse add or lose any business partners? _____
- Have either you or your spouse purchase any new investments including stocks, bonds, mutual funds, real estate or CD's? _____
- Have either you or your spouse sold any securities listed above? _____
- Have you established a new home equity loan? _____
- Have you refinanced a mortgage? _____
- Have you incurred any other new debts or additional expenses? _____

Notes:

Financial Independence

- Have either you or your spouse changed the age you wish to retire? _____
- Have either you or your spouse modified your monthly income goals? _____
- Are there any new options available in your employer's retirement plans? _____
- Have either you or your spouse changed your goals or the way you plan to fund them? _____

Notes:

Other Income Needs

- Have either you or your spouse modified your monthly income goal? _____
- Have either you or your spouse change your individual, group or salary continuation plans? _____
- Do you anticipate any change to dependent care expense for which you may be responsible? _____

Notes:

Survivorship

- Since we last met, has there been a change to the survivor's monthly income goal for either you or your spouse or the way in which you plan to fund the goal? _____
- Have you or your spouse implemented the funding recommendations contained in your analysis? _____
- Have either you or your spouse changed any beneficiary designations? _____

Notes:

Asset Allocation

- Have you changed your feelings about investing in the market? _____
- Have your liquidity needs changed? _____
- Has your time horizon for investing changed? _____

Notes:

