KING FINANCIAL GROUP
OF WELLS FARGO ADVISORS, LLC

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Seal Beach, CA 90740
562-493-7616

Initial Meeting Worksheet

Client Name: ______________

Your time is important. With this in mind, it is our objective to make the most of the time we will spend together. This initial-meeting worksheet has been designed to help you think about topics that are important to you and to allow us to focus on the topics you are interested in discussing. Providing this information prior to our meeting will allow us to appropriately prepare for our meeting and assist us in determining exactly how our investment planning services may be of value to you, however we will discuss each of the items in detail during the meeting if you would prefer to go over this information then. Of course, all of your information is strictly confidential and will be treated in such a manner.

Thank you for your time and consideration.

Family and Employment Questions

1. What are your primary reasons for meeting with us today?

2. Do you have children? Grandchildren? (Names and dates of birth)

3. What is your occupation? Who is your employer

Your Experience & Expectations of Working with Financial Professionals

4. Do you currently work with a: Financial Advisor ❒
   Investment Advisor ❒
   Estate Planner ❒
   Other (please specify) ______________________________

5. How long have you worked with this individual(s)?

6. Are you satisfied with their service? Why or why not?

7. Of the people you rely on for financial advice, who do you consider the *most valuable* and why?

8. Of all the financial advice you have received over the years, who/what do you consider to have been the *least helpful* and why?

9. What are your expectations from the financial planning process?

10. What is the <u>best</u> financial decision you ever made?

11. What is the <u>worst</u> financial decision you ever made?

12. What concerns you the most about your current situation?

13. Do you have a plan for retirement? Yes ❒ No ❒ Please explain.

14. How would you define your financial independence?

15. Please give a brief description of your current estate plan:

    Do you have a will? Yes ❒ No ❒

    Do you have a family living trust? Yes ❒ No ❒

    Is there life insurance to pay for estate taxes? Yes ❒ No ❒

    Do you have any additional estate planning strategies (i.e. ILIT, FLP, GRAT, Gifting) in place?

Your Current Financial Situation

1. To the best of your knowledge, approximately how much do you currently have invested in:

    a. Cash, Bonds, Guaranteed Certificates etc. $______________
    b. Mutual Funds & Stocks $______________
    c. Retirement Funds (IRA, 401(k), 403(b)) $______________
    d. Qualified Tuition Savings plans (529) $______________
    e. Other Types of Investments $______________
    f. Other Assets (Real Estate, etc.) $______________
    g. Other Assets (Business) $______________
    h. Liabilities
        i. Mortgage $______________
        ii. Credit Cards $______________
        iii. Line of Credit $______________
        iv. Other $______________

2. What is your approximate annual net family income? $______________

3. Are there any other details of your current financial situation that you would like me to know at this point?

Contact Information

Name: ________________________________ Spouse's Name: ________________________

Date of birth: __________________________ Spouse's DOB: ________________________

Home Address: ____

City, State, Zip: ________________________ Home Phone: ___________________________

Cell Phone: ____________________________ Spouse's Cell Phone: ___________________

Email address: ____

Spouse's Email address: ____