The Wealth Protection Report

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All information entered is considered
personal and confidential
and will not be shared without permission.

GENERAL INFORMATION

Please complete the following information:

NAME ______________________________ DATE OF BIRTH ______________

SPOUSE NAME ______________________________ DATE OF BIRTH ______________

ADDRESS ____

CITY ______________________ STATE ________ ZIP CODE ______________

TELEPHONE ______________________________

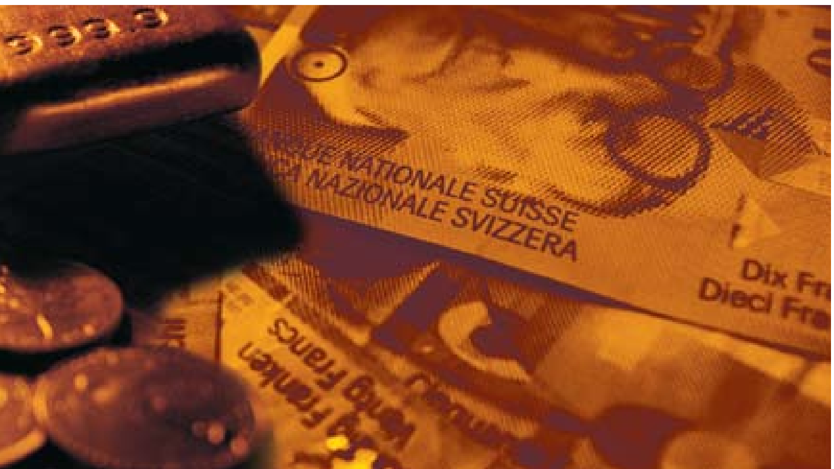
FAX ______________________________

EMAIL ______________________________

Note: All information is kept strictly confidential and is used only to help our clients reach their financial goals and protect their assets.

Please indicate Profession or Occupation

- ☐ Medical Doctor
- ☐ Attorney
- ☐ CPA/Accountant
- ☐ Business Owner
- ☐ Business Executive
- ☐ Insurance Professional
- ☐ Registered Investment Advisor
- ☐ Certified Financial Planner
- ☐ Stock Broker
- ☐ Other (Please Specify) ______________________________



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ADJUSTED GROSS INCOME

Tax Information

Filing Status ☐ Single ☐ Joint ☐ Married filing Separate ☐ Head of Household

Adjusted Gross Income $ ________

Total Annual Charitable Contributions $ ________

INVESTMENT INFORMATION

On average, do you spend one or more hours per day in investment activity including, but not limited to, watching investment news programs, or tracking, studying, or reading about your investments or investment performance?

☐ Yes ☐ No

Annual Savings and Investments

Cash, CDs, Money Market Investments $ ________

Stocks, Bonds, Publicly Traded Investments $ ________

Other Non Retirement/ Non Publicly Traded Investments $ ________

Qualified Pension/Retirement Plans $ ________

Non Qualified Pension/Retirement Plans $ ________

Total Investments [Sum of Above] $ ________

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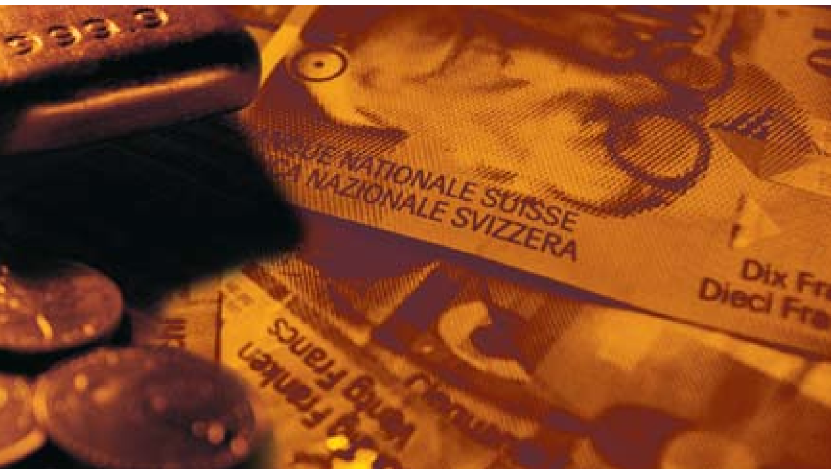
PERSONAL ASSETS

Please enter the approximate market value of your assets below. If you are married, please include the amount that you own jointly with your spouse.

Note: (1) Do not subtract for liabilities on real estate. You will list all liabilities (such as mortgages) below. (2) Please do not include in this Personal Assets section any business or other assets which you own through or in the name of a company, partnership, trust, or other entity. Include company, partnership, trust, or other values only under the section called Business Assets/Interests.

Market Value	
Primary Residence	$
All Other Real Estate	$
Cash Accounts (Checking, Saving, CDs)	$
Publicly Traded Accounts (Stocks, Bonds, Funds, etc.)	$
Qualified Pension/Retirement Plans (Defined Benefit/Contribution, etc.)	$
Non Qualified Pension/Retirement Plans (IRAs, etc.)	$
Annuities	$
Life Insurance (Cash Value)	$
Intellectual or Intangible Property (Copyright, Patents, etc.)	$
Personal Property (Jewelry, Art, Silverware, Vehicles, etc.)	$
Amounts Owed to You Secured by Promissory Notes/Deeds of Trust	$
All Other Asset Values	$
Sum of Personal Assets	$



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BUSINESS ASSETS/INTERESTS

For any business or other interests or shares which you own, please enter the approximate market value net of any debt or other obligations or liabilities of the business. If you are married, please include the combined value which you own jointly with your spouse.

Note: The company or enterprise itself may own vehicles, real estate, money market accounts, stocks, bonds, or other property. Since these assets are not owned by you, they should not be included in the values already entered for your Personal Assets. If you entered any such values above, please return to the Personal Assets section and remove them from the value provided.)

Market Value Net of Debt

C Corporation Interests	$	
S Corporation Interests	$	
Sole Proprietorship Interests	$	
Limited Liability Company Interests	$	
Limited Liability Partnership Interests	$	
General Partnership Interests	$	
Limited Partnership Interests	$	

Note: If you are a General Partner in a Limited or Family Partnership, enter the net value of your General Partnership interest there, not here

Sum of Business Assets/Interests	$	

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SPECIAL TRANSACTIONS

Offshore Rabbi Trust Information

Has your employer created a Rabbi Trust arrangement in your behalf which has a payout this year or in the next 10 years?

☐ Yes ☐ No

If yes, please provide the following:

Market Values

Cash Account	$
Publicly Traded Stocks	$
Other	$
Sum of Assets	$

Payout Years

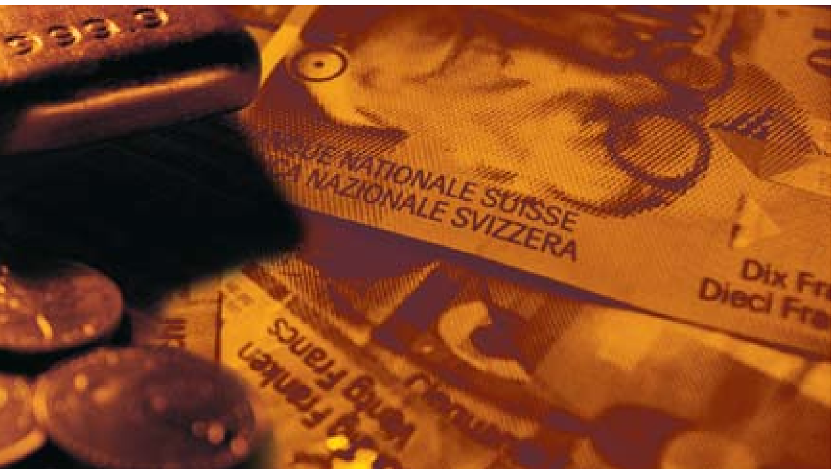
Is there more than one year for any Rabbi Trust payout?

☐ Yes ☐ No

If yes, please provide the following:

Please indicate each year the Rabbi Trust will have a payout, including the payout amount (use cash and publicly traded securities values).

Year		Year	
________	$	________	
________	$	________	
________	$	________	
________	$	________	
________	$	________	



SPECIAL TRANSACTIONS

Investment Information

Are you planning on making an investment within the next 6 months?

☐ Yes ☐ No

If yes, please provide the following:

Please state whether the investment you are planning to make is in a non-publicly traded security or a publicly traded security.

☐ Publicly Traded Security ☐ Non Publicly Traded Security

Please state the amount you plan to invest: $ ________

Please identify the month and tax year for the planned investment ________

Please identify the expected return on investment (% Annum): % ________

If Non Publicly Traded Security, please provide the following:

Please identify the type of non publicly traded interest you plan on purchasing, the percentage of interest that you (if married, then including the phrase (and your spouse)) will own, pass through deductions (estimated), if any; depletion allowances (estimated), if any; indebtedness you are assuming or responsible for, if any; and the minimum required holding period, if any.

Type of Business (e.g. Sole Proprietorship, LLC, etc.)	Nature of Business (e.g. Mining Materials, Car Leasing)

Interest % You Will Own	
Deductions (estimated)	
Depletion Allowances (estimated)	
Indebtedness	
Minimum Holding Period	

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SPECIAL TRANSACTIONS

Sale of a Business Interest (Sole Proprietorship, Stock, Partnership Interest)

Are you planning on selling a business interest?

☐ Yes ☐ No

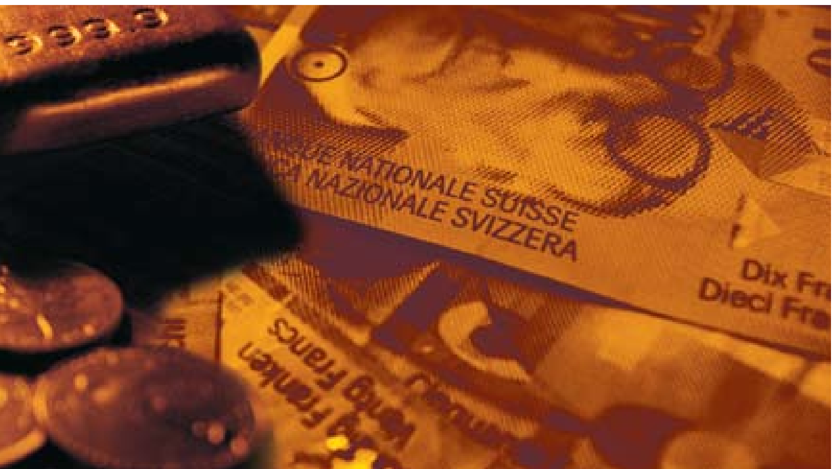
If yes, please provide the following:

Please identify the month and tax year for the planned sale.

Please identify the type of business interest, the percentage of interest that you (if married, then including the phrase (and your spouse)) own and are selling, its (estimated) basis, depreciation capture (if any), indebtedness, if any, and its (estimated) fair market value.

____
Type of Business
(e.g. Sole Proprietorship, LLC, etc.)

Interest % You Own & Sell	
Basis (estimated)	
Depreciation (estimated)	
Indebtedness	
Fair Market Value	



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SPECIAL TRANSACTIONS

Sale of Publicly Traded Securities

Are you planning on selling publicly traded securities within the next 6 months?

☐ Yes ☐ No

If yes, please provide the following:

For sales occurring within the next six months, please identify the month and tax year for the sale:

Please identify the security(ies) to be sold that you own, the (estimated) fair market value, the (estimated) tax basis, the (estimated) date of purchase, and indebtedness, if any.

Type of Asset	Fair market Value	Tax Basis	Purchase Date	Indebtedness
Stock	$	$	$	$
Bond	$	$	$	$
REIT	$	$	$	$
Mutual Fund	$	$	$	$
Other	$	$	$	$

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SPECIAL TRANSACTIONS

Sale of a Business Asset

Are you planning on selling an asset?

☐ Yes ☐ No

If yes, please provide the following:

Please identify the month and tax year for the planned sale:

Please identify the type of business asset, its (estimated) fair market value, its (estimated) basis, and indebtedness, if any.

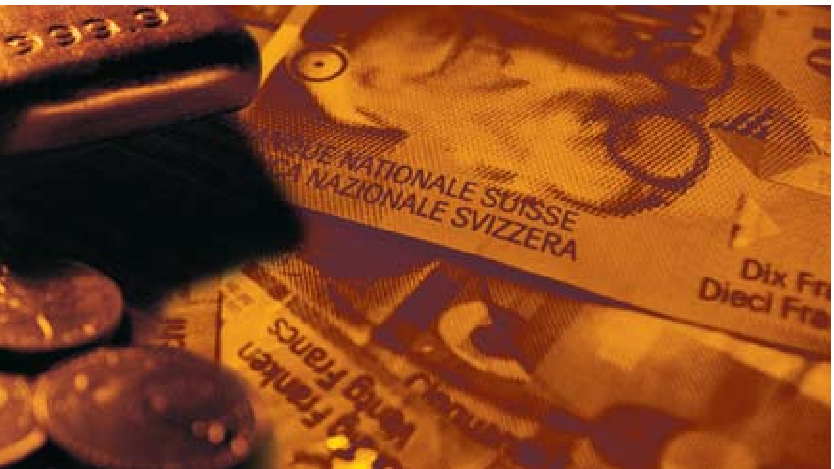
____

Type of Asset

Fair Market Value $ [ ]

Basis $ [ ]

Indebtedness $ [ ]



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SPECIAL TRANSACTIONS

Royalties

Do you receive royalty payments, or own a royalty producing asset?

☐ Yes ☐ No

If yes, please provide the following:

What is the fair market value of the underlying asset(s) from which royalty income is derived? $ ______________

What is the estimated tax basis of the underlying asset(s)? $ ______________

Is the underlying asset(s) domestic or foreign owned? ☐ Domestic Asset(s) ☐ Foreign Asset(s)

What is the legal manner or form of ownership for the underlying asset(s)? ______________

For each of the next ten years, estimate the amount of income derived from royalties, and the amount of that income necessary for maintaining your standard of living.

Year	Estimated Royalty Income	Portion needed for standard of living
	$	$
	$	$
	$	$
	$	$
	$	$
	$	$
	$	$
	$	$
	$	$
	$	$

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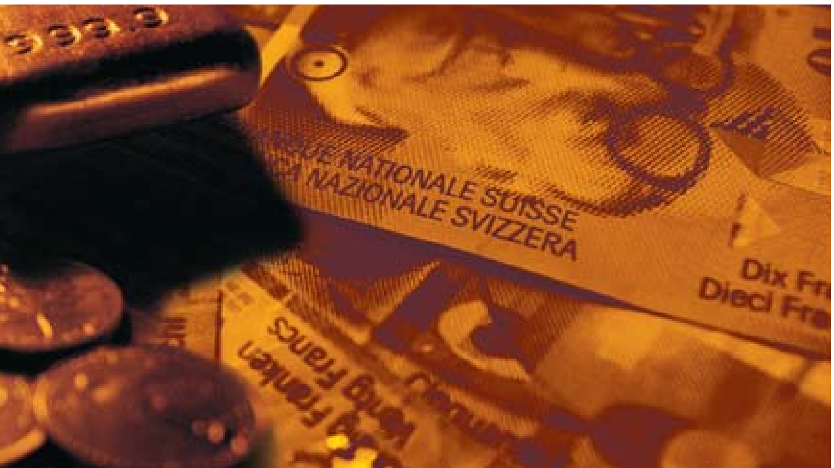
PERSONAL LIABILITIES/DEBTS

Please enter the approximate total personal debt. (Please do not include any business debts or liabilities, as these are accounted for already in the net values you gave for Business Assets.)

Primary Residence Mortgage(s)	$	
Primary Residence Equity Line(s)	$	
All Other Real Estate Debt	$	
Automobile Debt	$	
Credit Card Debt	$	
All Other Personal Liabilities/Debts	$	
Sum of Personal Liabilities/Debts	$	



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SPECIAL TRANSACTIONS

Document			Year Last Updated
Do you have a Will?	☐ Yes	☐ No	____________
Do you have a Durable Power of Attorney?	☐ Yes	☐ No	____________
Do you have a Special Power of Attorney?	☐ Yes	☐ No	____________
Do you have a Health Care Power of Attorney?	☐ Yes	☐ No	____________
Do you have a Living Will?	☐ Yes	☐ No	____________
Do you have a Living Trust?	☐ Yes	☐ No	____________
Do you have an Irrevocable Life Insurance Trust?	☐ Yes	☐ No	____________
When was your Asset Protection Plan most recently reviewed?	☐ Yes	☐ No	____________

Concerns

Please rank each concern on a scale of 1 to 10 (1 = not concerned, 10 = very concerned)

_______ Minimizing income tax liabilities

_______ Protecting wealth from potential lawsuits

_______ Privacy in my financial affairs

_______ Diversifying an investment portfolio

_______ Reducing capital gains taxes on investments

_______ Reducing estate taxes

_______ Business succession planning

_______ Charitable planning

_______ Life insurance needs

_______ Retirement planning

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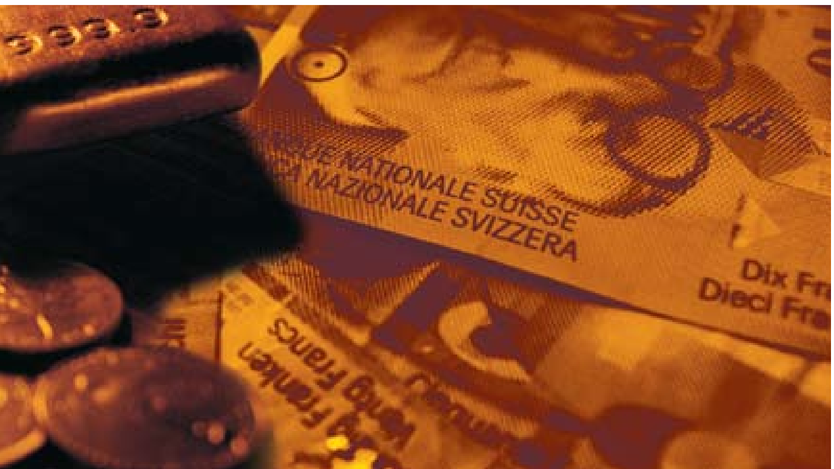
NOTES



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