REVIEW WORKSHEET

Name(s): ______________________________ **Date of Review:** ______________________________

We wish to develop a strategy to best pursue your personal and financial goals, while at the same time continually improving our relationship. In order to best help achieve these goals, we are asking you to document the significant events in your life and to share with us some details from the past year. Please answer the following questions and mail your responses back to us in the enclosed envelope prior to our next meeting. Your responses will help us improve the services we provide to you.

Please answer the following questions to the best of your ability in a few sentences:

1. What do you value most about the services we offer?

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2. If you could accomplish one thing in your lifetime, what would it be?
   (Travel, major purchase, location/lifestyle change, etc.)

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3. Can you tell me about the interests of your family members?
   (Sports, travel, hobbies, etc.)

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4. If you have children or grandchildren, what are your plans for their education?
   (Grammar school, high school, college, etc.)

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HW FINANCIAL ADVISORS
Registered Investment Adviser
A FINANCIAL PARTNERSHIP THAT FITS

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5. Have there been any significant lifestyle changes over the past year?
   (Marriage, divorce, house purchase, anniversary, promotion, births, deaths, onset of health problems, recent accomplishments, etc.)

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6. How would you best describe a happy retirement both financially and emotionally in the future?
   (How you spend your time, travel, working, living situation, with family, etc.)

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7. Have there been any changes in your life that would benefit from financial guidance?
   (Estate planning, inheritance, social security eligibility, retirement, etc.)

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8. Since our last review, has your attitude changed regarding the stock market or your investment risk tolerance?
   (Domestic, international, bond market, interest rates, unemployment, current goals, future goals, portfolio risk tolerances, etc.)

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9. Since our last review, have you developed any concerns or anxieties regarding the economy, politics, or the community?

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10. Since our last review, have any of your short- or long-term goals changed?
    (Retirement goals, investment objective, wedding, college tuition payments, etc.)

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11. Since our last review, have there been any changes in your personal or financial situation? *(Retirement time horizons, beneficiary changes, retirement income/cash flows, contributions, company bonuses, tax changes, etc.)*

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12. Do you have an understanding of the asset allocations and investment decisions we've made? Please explain your answer.

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13. Do you have any current or future charitable commitments? If so, please explain.

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14. Are you concerned about preserving your assets from health care expenses as you get older? Would you like more information regarding long-term care insurance (LTCI)?

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15. Retirement planning has become a focus within our firm. Can you tell me some of the issues or concerns (financial or emotional) you have had about reaching retirement?

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16. When was the last time you reviewed your will, trusts, power of attorney, health care proxy, living will, life insurance, auto insurance, personal umbrella policy, and so on?

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17. Would you like us to review your existing insurance policies and/or to discuss the benefits of using different types of insurance in your overall financial plan?

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18. Do you feel there is any service we should be providing that we currently do not offer? If so, please explain.

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19. We have found that fostering a relationship with your professional affiliations provides us with the opportunity to better pursue your financial goals. Please take a moment to complete the following information.

Attorney

Name/Firm: ____

Telephone number: ____

Address: ____

E-mail address: ____

How long have you worked with this professional? ____

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