

Client Profile

The first step in creating a personalized financial strategy is to develop a thorough understanding of your financial goals and the resources available to fund them. This document will help define and prioritize these goals and identify your resources. In addition, please gather statements for any accounts not held at Alta Financial Group, which will be helpful when discussing resources to fund your financial goals.

Personal Information

Name	Client	Co-Client
	Date of Birth	
	Gender	Male Female
	Marital Status	Single Widow / Widower Married Domestic Partners
	Employment Status	Retired Employed Business Owner Not Currently Employed
	Employment Income	\$
	Other Income	\$
	State of Residence	

Dependents

Name	Relationship	Date of Birth
1.		
2.		
3.		
4.		

DATE COMPLETED: / /

Defining Financial Goals

Retirement Lifestyle Expense Goals

Desired Retirement Age <i>The age at which you would like to retire</i>	Client	Co-Client
Willingness to Retire Later to Attain Goals? (if necessary)	Not at All Willing Slightly Willing Somewhat Willing Very Willing	Not at All Willing Slightly Willing Somewhat Willing Very Willing
Desired Income Amount (After Tax)	\$ _____ per year	

Education Goals

Importance High-Low (10-1)	Description	Student	Desired Amount (After Tax)	Start Date	Number of Years
			\$		
			\$		
			\$		
			\$		

Other Financial Goals

Importance High-Low (10-1)	Description	Start	Desired Amount (After Tax)	Number of Years
		At Retirement Year: _____		
		At Retirement Year: _____		
		At Retirement Year: _____		
		At Retirement Year: _____		
		At Retirement Year: _____		

Resources

Retirement Income

Social Security

	Client	Co-Client
Are you eligible?	Yes No	Yes No
If receiving now, enter amount/month	\$	\$
If currently employed, when should benefits begin?	At Retirement At Age _____	At Retirement At Age _____

Other Retirement Income

(e.g., from a Pension, Annuity, Trust, Part-Time Work or Rental Property Income)

Description	Owner	Amount / Month	Year It Begins	Year It Ends	Will This Benefit Increase with Inflation?
		\$			Yes No
		\$			Yes No
		\$			Yes No
		\$			Yes No

Assets Held at Other Financial Institutions

(Please provide copies of the most recent account statements or attach them to this profile.)

Taxable and Individual Retirement Accounts

(e.g., Brokerage Accounts, Savings Accounts, Annuities, IRAs, Roth IRAs, Other Tax-Deferred Accounts)

Description	Account Type	Owner	Value	Annual Savings
			\$	\$
			\$	\$
			\$	\$
			\$	\$
			\$	\$

Employer-Sponsored Retirement Accounts

Description	Account Type	Owner	Value	Annual Contributions	Employer Match
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	

Other Assets *(Residences, Personal Property, Vehicles, Businesses, Real Estate, Other)*

Description	Value
	\$
	\$
	\$
	\$
	\$

Liabilities *(e.g., Home Mortgages, Car Loans, Student Loans, Personal Loans, etc.)*

Include information regarding any outstanding liabilities you may have.

Description	Loan Type (Fixed, Adjustable, Interest Only)	Initial Amount	Start Date	Balance	Interest Rate %	Term	Monthly Payment
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$

Additional Information

Any information that you provide to us or that we provide to you is for investment education only. The information should not be viewed or relied upon as advice with respect to asset allocation or any particular investments.

Your investment analysis will be prepared by your Financial Advisor/Private Wealth Advisor. This review will be based on the information and financial documents that you provide. Please bear in mind that our calculations and recommendations will be based on this information, as well as certain estimates, variables, and assumptions that are believed to reflect sound economic theory but are purely forecasts and cannot be guaranteed.

Alta Financial Group and its affiliates may provide different information regarding asset allocation in connection with services and programs that they offer, including a different version of this service that may be available to certain clients. Such information may be based on different methodologies, estimates, variables and assumptions than those used in connection with the investment analysis, and may result in different proposed asset allocations than are given by the output. Your investment analysis is provided to you on the condition that we are not acting as a fiduciary for purposes of the Employee Retirement Income Security Act of 1974 ("ERISA") as a result.

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