RESOURCE advisory services
THERE IS MORE TO MONEY THAN MONEY.®

Initial Meeting Preparation

Resource Advisory Services does not expect fees for initial meetings. The meeting's purpose is not to provide services, although we frequently resolve issues for people during these meetings. It is a time for you to explore whether our services will improve your lifestyle and for us to explore whether we believe a good long-term relationship is likely to evolve.

Be prepared to talk about your financial situation, the reasons you think you may need a financial planner, the issues that are difficult for you to manage, and your expectations for your future. When spouses are involved, we are very interested in hearing both viewpoints.

There are several documents that can facilitate effective use of our time together. The broad request is for anything that helps us understand your current Net Worth Statement and the related financial situation. Suggested documents are listed below. These may remind you of other useful items.

- Most recent net worth statement or home mortgage application, if available – If the relationship continues, we will develop a Net Worth Statement in our format. Previous versions help ensure that we include important items.

- Recent securities account statements – These help us document current values.

- Estimates of typical checking account balances – If the current balances are significantly different from "normal," we want to discuss the reasons.

- Home value and mortgage information – At this stage, reasonably accurate estimates are sufficient.

- Life insurance summary – Typically an annual statement will include this information. If there is a life insurance trust, we should discuss it, and a copy of the document is useful.

- Estate Plan summary – Attorneys sometimes prepare a "plain English" letter, describing the intent of the legal documents. These are very helpful. We want to talk about your intentions in estate planning. Later we may need copies of estate planning documents.

- Employer benefits statements and employment agreements if applicable - We want to consider your relationship to your employer(s), and hear your vision for your career and retirement.

- Federal Tax Return for the most recent year - Unless there are significant extraordinary items, we are not likely to need previous returns. We will talk about your expectations for the current year's return.

- Client Information Form – Please complete the form on page 2 and 3 of this document and bring it with you to the initial meeting.

We will use the information you bring to guide our discussion. If our relationship continues after the meeting, we can study the documents more carefully later. In the meeting, we will be most interested in hearing your understandings and goals. In the end, improving your lifestyle is our mission. This will likely mean much more than simply making you financially wealthier. **There is more to money than money.®** We want to understand your personal relationship to your wealth.

CLIENT PERSONAL INFORMATION Date: ____________

Referred By: ________________________ Address: ____

CLIENT INFORMATION

Full Name: ___________________________ Full Name: ___________________________

Preferred Name: _______________________ Preferred Name: _______________________

SSN: _____________________ SSN: _____________________

Date of Birth: _____________ Date of Birth: _____________

Cell Phone: ______________________ Cell Phone: ______________________

Pager: _________________________ Pager: _________________________

E-Mail Address: ___________________________ E-Mail Address: __________________________

Address (Home): ____

Preferred Mailing Address: ____

Home Phone: __________________ Fax #: ___________________ Wedding Anniversary: ______________

Client Interests: ____

BUSINESS INFORMATION

Employer: _______________________________ Employer: _______________________________

Business Address: __________________________ Business Address: __________________________

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Business E-Mail: __________________________ Business E-Mail: _________________________

Job Title: ______________________________ Job Title: ______________________________

Average Salary: ______________________ Average Salary: ______________________

Business Phone: ______________________ Business Phone: ______________________

Business Fax: ________________________ Business Fax: ________________________

Website: _____________________________ Website: _____________________________

CHILDREN & OTHER DEPENDENTS

1) Name: ________________________________ SSN: ____________________ Phone #: ____________________

Address: ____

DOB: _______________ Job Title: _____________________ Relationship: __________________

2) Name: ________________________________ SSN: ____________________ Phone #: ____________________

Address: ____

DOB: _______________ Job Title: _____________________ Relationship: __________________

3) Name: ________________________________ SSN: ____________________ Phone #: ____________________

Address: ____

DOB: _______________ Job Title: _____________________ Relationship: __________________

EMERGENCY CONTACT PERSON ____

CLIENT FINANCIAL INFORMATION

ESTATE PLANNING

Do you have an Estate Plan?____

Wills ___ Power of Attorney ___ Health Care Power of Attorney ___

Attorney Contact Information: ____

INSURANCE AND AGENT INFORMATION

Life Insurance:____

Long-term Care Insurance:____

Disability Insurance:____

TAX PREPARATION

CPA Information: ____

BANK INFORMATION

Account Type: ____

Bank Branch: ____

Contact Person: ____

Account Type:____

Bank Branch: ____

Contact Person: ____

Account Type: ____

Bank Branch:____

Contact Person: ____

OTHER INFORMATION

Would you like your Quarterly Reports by: E-mail__ Mail__ Both__

Is there other information you would like to include?

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