

Confidential
Prosperion Game Plan™
Questionnaire



Care beyond advice™

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Securities offered through LPL Financial, a Registered Investment Advisor Member FINRA/SIPC

Introduction

About the Prosperion Game Plan™ Questionnaire

The first step in successfully planning for your financial future is identifying and defining your goals. Please help us understand your goals by completing this questionnaire.

Don't be concerned if some questions do not apply to you. We have tried to make the questionnaire comprehensive enough to cover a variety of situations. If you see a question that does not apply, simply write "N/A" next to it for "Not Applicable."

Take your time with your answers. It is important that your facts are accurate, and that we have an thorough understanding of your goals for the future.

Please return your completed questionnaire via email, fax, U.S. mail or bring it to our meeting. Also, please bring or fax copies of pertinent documents from the list below (*confidentiality will be maintained*).

Investments

- Bank statements
- Brokerage statements
- Mutual fund statements
- Annuity statements
- Annual partnership statement
- Investment alternatives from employer retirement plans (e.g. 401k)
- Loan or mortgage statements
- Balance sheet from your business

Retirement planning

- Retirement plan statement(s), such as IRA, profit sharing, 401k, 403b, etc.
- Employee benefit summary
- Employee benefit booklet
- Deferred compensation and stock option agreement

Estate planning & risk management

- Will and trust documents
- Divorce settlement, nuptial agreement
- Buy-sell agreement
- Umbrella/liability insurance policy
- Life insurance policy
- Disability insurance policy
- Health coverage

Tax planning

- Recent state and federal return
- Recent paycheck stub

Following our meeting, we will present recommendations in a custom Prosperion Game Plan™ proposal. If you have any questions, please contact our office. We look forward to hearing from you.

Date: _____

Referred by: _____

About you

Your name(s)	Birthdate	Age	Social Security #	Target retirement
1 _____	/ /		- -	/
2 _____	/ /		- -	/

Children's name(s)	Birthdate	Age	Social Security #	Target college date
1 _____	/ /		- -	/
2 _____	/ /		- -	/
3 _____	/ /		- -	/

Home address (including city, state, zip)	Home phone	Cellular phone	Home e-mail:
_____	() -	() -	

Employer's name and address	Work 1 phone	Work 1 e-mail:	Start date (mo, yr)
1 _____	() -		/

Type of retirement plan you have at work (e.g. 401k, profit sharing)? _____

How much are you contributing? _____

Employer 2 name and address	Work 2 phone	Work 2 e-mail:	Start date (mo, yr)
2 _____	() -		/

Type of retirement plan you have at work (e.g. 401k, profit sharing)? _____

How much are you contributing? _____

Define your goals

What do you like to do in your "free time?" What are your interests and hobbies?

When do you see yourself stepping back from the traditional concept of employment?

What does "retirement" look like for you (financially, geographically, etc.)?

If you didn't have to work anymore, what would you do?

Cash flow

Income	Annual	Monthly	Comments
Salary 1	\$	\$	
Salary 2	\$	\$	
Divs/Interest/Gains	\$	\$	
Rental income	\$	\$	
Soc Security/Pension	\$	\$	
Royalties	\$	\$	
Other income	\$	\$	
Total Income	\$ -	\$ -	

Budget	Current Budget		Estimated Retirement Budget	
	Annual	Monthly	Annual	Monthly
Normal expenses	\$	\$	\$	\$
Primary mortgage	\$	\$	\$	\$
Other mortgage	\$	\$	\$	\$
Car 1	\$	\$	\$	\$
Car 2	\$	\$	\$	\$
Charity	\$	\$	\$	\$
Credit cards	\$	\$	\$	\$
Utilities	\$	\$	\$	\$
Household	\$	\$	\$	\$
Income tax (est.)	\$	\$	\$	\$
Property tax (est.)	\$	\$	\$	\$
Medical	\$	\$	\$	\$
Other _____	\$	\$	\$	\$
Other _____	\$	\$	\$	\$
Extraordinary expenses	\$	\$	\$	\$
Vacation/travel	\$	\$	\$	\$
Other _____	\$	\$	\$	\$
Other _____	\$	\$	\$	\$
Total Budget	\$ -	\$ -	\$	\$
Income - Budget =	\$ -	\$ -		

Define your goals

How much money would you need today to not worry about money?

What is going on in your life right now that could impact your financial future?

How do you measure a person's success in life?

Net worth

Liquid Assets (checking, money market)

	Bank name(s)/Owner(s)	Savings Current Value	Cash/Checking Current Value	Account Objective (daily expenses, etc.)
1		\$	\$	
2		\$	\$	
3		\$	\$	
Total liquid assets		\$ -	\$ -	

Stocks / Mutual Funds / Bonds (non-retirement accounts)

	Brokerage firm name(s)/Owner(s)	Current Value	Description	Account Objective
1		\$		
2		\$		
3		\$		
4		\$		
5		\$		
Total		\$ -		

Retirement Assets (pre-tax, such as IRA or 401k)

	Brokerage firm name(s)/Owner(s)	Current Value	IRA, 401(k), profit sharing, annuity	Allocation
1		\$		
2		\$		
3		\$		
4		\$		
5		\$		
6		\$		
Total retirement assets		\$ -		

Education Funding

	Brokerage firm/Ownership (529, UGMA, e	Current Value	Description
1		\$	
2		\$	
Total education funding		\$ -	

Real Estate

	Type (residence, vacation, rental, business)	Current Value	<Less Mortgage>	=Net Equity
1		\$	\$	#VALUE!
2		\$	\$	#VALUE!
3		\$	\$	#VALUE!
Total Value / Mortgage / Net Equity		\$ -	\$ -	#VALUE!

Other assets that affect your ability to reach your goals

	Current Value	Description
1	\$	
2	\$	
Total other assets		\$ -
Total of all assets		\$ -

Net worth (continued)

Loans / Debts

Type (home/mortgage, real estate, credit cards, line of credit)

	Amount	Rate	Term (years)
1	\$	%	
2	\$	%	
3	\$	%	
4	\$	%	
Total of liabilities		\$	-
Total assets from previous page		\$	-
<Subtract liabilities>		\$	-
Estimated Net Worth		\$	-

Define your goals

What is the best investment you've made? The worst? Why?

How involved are you in investment decisions?

What return did your portfolio earn last year?

Which option below most closely describes your investment philosophy (please circle one)?

- A. Conservative, cannot tolerate volatility C. Growth oriented, can stand moderate volatility
 B. Safe, can withstand mild volatility D. Aggressive growth, can withstand major volatility

Are there investments you would avoid as a matter of principle? If so, please list.

What steps have you already taken to achieve your financial goals?

On a scale from 0-10, how much confidence do you have in your investment plan?

How do you make investment decisions? How comfortable do you feel making investment decisions?

Advance planning & insurance

Have you established the following?

	Date of last review	Guardian or Personal Rep:
Will	_____/_____/_____	Drafted by: _____/_____
Trust	_____/_____/_____	Drafted by: _____/_____
Life insurance trust	_____/_____/_____	Drafted by: _____/_____
Living will	_____/_____/_____	Drafted by: _____/_____
Healthcare proxy/POA	_____/_____/_____	Drafted by: _____/_____

Location of legal documents: _____

Health insurance

	Company/Policy	Insured	Premium	Coverage/benefit
1	_____		\$ _____/month	\$ _____
2	_____		\$ _____/month	\$ _____
3	_____		\$ _____/month	\$ _____

Life insurance

	Company/Policy	Insured/Owner	Beneficiary	Death Benefit	Cash Value
1	_____			\$ _____	\$ _____
2	_____			\$ _____	\$ _____
3	_____			\$ _____	\$ _____
4	_____			\$ _____	\$ _____

Disability insurance

	Company	Group or Individual	Benefit amount	Additional information
1	_____		\$ _____	
2	_____		\$ _____	

Long term care insurance

	Company	Benefit amount	% for Home Care	Additional information
1	_____	\$ _____		
2	_____	\$ _____		

Umbrella liability insurance

	Company	Amount	Additional information
1	_____	\$ _____	
2	_____	\$ _____	

Define your goals

Have there been any family-related or financial changes causing a need to review your estate plan?

Professional advisors

Tax advisor name, firm, and address Phone Fax E-mail

() - () -

Legal advisor name, firm and address Phone Fax E-mail

() - () -

Insurance advisor name, firm, and address Phone Fax E-mail

() - () -

Your business (skip to the next page if you do not own a business)

Business name: _____

Gross annual sales: _____ Net income: _____

Number of employees: _____ Year founded: _____

Form of business (S or C corporation, partnership, sole proprietor): _____

Define your goals

Describe the product and/or service your business provides.

Do you have a current, written, funded business continuation plan? If so, describe.

Do you have any major changes on the horizon, such as a merger, sale, or retirement of a key individual?

What do you want your business to be known for?

What would you like your competitors to say about your company?

Understanding your goals

Three years from today, what needs to have happened for you to be happy with your progress?

What are your personal goals?

Next year: _____
5 years: _____
10 years: _____
20 years: _____

What are your financial goals?

Next year: _____
5 years: _____
10 years: _____
20 years: _____

What are your biggest financial concerns in life?

Transitioning

Are you working with a professional advisor now or have you in the past?

What grade (A-F) would you give your current advisor?

What do you expect from a financial advisor?

How do you see me helping you plan your future?

What prompted you to contact me?
