Aspirational Wealth Management, LLC
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Client Factfinder

Personal Information

Date:

○ Mr. ○ Mrs. ○ Ms.

First Name	M. I.	Last Name
Birth Date	Age	Social Security Number
Street Address		
City/Town	State/ZIP	
Home Phone	Home FAX	
Cellular Phone	Email Address	
Employment		
Occupation		Employer
Employer Address		Phone
Fax	Email Address	
Education		
School	**Degree**	**Affiliations (clubs, activities, sports)**
High School		
College		
Graduate School		
Military Service		
Dates of Active Duty	Branch	Type of Discharge
Notes		

Personal Information

○ Mr. ○ Mrs. ○ Ms.

Spouse/Partner		
First Name	M. I.	Last Name
Birth Date	Age	Social Security Number
Cellular Phone	Email Address	
Spouse/Partner's Employment		
Occupation		Employer
Employer Address		Phone
Fax	Email Address	
Spouse/Partner's Education		
School	**Degree**	**Affiliations (clubs, activities, sports)**
High School		
College		
Graduate School		
Spouse/Partner's Military Service		
Dates of Active Duty	Branch	Type of Discharge
Children/Grandchildren/Other Dependents		
Name	**Birth Date**	**Relationship**

Please attach any additional information on a separate sheet.

Personal Information

Contacts

Tax Preparer	
Name	Address
Phone	Email
Attorney	
Name	Address
Phone	Email
Insurance Agent	
Name	Address
Phone	Email
Investment Advisor	
Name	Address
Phone	Email
Notes	

Personal Goals

> ***"Follow your passion, and success will follow you."***
> ***~ Arthur Buddhold***

Please answer the following questions.

What do you strive for most in life?
What do you try to avoid?
Do you want to continue your education? In what way?
Would you consider changing careers? To what?
What are your hobbies?
Do you do volunteer work?
How do you meet new people?
Do you consider yourself a saver or a spender?

Personal Goals

> ***"The real measure of your wealth is how much you'd be worth if you lost all your money."***
> ***~ Author unknown***

How do you envision your future lifestyle?
Do you travel or want to travel? Where?
What values or philosophies do you want most to pass on to your children or grandchildren?
What do you want your legacy to be?
If you had complete financial security, how would you spend your time?
Name the most important personal goal you want to meet...
within one year
within five years
within ten years

Financial Concerns

> ***"Money is better than poverty, if only for financial reasons."***
> ***~ Woody Allen***

Please rate how important the following financial concerns are to you, 5 being the most important, 1 being the least important.

Concern	1	2	3	4	5
Plan a budget	○	○	○	○	○
Start a short-term savings plan (e.g., to buy a house, or take a vacation)	○	○	○	○	○
Create or update an education savings plan for my children	○	○	○	○	○
Create or update a retirement savings plan	○	○	○	○	○
Create or update an investment plan	○	○	○	○	○
Create or update an estate plan	○	○	○	○	○
Start a new business	○	○	○	○	○
Review tax efficiencies	○	○	○	○	○
Analyze my insurance needs	○	○	○	○	○
Organize my financial documents	○	○	○	○	○

Notes

Financial Goals Worksheet

> ***"Goals are dreams with deadlines."***
> ***~ Diana Sharf Hunt***

Please complete this worksheet for your two most important short-term, medium-term, and long-term financial goals.

Goal	By When?	Amount
Short Term (within 3 years)		
Medium Term (3-7 years)		
Long Term (over 7 years)		

Notes

Investment Planning

Investor Profile

Please check the response that best applies.

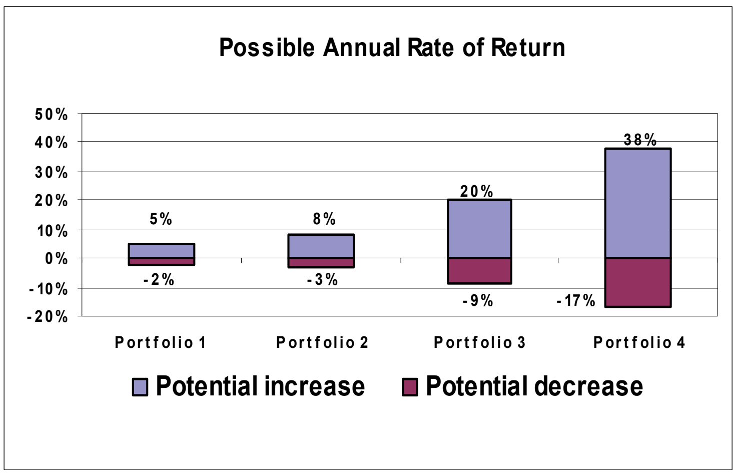
What is your primary objective for your investments?

- ○ Preservation of existing assets
- ○ Ongoing income
- ○ Capital growth
- ○ Highest potential returns

Which statement best describes your investing knowledge?

- ○ I have limited knowledge
- ○ I understand basic principles, but don't follow the market
- ○ I have general knowledge and follow the market
- ○ I have considerable knowledge

In which of these hypothetical portfolios would you be most likely to invest?



- ○ Portfolio 1
- ○ Portfolio 2
- ○ Portfolio 3
- ○ Portfolio 4

How far does the market have to fall before you'd consider selling an investment?

- ○ Between 5% - 10%
- ○ Between 10% - 20%
- ○ Between 20% - 30%
- ○ Between 30% - 40%
- ○ I would stay invested

How concerned are you about the future stability of your current income sources?

- ○ Not at all concerned
- ○ Slightly concerned
- ○ Moderately concerned
- ○ Very concerned

With which of the following have you had experience? (Check all that apply)

- ☐ Individual stocks
- ☐ Individual bonds
- ☐ Money market accounts or funds
- ☐ Certificates of deposit (CDs)
- ☐ Mutual funds/ETFs
- ☐ Real estate (other than your home)
- ☐ Real estate investment trusts (REITs)
- ☐ Options/ futures
- ☐ Trading on margin
- ☐ Short selling
- ☐ Derivatives

What average annual rate of return do you expect from your overall portfolio?

- ○ 0-3%
- ○ 4-6%
- ○ 7-9%
- ○ 10-12%
- ○ 13%+

Investment Planning

Investment Attitudes and Preferences

Please indicate whether you agree or disagree with the following statements.

Statement	Agree	Disagree
I am uncomfortable with any significant fluctuation in my portfolio.		
I monitor my investments frequently.		
It's important that my investments grow faster than inflation, even if my investments aren't 100% safe.		
I prefer mutual funds or exchange-traded funds to individual stocks or bonds.		
I prefer investing in large, stable companies.		
I would be uncomfortable if my investment income varied substantially from month to month.		
I feel comfortable with aggressive growth investments.		
I consider myself a risk taker.		
I would describe myself as a "buy and hold" investor.		
In my household, I am the sole decision-maker about investments.		
I prefer to invest more conservatively than my spouse/partner.		
I feel comfortable using leverage when investing.		
My family has no difficulty maintaining a financial cushion for emergencies.		
I am optimistic about the world economy.		
I use dollar-cost averaging (regularly investing equal amounts of money in a single investment).		

Notes

Investment Planning

Current Asset Allocation

Please enter the information for all investments you currently own.

	Client		
Asset	**Cost Basis (if known)**	**Current Value**	**Description/Details**
Cash and Cash Equivalents (CDs, Money Market)			
Stocks or Stock Mutual Funds/ETFs			
Taxable Bonds or Bond Funds/ETFs			
Tax-Free Bonds or Bond Funds/ETFs			
Other Mutual Funds/ETFs			
Real Estate/REITs			
Options			
Derivatives			
Precious Metals/Gems			
Collectibles			
Other (specify in Description/Details)			
	Total:	0	

Notes

Investment Planning

Current Asset Allocation

Please enter the information for all investments your spouse/partner currently owns.

	Spouse/Partner		
Asset	**Cost Basis (if known)**	**Current Value**	**Description/Details**
Cash and Cash Equivalents (CDs, Money Market)			
Stocks or Stock Mutual Funds/ETFs			
Taxable Bonds or Bond Funds/ETFs			
Tax-Free Bonds or Bond Funds/ETFs			
Other Mutual Funds/ETFs			
Real Estate/REITs			
Options			
Derivatives			
Precious Metals/Gems			
Collectibles			
Other (specify in Description/Details)			
	Total:	0	

Notes

Investment Planning

Investment History and Experiences

Please answer the following questions.

Are there any investments or companies you would avoid for ethical, social, or political reasons?
What investments have you made in the past that you have been pleased with? Why?
What past investments have not pleased you? Why?
Have you ever sold an investment when its price was down and later regretted doing so? What was it?
Have you experienced losses during an extended (one year +) bear market? When and how much?
Do you subscribe to any financial newsletters, websites, or other financial publications? Which ones?

What is your most important current source of financial information or advice?		
◯ Newspaper(s)	◯ Family or friends	◯ Professional advisor(s) (e.g., attorney, accountant)
◯ Television	◯ Employer-supplied information	◯ Business/financial magazine(s)
◯ Financial website(s)		

Estate Planning

Please check the correct response.

	Client		Spouse/ Partner	
Do you have an up-to-date:	**Yes**	**No**	**Yes**	**No**
Will?				
Power of Attorney for Property?				
Health Care Directives?				
Living Trust?				
Other Trust?				
Beneficiary Designations?				
Estate Plan?				
Business Succession Plan?				
Letter of Instruction?				
Do you keep your important documents in a safe deposit box?				
If so, does someone other than your spouse have access to it?				

Notes

Estate Planning

Please answer the following questions.

Do you have children from a previous marriage?
Do you have a child with special needs?
Do you have a pre- or post-marital agreement?
Are there any trusts which give you a power of appointment?
Are you worried about probate?
Are you concerned about your spouse/partner's ability to handle finances?
Are you concerned about how your descendents will spend their inheritances?
Do you have property outside the United States?

Estate Planning

Please answer the following questions.

Are you concerned about minimizing transfer taxes?
Are you charitably inclined?
Is asset protection a concern?
Are you interested in multi-generational planning?
If you're a business owner, are you interested in business succession strategies?
Have you ever filed a gift tax return?
Do you anticipate receiving a significant inheritance?
If you have a minor child, have you named a guardian in your will?

Tax Planning

> ***"Taxes, after all, are the dues we pay for the privileges of membership in an organized society."***
> ***~ Franklin D. Roosevelt***

Please check any of the following items that apply:

- [ ] I have self-employment income
- [ ] I have been subject to the Alternative Minimum Tax (AMT) in past years, or expect to be this year
- [ ] I have loss carryovers from prior years
- [ ] I have income from a non-U.S. source
- [ ] I have unexercised stock options, or have exercised stock options in the current tax year
- [ ] I currently employ a nanny or other domestic help
- [ ] I am currently working with a tax professional
- [ ] I am not a U.S. citizen
- [ ] My spouse is not a U.S. citizen

Please rate how important the following tax concerns are to you, 5 being the most important, 1 being the least important.

Concern	1	2	3	4	5
Year-end tax planning	☐	☐	☐	☐	☐
Planning for the alternative minimum tax (AMT)	☐	☐	☐	☐	☐
Personal residence and vacation home tax planning	☐	☐	☐	☐	☐
Marriage, divorce, and related concerns	☐	☐	☐	☐	☐
Starting, operating, or transferring a business	☐	☐	☐	☐	☐
Investment tax planning	☐	☐	☐	☐	☐
Charitable giving	☐	☐	☐	☐	☐
Other (specify) ______	☐	☐	☐	☐	☐

Tax Planning

Please answer the following questions.

Have you had, or are you currently undergoing, a tax audit?
Are you currently delinquent in filing a tax return, or do you owe the state or federal government for prior year taxes?
What is your filing status?
What is your effective federal income tax rate?
What is your effective state income tax rate? Which state(s)?
Have you ever invested in a tax shelter?
Notes

Content in this material is for general information only and not intended to provide specific advice or recommendations for any individual. All performance referenced is historical and is no guarantee of future results. All indices are unmanaged and may not be invested into directly.

The information provided is not intended to be a substitute for specific individualized tax planning or legal advice. We suggest that you consult with a qualified tax or legal professional.

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