

Personal Information



Registered Investment Advisor

806-798-1880 Fax 806-798-0083

Date: \_\_\_\_\_

Name \_\_\_\_\_ Age \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Phone \_\_\_\_\_

Occupation \_\_\_\_\_ Employer \_\_\_\_\_

CO-CLIENT (if applicable)

Name \_\_\_\_\_ Age \_\_\_\_\_

Address (if different) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Phone \_\_\_\_\_

Occupation \_\_\_\_\_ Employer \_\_\_\_\_

HOW DID YOU HEAR ABOUT BONNER & SMITH, LLC? WHO CAN WE THANK?

\_\_\_\_\_  
\_\_\_\_\_

WHAT ARE YOUR MOST CRITICAL FINANCIAL ISSUES?

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

HOW WOULD YOU LIKE TO BE CONTACTED?

Cell Phone \_\_\_\_\_ Home Phone \_\_\_\_\_ Email \_\_\_\_\_ Work \_\_\_\_\_ Preferred Time of Day \_\_\_\_\_

5807 63<sup>rd</sup> St, Suite 300 Lubbock, TX 79424

Bonner & Smith, LLC will keep all information provided confidential.

# Statement of Financial Condition



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NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

## ASSETS (Fair Market Value)

### CASH EQUIVALENTS

Checking and Savings Accts. \$ \_\_\_\_\_  
 Money Market Accts. \$ \_\_\_\_\_  
 Certificates of Deposits \$ \_\_\_\_\_  
 Life Insurance Cash Value \$ \_\_\_\_\_

### STOCK/BONDS/MUTUAL FUNDS

Attach separate statements  
 \$ \_\_\_\_\_  
 \$ \_\_\_\_\_  
 \$ \_\_\_\_\_  
 \$ \_\_\_\_\_

### RETIREMENT FUNDS

IRA Accounts \$ \_\_\_\_\_  
 Pension Plan \$ \_\_\_\_\_  
 Profit Sharing Plan \$ \_\_\_\_\_  
 401(k) or Thrift Plan \$ \_\_\_\_\_  
 TSA/403(b) Plan \$ \_\_\_\_\_  
 Deferred Compensation Plan \$ \_\_\_\_\_  
 ESOP or Stock Option Plan \$ \_\_\_\_\_

### REAL ESTATE / BUSINESS / OTHER

Oil Gas \$ \_\_\_\_\_  
 Real Estate \$ \_\_\_\_\_  
 Real Estate \$ \_\_\_\_\_  
 Gold / Precious Metals / Coins \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_

### OTHER ASSETS *Fair Market Value*

Home \$ \_\_\_\_\_  
 Automobile \$ \_\_\_\_\_  
 Automobile \$ \_\_\_\_\_  
 Personal Property \$ \_\_\_\_\_  
 Boat(s) \$ \_\_\_\_\_  
 Collectables \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_

**TOTAL ASSETS** \$  

## LIABILITIES

Home Mortgage \$ \_\_\_\_\_  
 Mortgage payment \$ \_\_\_\_\_  
 Interest Rate \_\_\_\_\_

Home Equity Line of Credit/Loan \$ \_\_\_\_\_  
 Second Mortgage \$ \_\_\_\_\_  
 Int. Rates on Loans \_\_\_\_\_  
 Other Mortgages \$ \_\_\_\_\_

Auto Loans/Leases \$ \_\_\_\_\_  
 \$ \_\_\_\_\_  
 Auto Mo. Payments \$ \_\_\_\_\_

Other Installment Loans \$ \_\_\_\_\_  
 \$ \_\_\_\_\_

Business Loans \$ \_\_\_\_\_  
 \$ \_\_\_\_\_

Taxes Due \$ \_\_\_\_\_  
 \$ \_\_\_\_\_

Credit Cards \$ \_\_\_\_\_  
 Interest rate \_\_\_\_\_ \$ \_\_\_\_\_

Other Personal Debt \$ \_\_\_\_\_

**TOTAL LIABILITIES** \$  

**NET WORTH** \_\_\_\_\_ (Assets minus Liabilities)  
 \$ \_\_\_\_\_

## INCOME

WHAT IS YOUR ANNUAL INCOME FROM:  
 Salary and/or Self-Employment \$ \_\_\_\_\_  
 Investment Income \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_

You may attach a new worth statement rather than complete this section

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# Tell Us About Yourself



Name: \_\_\_\_\_

Date: \_\_\_\_\_

	YES	NO
Do you plan to retire at a specific age? When? _____	<input type="radio"/>	<input type="radio"/>
Are you confident with your current retirement plan?	<input type="radio"/>	<input type="radio"/>
Are you working with a broker/financial advisor?	<input type="radio"/>	<input type="radio"/>
Are you willing to change financial advisors if you have one?	<input type="radio"/>	<input type="radio"/>
How committed are you to a worry free retirement? Not at all    Somewhat    Very	<input type="radio"/>	<input type="radio"/>
Are you willing to make changes to reach your retirement goal if necessary?	<input type="radio"/>	<input type="radio"/>
Would you work longer?	<input type="radio"/>	<input type="radio"/>
Would you save more?	<input type="radio"/>	<input type="radio"/>
Would you live on less?	<input type="radio"/>	<input type="radio"/>
Would you work during retirement?	<input type="radio"/>	<input type="radio"/>
Do you have 401(k) or retirement plans with previous employers?	<input type="radio"/>	<input type="radio"/>
Do you know how much you should save for retirement?	<input type="radio"/>	<input type="radio"/>
Do you have a workplace retirement plan? How much do you contribute? _____ %	<input type="radio"/>	<input type="radio"/>
What are your sources of retirement income? (circle if applicable) 401(k) 403(b) Inheritance Pension Personal Savings Social Security Other		
Your spouse's sources of retirement income? (circle if applicable) 401(k) 403(b) Inheritance Pension Personal Savings Social Security Other		
Do you save outside of work? Percent or amount? _____	<input type="radio"/>	<input type="radio"/>
Are you expecting to receive any large amounts of money in the next few years?	<input type="radio"/>	<input type="radio"/>
Will you have any large expenses in the next few years? If so list type and amount?	<input type="radio"/>	<input type="radio"/>

	YES	NO
Do you expect an inheritance? How much? _____	<input type="radio"/>	<input type="radio"/>
Do you want to leave an inheritance?	<input type="radio"/>	<input type="radio"/>
Do you have a desire to leave part of your estate to school, church, charity or other institution?	<input type="radio"/>	<input type="radio"/>
Are your parents or children dependent on you for support?	<input type="radio"/>	<input type="radio"/>
Do you plan to pay for or assist with your children's or grandchildren's education?	<input type="radio"/>	<input type="radio"/>
Do you have an emergency fund?	<input type="radio"/>	<input type="radio"/>
Do you take 401(k) loans or withdrawals?	<input type="radio"/>	<input type="radio"/>
Who pays the bills? _____		
Who's the saver in the family? _____		
What type of investing have you done in the past? _____		
How were investment decisions made? _____		
What do you believe is a reasonable rate of return on your investments? _____ %		
Do you have any investments that you are emotionally attached to?	<input type="radio"/>	<input type="radio"/>
Are there any investments you would rule out for yourself? Explain _____	<input type="radio"/>	<input type="radio"/>
Can you save money and leave it alone?	<input type="radio"/>	<input type="radio"/>
Will you allow someone to manage your assets?	<input type="radio"/>	<input type="radio"/>
Can you accept temporary declines in the value of your assets? Bear markets occur on average every 5 years.	<input type="radio"/>	<input type="radio"/>
Do you want to become wealthy?	<input type="radio"/>	<input type="radio"/>

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Documents we would like copies of:

- previous years tax returns
- Social Security statement
- Brokerage statements
- W-2s
- Recent payroll check-stub
- Retirement/Workplace savings statements