



PRELIMINARY PERSONAL FINANCIAL PLANNING PROFILE

*The following information is
strictly confidential and will
not be disclosed to anyone
without your consent.*

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FEE ONLY PERSONAL FINANCIAL ADVISOR

IN PREPARATION FOR OUR FIRST MEETING

For our first meeting together there are two objectives:

1. ***We need to learn about you*** – in order to determine how we might best serve you. We want to know about your goals, your values, your concerns, your financial circumstances, and what you want out of an advisory relationship.
2. ***You need to learn about us*** – so you can decide if we are the right financial advisor for you. We want to make sure that you understand what we do, how we work, and what the benefits to you would be of choosing Connecticut Cambridge Advisors as your financial planner. We will try to answer any questions you have about working with us, the costs involved, and what your experience with us would be like.

Since this initial visit will be used by both of us to learn about the other and no substantial financial advice will be offered by us, there will be no charge for this first meeting. To facilitate our conversation and make our time together as productive as possible, please take a few moments to provide us with the following information.

OVERVIEW QUESTIONS

Your name(s): _____

Please describe your primary financial concerns. Why are you looking for a financial advisor?

1. _____

2. _____

3. _____

What are you looking for in an advisor? What would a good relationship look like?

How did you learn about Connecticut Cambridge Advisors? _____

BASIC INFORMATION ABOUT YOU

Client 1

Client 2

Full Name		
Name you prefer to be called		
Birthdate		
Citizenship		
Home Address		
Home Phone		
Cell Phone		
Preferred email		
Employer		
Position / Title		
Salary / Income		
Year with Employer		
Are you an owner of the business		
Work Phone		
Other		

Married? _____ Anniversary Date: _____ Prior marriages? _____

Children? _____

Name _____ Date of Birth _____ Whose child (both, 1 or 2) _____

Name _____ Date of Birth _____ Whose child (both, 1 or 2) _____

Name _____ Date of Birth _____ Whose child (both, 1 or 2) _____

Name _____ Date of Birth _____ Whose child (both, 1 or 2) _____

Grandchildren? _____ Number _____ Age (s) _____



YOUR INVESTMENT PLANNING GOALS & INVESTMENT OBJECTIVES

- How important are the following Financial Planning Objectives?

Please rank in the order of importance (1 = most important, 3 = least)

- _____ Retire comfortably
- _____ Provide for children's education
- _____ Save on income taxes
- _____ Provide for survivors in the event of my death
- _____ Structure my estate to minimize estate taxes
- _____ Other (Please explain) _____

- If retirement is one of your goals, at what age would you like to retire? _____
Your Spouse? _____

- How important are the following investment objectives?

Please rank in the order of importance (1 = most important, 3 = least)

- _____ Increase current income
- _____ Spread the risks among investments (i.e., diversity)
- _____ Have cash available for emergencies or investment opportunities (i.e., liquidity)
- _____ Accumulate funds that will keep pace with inflation or do better than inflation
- _____ Use borrowed funds to increase return from my investments (i.e., leverage)
- _____ Minimize the time I have to spend managing my investments

WHAT IS YOUR ATTITUDE TOWARD RISK?

Please check the one that best describes your attitude:

- _____ Strongly dislike risk, prefer very safe investments (i.e., insured savings accounts, government securities, etc.)
- _____ Prefer little risk. I want to know how much my investment will pay (i.e., highly-rated bonds)
- _____ Willing to assume some risk (i.e., stocks, mutual funds, etc.)
- _____ Prefer greater risk (i.e., speculative stocks and other investments where the return is uncertain, but may be substantial)

FINANCIAL OVERVIEW INFORMATION

ASSETS: Cash/Money Market accounts _____
(Estimates) Retirement accounts _____
IRAs / 401(K)s _____
Other: Stocks/Bonds/Mutual Funds _____
Do you expect a pension besides Social Security? _____
Investment Real Estate _____
Stock Options or Business Value _____
Mortgage \$ _____ Rate: _____ %
Home Value \$ _____
Other — Type _____ Value \$ _____
Type _____ Value \$ _____
Do you anticipate inheritance or other lump sum within five years? _____

FAMILY

INCOME: Income from Employment (Salary, Bonus, etc.): _____
Income from Investments: _____
Income from Real Estate (net of expenses): _____
Income from Trust or Gift: _____
Income from Inheritances, Settlements, other (describe): _____

ANNUAL

SAVINGS: Retirement Plan contributions Client 1 - \$ _____ Client 2 - \$ _____
Other Savings Client 1 - \$ _____ Client 2 - \$ _____

DEBTS: Other: _____

PLANNING: Do you have current wills and trusts? _____
How much life insurance do you have in force?
Client 1 _____ Client 2 _____
Do you use Quicken or a similar money program? _____
Are your tax payments current? _____
Do you have any major health issues? _____



MISCELLANEOUS INFORMATION

Have you ever been unhappy with the recommendations of a stockbroker, insurance agent and/or other financial advisor or consultant?

☐ Yes ☐ No

If yes, please explain _____

Do you expect any inheritances, legal settlements or gifts that may affect your financial plan?

☐ Yes ☐ No

If yes, please explain _____

