

WEALTH
PRESERVATION
DATA COLLECTION
PROCESS.®

Date: _____

Mr. _____

Mrs. _____

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DOB: _____

of children _____

of grandchildren _____

Is it important to leave something for your heirs? _____

How old are or were your parents when they died? _____

Income:

Pension _____

What will happen if your spouse passes away? _____

SS# _____

Other sources of income (Interest, Minimum Dist., etc.)

Are these sources of income enough to maintain current lifestyle? _____

If it is not enough income, how much more do you need? _____

If you are receiving too much income, how much is excess income? _____

What are you doing with the excess income? _____

SAFE MONEY ASSETS:

CD's: _____

Money Markets / Saving: _____

Checking Accounts: _____

What is your average rate of return on these accounts? _____

Are you happy with these returns? _____

Are you spending the interest income? _____

TAX QUALIFIED ASSETS:

Mr. _____

Type of account: _____

Mrs. _____

Type of account: _____

Are you taking money from these accounts? _____

How much? (i.e. minimum distribution) _____

What are you doing with the money? _____

Are you aware of the taxes your heirs will inherit from these accounts? _____

Are there assets/bank accounts/investments that you intend to pass to your heirs? _____

INVESTED ASSETS:

Stocks: _____

Mutual Funds: _____

Bonds: _____

Type of Bonds?: _____

Are you aware of the effect of muni-bonds on Social Security income? _____

What interest or rate of return do you hope to achieve on these investments? _____

Are you living or liquidating any of these assets?: _____

How often do you hear from your broker? _____ **Page 3**

How did you find your broker? _____

How do you feel about your broker? _____

Are you aware of the loads and fees you are paying in these investments? _____

Are you comfortable with the performance of these accounts? _____

How do you plan on preserving these assets? _____

NON-QUALIFIED ANNUITY ASSETS:

Annuity Value: _____

How do you feel about these accounts? _____

When did you establish these accounts? _____

Do you know how they are performing? _____

Are you taking money from these accounts? _____

Are you aware of the tax implications to your heirs? _____

(review a current statement)

LIFE INSURANCE ASSETS:

Life Insurance Death Benefit On Mr: _____

Life Insurance Death Benefit On Mrs.: _____

Life Insurance Cash Value On Mr's Policy: _____ **Page 4**

Life Insurance Cash Value On Mrs.'s Policy: _____

When did you purchase these contracts? _____

Have you had them reviewed to see if you're paying too much? _____
(review a current statement)

DEBT:

How Much Do You Owe In Debt?: _____

How important is it to you to pay this off? _____

REAL ESTATE:

Value of Personal Residence: _____

Do you plan on living in your current residence for the rest of your life? _____

Value Of Other Real Estate: _____

Is This Real Estate Producing Income?: _____ How Much? _____

LONG TERM CARE:

Have you made any plans to protect your assets from long term care expense losses? _____ What? _____

Did Your Parents Require Long Term Care?: _____ **Page 5**

Do You Own A Long Term Care Policy?: _____

Long Term Care Insurance Premium?: _____

Is It A Connecticut Partnership Plan?: _____

ADVISORS:

Do you have a:

C.P.A. _____ Name: _____

Lawyer _____ Name: _____

Stock Broker _____ Name: _____

Insurance Agent _____ Name: _____

Estate Planner _____ Name: _____

Wealth Planner _____ Name: _____

When was the last time you spoke to your:

Stock Broker _____

Insurance Agent _____

Estate Planner _____

Do you have a Will? _____

When established? _____ Last updated? _____

Do you have a Living Trust? _____

When established? _____ Last updated? _____

**PLEASE MARK IN ORDER USING
1-6 FROM MOST IMPORTANT (1) TO
LEAST IMPORTANT (6)**

Protect Assets From Risk: _____

Never Running Out of Assets or Income _____

Saving Taxes (Income and Capital Gain): _____

Protect Assets for Heirs: _____

Protecting Assets From Long Term Care: _____

Other _____

**Please describe an ideal future for you, your spouse
and your heirs:**

To help the prospect describe the ideal future you may ask these types of probing questions, such as:

What would your monthly income be?

What rates of return would you achieve?

How much would you leave to your heirs?

What would your assets be protected from?

How long would your income last?

What would bring you financial peace of mind?