

YOUR INVESTMENTS AND OTHER ASSETS

401(K) PLANS

Description:

Whose plan? Client Co-Client

Current total value: \$

Current Roth value: \$

After-tax value (non-Roth): \$

Assign – How to Use: *(check one)*

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Income

Total income from this employer: \$

Will this amount inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- %

Your contributions:

Pre-tax contributions: Enter % of annual income % or Assume max contribution each year

After-tax contributions (non-Roth): % Roth contributions: %

Roth contributions: \$ Year contributions begin:

Contributions end: Client's Retirement Co-Client's Retirement Year:

Employer contributions If your employer matches your contributions, complete this section.

Employer will match this % of your contribution: % Up until your contribution reaches this %: %

Then your employer will match this % of your contribution: %

Up until your contribution reaches this %: %

Employer contributions limit

Maximum annual dollar limit: \$

(Some plans also have a maximum limit on the total dollars the employer will contribute in a year, regardless of the percentage limit above. If your plan has such a limit, enter the amount.)

401(K) PLANS (cont.)

Additional employer contributions - Profit sharing

If your employer makes contributions in addition to those above, enter them here.
Only enter those contributions you are confident you will actually receive.

Contribution as a % of income: %

Contributions as dollar amount: \$ Grow annually by %

Contributions End: Client's Retirement Co-Client's Retirement Year:

EMPLOYER SPONSORED PLANS

Type of plan: Description:

Whose plan? Client Co-Client Current total value: \$

Current Roth value: \$ After-tax value (non-Roth): \$

Assign – How to Use: (check one)

Fund All Goals Earmark to One or More Goals:

Not Used in Plan Leave to Estate

Income

Total income from this employer: \$

Will this amount inflate? No Yes, Base Inflation Rate Yes, Base Inflation Rate +/- %

Your contributions:

Pre-tax contributions: Enter % of annual income % or Assume max contribution each year

After-tax contributions (non-Roth): % Roth contributions: %

Roth contributions: \$ Year contributions begin:

Contributions end: Client's Retirement Co-Client's Retirement Year:

Employer contributions If your employer matches your contributions, complete this section.

Employer will match this % of your contribution: % Up until your contribution reaches this %: %

Then your employer will match this % of your contribution: %

Up until your contribution reaches this %: %

Employer contributions limit

Maximum annual dollar limit: \$

(Some plans also have a maximum limit on the total dollars the employer will contribute in a year, regardless of the percentage limit above. If your plan has such a limit, enter the amount.)

Additional employer contributions - Profit sharing

If your employer makes contributions in addition to those above, enter them here.

Contribution as a % of income: % Only enter those contributions you are confident you will actually receive.

Contributions as dollar amount: \$ Grow annually by %

Contributions end: Client's Retirement Co-Client's Retirement Year:

TRADITIONAL IRAS

Who is the owner: Client Co-Client

Description:

Current value: \$

After-tax value: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Pre-tax: Additions: \$

Inflate? No Yes

Maximum contribution each year

After-tax: Additions: \$

Maximum contribution each year

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

Who is the owner: Client Co-Client

Description:

Current value: \$

After-tax value: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Pre-tax: Additions: \$

Inflate? No Yes

Maximum contribution each year

After-tax: Additions: \$

Maximum contribution each year

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

Who is the owner: Client Co-Client

Description:

Current value: \$

After-tax value: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Pre-tax: Additions: \$

Inflate? No Yes

Maximum contribution each year

After-tax: Additions: \$

Maximum contribution each year

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

TRADITIONAL IRAS (cont.)

Who is the owner: Client Co-Client

Description:

Current value: \$

After-tax value: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Pre-tax: Additions: \$

Inflate? No Yes

Maximum contribution each year

After-tax: Additions: \$

Maximum contribution each year

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

SEPP IRA – 72(t)

Who is the owner: Client Co-Client

Description:

Ticker symbol:

Units:

Current value: \$

After-tax value: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

72(t) distributions:

Annual distribution amount: \$

Year distribution began:

Who is the owner: Client Co-Client

Description:

Ticker symbol:

Units:

Current value: \$

After-tax value: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

72(t) distributions:

Annual distribution amount: \$

Year distribution began:

ROTH IRAS

Who is the owner: Client Co-Client

Description:

Current value: \$

After-tax value: \$

Assign – How to Use: *(check one)*

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: *(check one)*

Pre-tax: Additions: \$

Inflate? No Yes

Maximum contribution each year

After-tax: Additions: \$

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

Who is the owner: Client Co-Client

Description:

Current value: \$

After-tax value: \$

Assign – How to Use: *(check one)*

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: *(check one)*

Pre-tax: Additions: \$

Inflate? No Yes

Maximum contribution each year

After-tax: Additions: \$

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

COVERDELL ACCOUNTS (ESA)

Who is the owner: Custodial

Description:

Current value: \$

Assign – How to Use: *(check one)*

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: *(check one)*

Additions: \$

Inflate? No Yes

Maximum contribution each year

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

COVERDELL ACCOUNTS (ESA) (cont.)

Who is the owner: Custodial

Description:

Current value: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Maximum contribution each year

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

529 SAVINGS PLAN

Who is the owner: Client Co-Client

Description:

Beneficiaries/Percentage:

Estate %

Other: – %

Co-Client %

Other: – %

Current value: \$

Is this asset subject to state taxes? No Yes

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

Who is the owner: Client Co-Client

Description:

Beneficiaries/Percentage:

Estate %

Other: – %

Co-Client %

Other: – %

Current value: \$

Is this asset subject to state taxes? No Yes

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

ANNUITIES

Who is the owner: Client Co-Client

Description:

Current value: \$

Cost basis: \$

Assign – How to Use: *(check one)*

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: *(check one)*

Additions: \$ Inflation? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

Who is the owner: Client Co-Client

Description:

Current value: \$

Cost basis: \$

Assign – How to Use: *(check one)*

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: *(check one)*

Additions: \$ Inflation? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

Who is the owner: Client Co-Client

Description:

Current value: \$

Cost basis: \$

Assign – How to Use: *(check one)*

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: *(check one)*

Additions: \$ Inflation? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

CASH VALUE LIFE: VARIABLE LIFE

Who is the owner: Client Co-Client

Insured: Client Co-Client 1st to Die 2nd to Die

Name or Description:

Beneficiaries:	Estate	%	Co-Client	%
Other:	-	%	Other:	- %
Other:	-	%	Other:	- %

Current value: \$

Cost basis: \$

Insurance amount: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Pre-tax: Additions: \$ Inflation? No Yes Maximum contribution each year

After-tax: Additions: \$ Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

Who is the owner: Client Co-Client

Insured: Client Co-Client 1st to Die 2nd to Die

Name or Description:

Beneficiaries:	Estate	%	Co-Client	%
Other:	-	%	Other:	- %
Other:	-	%	Other:	- %

Current value: \$

Cost basis: \$

Insurance amount: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Pre-tax: Additions: \$ Inflation? No Yes Maximum contribution each year

After-tax: Additions: \$ Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

OTHER TAX-DEFERRED

Who is the owner: Client Co-Client

Description:

Current value: \$

Cost basis: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

U.S. SAVINGS BOND

Who is the owner: Client Co-Client

Description:

Current value: \$

Cost basis: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

TAXABLE

Who is the owner: Client Co-Client Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property

Other w/ Client Other w/ Co-Client

Description:

Ticker symbol:

Units:

Current value: \$

Cost basis: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

TAXABLE (cont.)

Who is the owner: Client Co-Client Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property

Other w/ Client Other w/ Co-Client

Description:

Ticker symbol:

Units:

Current value: \$

Cost basis: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

TAX-FREE

Who is the owner: Client Co-Client Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property

Other w/ Client Other w/ Co-Client

Description:

Ticker symbol:

Units:

Current value: \$

Cost basis: \$

Is this asset subject to state taxes? No Yes

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Annual additions: (check one)

Additions: \$

Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:

TAX-FREE (cont.)Who is the owner? Client Co-Client Joint CustodialIf Joint, what kind? Survivorship Common Entirety Community Property Other w/ Client Other w/ Co-Client

Description:

Ticker symbol:

Units:

Current value: \$

Cost basis: \$

Is this asset subject to state taxes? No Yes**Assign – How to Use:** (check one) Fund All Goals Earmark to One or More Goals: Not Used in Plan Leave to Estate**Annual additions:** (check one) Additions: \$Inflate? No Yes

Year additions begin:

Year additions end: Client's Retirement Co-Client's Retirement Year:**PERSONAL AND BUSINESS ASSETS (Homes, Vehicles, Personal Property, Business Assets, Real Estate, etc.)**Owner: Client Co-Client Joint CustodialIf Joint, what kind? Survivorship Common Entirety Community Property Other w/ Client Other w/ Co-Client

Description:

Current value: \$

Will the value of this asset increase each year? No Yes: %Do you intend to sell this asset to help fund your goals? No Yes: % (If Yes, complete the remaining items)

Year to sell:

Future value (after tax) Low: \$

Future value (after tax) Expected: \$

Future value (after tax) High: \$

Assign – How to Use: (check one) Fund All Goals Earmark to One or More Goals: Not Used in Plan Leave to EstateOwner: Client Co-Client Joint CustodialIf Joint, what kind? Survivorship Common Entirety Community Property Other w/ Client Other w/ Co-Client

Description:

Current value: \$

Will the value of this asset increase each year? No Yes: %Do you intend to sell this asset to help fund your goals? No Yes: % (If Yes, complete the remaining items)

Year to sell:

Future value (after tax) Low: \$

Future value (after tax) Expected: \$

Future value (after tax) High: \$

Assign – How to Use: (check one) Fund All Goals Earmark to One or More Goals: Not Used in Plan Leave to Estate

PERSONAL AND BUSINESS ASSETS (cont.)

Owner: Client Co-Client Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property

Other w/ Client Other w/ Co-Client

Description: Current value: \$

Will the value of this asset increase each year? No Yes: %

Do you intend to sell this asset to help fund your goals? No Yes: % (If Yes, complete the remaining items)

Year to sell: Future value (after tax) Low: \$

Future value (after tax) Expected: \$ Future value (after tax) High: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

PENSION - LUMP SUM DISTRIBUTION

Who is the owner: Client Co-Client

Description:

Current value: \$

Year of distribution:

Value of distribution \$

Value is: (check one) Pre-tax After-tax

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

DEFERRED COMPENSATION (Receiving Now)

Who is the owner: Client Co-Client

Description:

Current value (today's dollars): \$

Distribution period

Number of years:

Annual payment (pre-tax): \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Who is the owner: Client Co-Client

Description:

Current value (today's dollars): \$

Distribution period

Number of years:

Annual payment (pre-tax): \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

DEFERRED COMPENSATION (Future)Who is the owner: Client Co-Client

Description:

Current value (*today's dollars*): \$**Contributions***Amount – Select method* None Percentage of income – Annual Income: \$

Grow Annually by: %

% Contribution:

 Dollar amount – \$

Grow Annually by: %

Period

Start year:

Year additions end: Client's Retirement Co-Client's Retirement Year:**Value at start of distribution**

Rate of return during accumulation: %

Year distributions begin: Client's Retirement Co-Client's Retirement Year:**Distribution period**

Number of years:

Annual payment (pre-tax): \$

Annual distribution

Rate of return during distribution: %

Assign – How to Use: (check one) Fund All Goals Earmark to One or More Goals: Not Used in Plan Leave to EstateWho is the owner: Client Co-Client

Description:

Current value (*today's dollars*): \$**Contributions***Amount – Select method* None Percentage of income – Annual Income: \$

Grow Annually by: %

% Contribution:

 Dollar amount – \$

Grow Annually by: %

Period

Start year:

Year additions end: Client's Retirement Co-Client's Retirement Year:**Value at start of distribution**

Rate of return during accumulation: %

Year distributions begin: Client's Retirement Co-Client's Retirement Year:**Distribution period**

Number of years:

Annual payment (pre-tax): \$

Annual distribution

Rate of return during distribution: %

Assign – How to Use: (check one) Fund All Goals Earmark to One or More Goals: Not Used in Plan Leave to Estate

INSURANCE ASSETS – CASH VALUE (Universal/Variable/Whole/Other)Owner: Client Co-ClientInsured: Client Co-Client 1st to Die 2nd to Die

Description:

Current cash value (*before tax – today's dollars*): \$Average annual growth rate (*excluding cost of insurance*):**Beneficiaries & Death Benefit**

Beneficiaries:	Estate	%	Co-Client	%
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Other:	–	%	Other:	–	%
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Other:	–	%	Other:	–	%
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Death benefit amount: Premium amount: \$ every:

How long will premiums be paid? Until insured dies Until policy terminates For this number of years:When will this policy terminate? When insured dies Year:Do you intend to sell this asset to help fund your goals? No Yes (*If Yes, complete the remaining items*)

Year of withdrawal:

Future cash value of policy (*before tax – future dollars*): \$

Tax-free withdrawal: \$

Assign – How to Use: (check one) Fund All Goals Earmark to One or More Goals: Not Used in Plan Leave to EstateOwner: Client Co-ClientInsured: Client Co-Client 1st to Die 2nd to Die

Description:

Current cash value (*before tax – today's dollars*): \$Average annual growth rate (*excluding cost of insurance*):**Beneficiaries & Death Benefit**

Beneficiaries:	Estate	%	Co-Client	%
-----------------------	--------	---	-----------	---

Other:	–	%	Other:	–	%
--------	---	---	--------	---	---

Other:	–	%	Other:	–	%
--------	---	---	--------	---	---

Death benefit amount: Premium amount: \$ every:

How long will premiums be paid? Until insured dies Until policy terminates For this number of years:When will this policy terminate? When insured dies Year:Do you intend to sell this asset to help fund your goals? No Yes (*If Yes, complete the remaining items*)

Year of withdrawal:

Future cash value of policy (*before tax – future dollars*): \$

Tax-free withdrawal: \$

Assign – How to Use: (check one) Fund All Goals Earmark to One or More Goals: Not Used in Plan Leave to Estate

529 SAVINGS PLAN

Owner: Client Co-Client

Description:

Current value: \$

Annual growth rate:

Do you intend to sell this asset to help fund your goals? No Yes (If Yes, complete the remaining items)

Year to sell:

Future value (after tax) Low: \$

Future value (after tax) Expected: \$

Future value (after tax) High: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Owner: Client Co-Client

Description:

Current value: \$

Annual growth rate:

Do you intend to sell this asset to help fund your goals? No Yes (If Yes, complete the remaining items)

Year to sell:

Future value (after tax) Low: \$

Future value (after tax) Expected: \$

Future value (after tax) High: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

FUTURE ASSETS *Cash (Inheritance, Gift, Settlement, etc.)*

Owner: Client Co-Client Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property

Other w/ Client Other w/ Co-Client

Description:

Year to receive:

Future value (after tax) Low: \$

Future value (after tax) Expected: \$

Future value (after tax) High: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

Owner: Client Co-Client Joint Custodial

If Joint, what kind? Survivorship Common Entirety Community Property

Other w/ Client Other w/ Co-Client

Description:

Year to receive:

Future value (after tax) Low: \$

Future value (after tax) Expected: \$

Future value (after tax) High: \$

Assign – How to Use: (check one)

Fund All Goals

Earmark to One or More Goals:

Not Used in Plan

Leave to Estate

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