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CLIENT INFORMATION CHECKLIST

To assist me in preparing for our initial consultation, please prepare the following for me: a summary of the name, age and occupation/educational status (if any) of each family member; a brief description of your level of investment experience and risk tolerance; a statement of your overall objectives in working with me; and a list of the specific questions and concerns you would like me to address. Please also include your preferred phone and e-mail contact information.

In addition, please send me relevant documents from the list below, as well as any additional items you would like me to review. Feel free to contact me for guidance as to what materials to provide. I will return all original documents to you.

- Balance sheet (summary of current assets and liabilities)
- Income statement (annual summary of sources of income and major expense categories)
- Bank, brokerage and mutual fund account statements
- Retirement and/or college savings account statements
- Social Security and/or pension statements or details
- Details regarding mortgage(s), including balance, term, rate, monthly payment
- Federal tax return (pages 1-2)
- Summary of business/private investment ownership interests
- Life insurance and annuity statements and/or policies
- Investment prospectuses and related documents
- Estate planning documents or summary