



Reese Financial Mgmt, Inc.
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Client Factfinder

Personal Information



Date:

Mr.

Mrs.

Ms.

First Name	M. I.	Last Name
Birth Date	Age	Social Security Number
Street Address		
City/Town	State/ZIP	
Home Phone	Home FAX	
Cellular Phone	Email Address	
Employment		
Occupation	Employer	
Employer Address	Phone	
Fax	Email Address	
Education		
School	Degree	Affiliations (clubs, activities, sports)
High School		
College		
Graduate School		
Military Service		
Dates of Active Duty	Branch	Type of Discharge
Notes		

Personal Information



Mr. Mrs. Ms.

Spouse/Partner		
First Name	M. I.	Last Name
Birth Date	Age	Social Security Number
Cellular Phone	Email Address	
Spouse/Partner's Employment		
Occupation	Employer	
Employer Address	Phone	
Fax	Email Address	
Spouse/Partner's Education		
School	Degree	Affiliations (clubs, activities, sports)
High School		
College		
Graduate School		
Spouse/Partner's Military Service		
Dates of Active Duty	Branch	Type of Discharge
Children/Grandchildren/Other Dependents		
Name	Birth Date	Relationship

Please attach any additional information on a separate sheet.

Personal Information



Contacts

Tax Preparer	
Name	Address
Phone	Email
Attorney	
Name	Address
Phone	Email
Insurance Agent	
Name	Address
Phone	Email
Investment Advisor	
Name	Address
Phone	Email
Notes	

Financial Concerns

"Money is better than poverty, if only for financial reasons."

~ Woody Allen



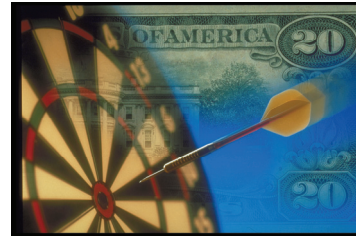
Please rate how important the following financial concerns are to you, 5 being the most important, 1 being the least important.

Concern	1	2	3	4	5
Plan a budget					
Start a short-term savings plan (e.g., to buy a house, or take a vacation)					
Create or update an education savings plan for my children					
Create or update a retirement savings plan					
Create or update an investment plan					
Create or update an estate plan					
Start a new business					
Review tax efficiencies					
Analyze my insurance needs					
Organize my financial documents					

Notes

Financial Goals Worksheet

***"Goals are dreams with deadlines."
~ Diana Sharf Hunt***



Please complete this worksheet for your two most important short-term, medium-term, and long-term financial goals.

Goal	By When?	Amount
Short Term (within 3 years)		
Medium Term (3-7 years)		
Long Term (over 7 years)		
Notes		

Financial Information



Assets Use current fair market value		Liabilities	
Cash and CDs		Mortgages	
Primary Residence		Other Home Loans	
Second Residence		Vehicle Loans	
Automobiles		School Loans	
Other Vehicles		Business Loans	
Business Interests		Other Loans	
Retirement Accounts		Notes	
Investments		Credit Cards	
Fine Art, Jewelry, Collectibles		Medical Bills	
Other Personal Property		Taxes	
Any Other Assets		Any Other Liabilities	
Total Assets		Total Liabilities	
		Net Worth Total assets minus total liabilities	

Are any liquid assets earmarked as an "emergency fund"?

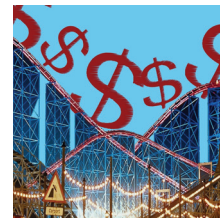
Yes No If yes, how much?

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Notes

Investment Planning

Investor Profile



Please check the response that best applies.

What is your primary objective for your investments?	Preservation of existing assets	Ongoing income	Capital growth	Highest potential returns															
Which statement best describes your investing knowledge?	I have limited knowledge	I understand basic principles, but don't follow the market	I have general knowledge and follow the market	I have considerable knowledge															
In which of these hypothetical portfolios would you be most likely to invest?	<div style="text-align: center;"> <p>Possible Annual Rate of Return</p> <table border="1"> <caption>Possible Annual Rate of Return Data</caption> <thead> <tr> <th>Portfolio</th> <th>Potential Increase</th> <th>Potential Decrease</th> </tr> </thead> <tbody> <tr> <td>Portfolio 1</td> <td>5%</td> <td>-2%</td> </tr> <tr> <td>Portfolio 2</td> <td>8%</td> <td>-3%</td> </tr> <tr> <td>Portfolio 3</td> <td>20%</td> <td>-9%</td> </tr> <tr> <td>Portfolio 4</td> <td>38%</td> <td>-17%</td> </tr> </tbody> </table> </div>				Portfolio	Potential Increase	Potential Decrease	Portfolio 1	5%	-2%	Portfolio 2	8%	-3%	Portfolio 3	20%	-9%	Portfolio 4	38%	-17%
Portfolio	Potential Increase	Potential Decrease																	
Portfolio 1	5%	-2%																	
Portfolio 2	8%	-3%																	
Portfolio 3	20%	-9%																	
Portfolio 4	38%	-17%																	
How far does the market have to fall before you'd consider selling an investment?	Between 5% - 10%	Between 10% - 20%	Between 20% - 30%	Between 30% - 40%	I would stay invested														
How concerned are you about the future stability of your current income sources?	Not at all concerned	Slightly concerned	Moderately concerned	Very concerned															
With which of the following have you had experience? (Check all that apply)	Individual stocks	Individual bonds	Money market accounts or funds	Certificates of deposit (CDs)	Mutual funds/ETFs														
	Real estate (other than your home)	Real estate investment trusts (REITs)	Options/futures	Trading on margin	Short selling														
	Derivatives																		
What average annual rate of return do you expect from your overall portfolio?	0-3%	4-6%	7-9%	10-12%	13%+														

Investment Planning

Investment Attitudes and Preferences



Please indicate whether you agree or disagree with the following statements.

Statement	Agree	Disagree
I am uncomfortable with any significant fluctuation in my portfolio.		
I monitor my investments frequently.		
It's important that my investments grow faster than inflation, even if my investments aren't 100% safe.		
I prefer mutual funds or exchange-traded funds to individual stocks or bonds.		
I prefer investing in large, stable companies.		
I would be uncomfortable if my investment income varied substantially from month to month.		
I feel comfortable with aggressive growth investments.		
I consider myself a risk taker.		
I would describe myself as a "buy and hold" investor.		
In my household, I am the sole decision-maker about investments.		
I prefer to invest more conservatively than my spouse/partner.		
I feel comfortable using leverage when investing.		
My family has no difficulty maintaining a financial cushion for emergencies.		
I am optimistic about the world economy.		
I use dollar-cost averaging (regularly investing equal amounts of money in a single investment).		

Notes

Investment Planning

Current Asset Allocation



Please enter the information for all investments you currently own.

Client			
Asset	Cost Basis (if known)	Current Value	Description/Details
Cash and Cash Equivalents (CDs, Money Market)			
Stocks or Stock Mutual Funds/ETFs			
Taxable Bonds or Bond Funds/ETFs			
Tax-Free Bonds or Bond Funds/ETFs			
Other Mutual Funds/ETFs			
Real Estate/REITs			
Options			
Derivatives			
Precious Metals/Gems			
Collectibles			
Other (specify in Description/Details)			
	Total:		

Notes

Investment Planning

Current Asset Allocation



Please enter the information for all investments your spouse/partner currently owns.

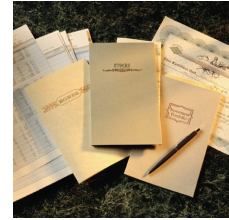
Asset	Spouse/Partner		
	Cost Basis (if known)	Current Value	Description/Details
Cash and Cash Equivalents (CDs, Money Market)			
Stocks or Stock Mutual Funds/ETFs			
Taxable Bonds or Bond Funds/ETFs			
Tax-Free Bonds or Bond Funds/ETFs			
Other Mutual Funds/ETFs			
Real Estate/REITs			
Options			
Derivatives			
Precious Metals/Gems			
Collectibles			
Other (specify in Description/Details)			
	Total:		

Notes

Investment Planning

Investment History and Experiences

Please answer the following questions.



Are there any investments or companies you would avoid for ethical, social, or political reasons?

What investments have you made in the past that you have been pleased with? Why?

What past investments have not pleased you? Why?

Have you ever sold an investment when its price was down and later regretted doing so? What was it?

Have you experienced losses during an extended (one year +) bear market? When and how much?

Do you subscribe to any financial newsletters, websites, or other financial publications? Which ones?

What is your most important current source of financial information or advice?

Newspaper(s)	Family or friends	Professional advisor(s) (e.g., attorney, accountant)
Television	Employer-supplied information	Business/financial magazine(s)
Financial website(s)		



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