

## CLIENT INTAKE FORM

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- Please complete this form *prior* to your appointment.
- Please print clearly.
- If you are unsure of any information, please leave it blank.
- It is okay to approximate amounts and include attachments if you need additional space.
- Remember to sign and date the last page.
- **Bring the completed form and your most recent tax return with you to your appointment.**
  - If questions come up as you work through these materials, please feel free to contact us.

*We respect your privacy and will not disclose this information to any outside parties without your expressed written consent.*

Client 1 Name: \_\_\_\_\_

Nickname: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ SSN: \_\_\_\_\_

Client 2 Name: \_\_\_\_\_

Nickname: \_\_\_\_\_ Date of Birth: \_\_\_\_\_ SSN: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Business Phone: \_\_\_\_\_

Mobile Phone: \_\_\_\_\_ E-Mail Address: \_\_\_\_\_

Alternate/Seasonal Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Alternate Phone: \_\_\_\_\_

Do you have a current will?  Yes  No

Do you have a current living trust?  Yes  No

Does the will leave everything to your partner?  Yes  No

Does the will use trusts to take advantage of estate tax credits?  Yes  No

Planned retirement date: \_\_\_\_\_ If retired, date retired: \_\_\_\_\_



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**CLIENT INTAKE FORM** *continued*

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What are your primary financial concerns (e.g., preparing for retirement, college expenses, estate issues, current tax concerns)? (List in order of importance.)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

What kind of financial legacy do you want to leave?

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How would you improve your financial situation if you could? Why?

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Community Involvement:     Charities     Volunteerism     Other: \_\_\_\_\_

Interests/Hobbies:     Gardening     Travel     Education     Wine-tasting     Reading  
 Golf     Tennis     Sailing     Fishing  
 Other: \_\_\_\_\_

**Preferences (Check the answers that apply.)**

What is the best time to call you between 8:00 A.M. and 5:00 P.M.?

- 8:00     9:00     10:00     11:00     12:00     1:00     2:00     3:00     4:00     5:00

Where is the best place to call you?     Home     Work     Mobile     Any

What is the best time to schedule annual meetings?

Day:     Mondays     Tuesdays     Wednesdays     Thursdays     Fridays

Time:     8:00     9:00     10:00     11:00     12:00     1:00     2:00     3:00     4:00     5:00

What kind of beverage do you prefer?

- Coffee     Decaf Coffee     Tea     Decaf Tea     Soda     Water  
 Cream     Milk  
 Sugar     Sweet 'n Low     Equal     Splenda

## SUPPLEMENTAL INFORMATION

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Client Name(s): \_\_\_\_\_

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

	Client 1	Client 2
Self-Employed?		
Company Name		
Business Address		
Business Fax		
Attorney's Name		
Attorney's Phone Number		
Insurance Agent's Name		
Insurance Agent's Phone Number		
Accountant's Name		
Accountant's Phone Number		
Parents Living?		
Mother		
Father		
Children	Names	Birth Dates
Other Dependents?		

Do you have any special concerns or needs for your parents, children, grandchildren, or others?

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# FINANCIAL NEEDS/INTERESTS

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Client Name(s): \_\_\_\_\_

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

Rank the following **products/services** in order of importance to you, with “1” being the most important:

- \_\_\_\_\_ Estate planning
- \_\_\_\_\_ Tax planning
- \_\_\_\_\_ College funding/educational planning
- \_\_\_\_\_ Retirement planning
- \_\_\_\_\_ Budgeting
- \_\_\_\_\_ Debt management
- \_\_\_\_\_ Trust planning
- \_\_\_\_\_ Socially responsible investing
- \_\_\_\_\_ Life insurance
- \_\_\_\_\_ Disability insurance
- \_\_\_\_\_ Long-term care insurance
- \_\_\_\_\_ Nursing home expenses
- \_\_\_\_\_ Alternative investments (e.g., limited partnerships, REITs)
- \_\_\_\_\_ Regular portfolio reviews:  
                    Check one:     Quarterly     Semiannually     Annually
- \_\_\_\_\_ Professional referrals
- \_\_\_\_\_ Charitable giving



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Rank both of the following list of **goals** and **features** in order of importance to you, with “1” being the most important:

**Goals**

- \_\_\_\_\_ Lower income taxes
- \_\_\_\_\_ Hedge against inflation
- \_\_\_\_\_ Plan for retirement
- \_\_\_\_\_ Reduce estate taxes
- \_\_\_\_\_ Avoid probate fees
- \_\_\_\_\_ Reduce insurance premiums
- \_\_\_\_\_ Increase net worth
- \_\_\_\_\_ Increase current income
- \_\_\_\_\_ Ensure proper disposition of assets
- \_\_\_\_\_ Organize financial affairs
- \_\_\_\_\_ Peace of mind
- \_\_\_\_\_ Other:
- \_\_\_\_\_ Other:

**Desired Investment Features**

- \_\_\_\_\_ Liquidity
- \_\_\_\_\_ Current income
- \_\_\_\_\_ Growth potential
- \_\_\_\_\_ Future income
- \_\_\_\_\_ Tax advantages
- \_\_\_\_\_ Preservation of capital

# RISK TOLERANCE

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Client Name(s): \_\_\_\_\_

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

## What type of investor are you?

The answers provided on this score sheet will help give you an indication of which investment strategy may be appropriate for your current needs. Just circle the corresponding point value, and then use the calculation provided to give you your total. Match the total to the strategy listed at the end of the score sheet.

## Examine the time frame for the investment you're planning to make, as it's important to consider how long your money can be invested.

1. In approximately how many years do you expect to need this money?

	<b>Points</b>
A. 2–3 years	20
B. 4–6 years	38
C. 7–10 years	50
D. 10+ years	69

2. Do you expect to withdraw more than one-third of the money in this account within seven years (i.e., for retirement income, home down payment, or college tuition)?

	<b>Points</b>
A. No	20
B. Yes, in 2–3 years	0
C. Yes, in 4–7 years	12

## Examine how you've planned ahead, as it's important to consider how prepared you are for immediate needs.

3. Do you have an emergency fund (i.e., savings of at least six months' after-tax income)?

	<b>Points</b>
A. No, I do not have an emergency fund.	8
B. I have an emergency fund, but it's less than six months' after-tax income.	3
C. Yes, I have an adequate emergency fund.	0



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4. If you expect to have other major expenses (such as college tuition, home down payment, home repairs, etc.), do you have a separate savings plan for these expenses?	<b>Points</b>
A. Yes, I have a separate savings plan for these expenses.	0
B. I do not expect to have any such expenses.	1
C. I intend to withdraw a portion of this money for these expenses (and have answered question 2 accordingly).	3
D. I have no separate savings plan for these items at this time.	4

**Examine your current financial situation, as it's important to consider how this new account fits into your total financial picture.**

5. Approximately what portion of your total investable assets* is designated for this account?	<b>Points</b>
A. Less than 25%	0
B. Between 25% and 50%	1
C. Between 51% and 75%	2
D. More than 75%	4

6. Which ONE of the following describes your expected future earnings over the next five years (Assume inflation will average 4%.)	<b>Points</b>
A. I expect my earnings increases to far outpace inflation (due to promotions, etc.).	0
B. I expect my earnings increases to stay somewhat ahead of inflation.	1
C. I expect my earnings increases to keep pace with inflation.	2
D. I expect my future earnings to decrease (due to retirement, part-time work, depressed industry, etc.).	4

7. Approximately what portion of your monthly take-home income(s) goes toward paying off debt other than your home mortgage?	<b>Points</b>
A. Less than 10%	0
B. Between 10% and 25%	1
C. Between 25% and 50%	2
D. More than 50%	6

*\*Investable assets include your emergency fund, this account, bank accounts, retirement assets, CDs, mutual funds, cash value of life insurance, stocks or bonds, investment real estate, and so on, but they DO NOT include your principal residence or vacation home.*

8. How many dependents do you have? (Include children you continue to support, elderly parents, etc.)	<b>Points</b>
A. None	0
B. 1	1
C. 2–3	2
D. More than 3	4

**Examine your attitudes toward investing, as it’s important to consider how experienced you are with different investments and levels of risk.**

9. Part 1. Have you ever invested in individual bonds or bond investment vehicles, aside from U.S. Savings Bonds?	<b>Points</b>
A. No, and I would be uncomfortable with the risk if I did.	10
B. No, but I would be comfortable with the risk if I did.	4
C. Yes, but I was uncomfortable with the risk.	6
D. Yes, and I felt comfortable with the risk.	0

9. Part 2. Have you ever invested in individual stocks or stock investment vehicles?	<b>Points</b>
A. No, and I would be uncomfortable with the risk if I did.	8
B. No, but I would be comfortable with the risk if I did.	3
C. Yes, but I was uncomfortable with the risk.	5
D. Yes, and I felt comfortable with the risk.	0

10. When thinking about your investments, where would you place yourself on the following scale in terms of your comfort level with risk/potential reward?							
1(A.)	2(B.)	3(C.)	4(D.)	5(E.)	6(F.)	7(G.)	8(H.)
Less risk/less potential return			Moderate risk with greater potential return			Maximum potential return regardless of risk	
						<b>Points</b>	
A.						12	
B.						7	
C.						5	
D.						3	
E.						2	
F.						1	
G.						0	
H.						0	



11. Which ONE of the following statements describes your feelings toward choosing an investment?
- |  | <b>Points</b> |
|--|---------------|
| A. I would prefer to select investment options that have a low degree of risk (i.e., it is unlikely I will lose my original investment).   | 12            |
| B. I prefer to select a mix of investment options, with emphasis on those with a low degree of risk, and a small portion in others that have a higher degree of risk, which may yield greater returns. | 9             |
| C. I prefer to select a balanced mix of investment options, some that have a low degree of risk and others that have a higher degree of risk, which may yield greater returns.                         | 5             |
| D. I prefer to select an aggressive mix of investment options, some that have a low degree of risk, but with emphasis on others that have a higher degree of risk, which may yield greater returns.    | 1             |
| E. I would only select investment options that have a higher degree of risk and a greater potential for higher returns.  | 0             |
12. If you could increase your chances of improving your returns by taking more risk, would you:
- |   | <b>Points</b> |
|---|---------------|
| A. Be willing to take a lot more risk with all your money?        | 0             |
| B. Be willing to take a little more risk with all your money?     | 3             |
| C. Be willing to take a little more risk with some of your money? | 6             |
| D. Be unlikely to take much more risk?                            | 10            |
13. Most investments fluctuate over the short term. If a \$10,000 investment you made for ten years lost value in the first year, at what point would you sell and transfer the funds to a more stable investment rather than wait for a turnaround.
- |                   | <b>Points</b> |
|-------------------|---------------|
| A. \$9,500        | 10            |
| B. \$9,000        | 8             |
| C. \$8,500        | 6             |
| D. \$8,000        | 4             |
| E. Below \$8,000  | 2             |
| F. Would not sell | 0             |

**Additional information: These questions will help us determine the specific model portfolio within our recommended strategy.**

14. Considering your tax bracket, do you prefer to use tax-exempt fixed income investments, even though tax-exempt investments may provide a lower current yield than equivalent taxable investments?

Yes

No

What is your marginal federal tax bracket? \_\_\_\_\_

**Please note:** Tax-exempt investments are not appropriate for tax-deferred retirement arrangements.

15. Diversified portfolios often include international investments. Are there reasons you would not want international funds as part of your portfolio?

Yes

No

### Score and Strategy

Use the following calculation to determine your point score and identify the appropriate strategy listed below.

A. Add your points for questions 1–2. \_\_\_\_\_

B. Add your points for questions 3–13. \_\_\_\_\_

C. Subtract B from A. \_\_\_\_\_ (total points)

### Points Strategy Asset Class Mix

0–10      Primarily Fixed Income: 75% Fixed Income; 25% Equity

10–19     Balanced Fixed Income-Oriented: 55% Fixed Income; 45% Equity

20–49     Balanced Equity-Oriented: 40% Fixed Income; 60% Equity

50–69     Primarily Equity: \*20% Fixed Income; 80% Equity

70+        Equity: 98% Equity; 2% Cash

Given your specific circumstances, if you believe that any of these strategies will be more suitable than the diversified strategy specified by the worksheet, your advisor will discuss the alternatives and make an appropriate recommendation.

*\*If your score points you to the growth strategy, consider investing in the aggressive strategy if the amount that you are investing for this goal represents only the aggressive portion of your total portfolio and if you already own more conservative investments—such as fixed income and short-term securities—that can provide a balance to the short-term fluctuations of stocks.*

## BUSINESS INFORMATION *Optional*

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Client Name(s): \_\_\_\_\_

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

### Business Assets

	Value of Business	Tangible Assets	Percent Ownership	Present Value	Receivables	Loans & Payables
Client 1						
Client 2						
Total						

### Key Person Insurance

(Attach your most recent statement and your policies.)

Company	Insured Key Person	Benefit Amount	Benefit Period	Annual Premium
1.				
2.				

### Business Continuity Insurance

(Attach your most recent statement and your policies.)

Company	Insured Owner	Benefit Amount	Benefit Period	Annual Premium
1.				
2.				

Briefly describe your **succession plan** for the business:

If you die: \_\_\_\_\_

If you retire: \_\_\_\_\_

If you become disabled: \_\_\_\_\_



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## FINANCIAL INFORMATION

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Please attach a printout of this information if it is in your private database.

Client Name(s): \_\_\_\_\_

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

### Bank, Savings and Loan, and Credit Union Accounts (Non-IRA Assets)

(e.g., checking, savings, money market accounts)

Name of Institution	Name of Owner	Type of Account	Maturity Date	Interest Rate	Approximate Balance
1.					\$
2.					\$
3.					\$
4.					\$
5.					\$

### IRA and Other Retirement Accounts

(Attach your most recent statement/report.)

Name of Institution and Location (e.g., bank, broker)	Name of Owner	Type of Account (e.g., IRA, TSA)	Approximate Market Value
1.			\$
2.			\$
3.			\$
4.			\$
5.			\$

### Employer Retirement Accounts

(Attach your most recent statement/report.)

Name of Firm and Location (e.g., employer)	Name of Owner	Type of Account (e.g., 401(k), TSA)	Current Employee Contribution	Projected Future Contribution	Current Employer Matching Contribution	Approximate Market Value
1.						\$
2.						\$
3.						\$
4.						\$
5.						\$



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**(Projected) Retirement Income**

(Attach your most recent statement/report.)

Name of Owner	Source of Income	Amount	Projected Benefit
1.		\$	\$
2.		\$	\$
3.		\$	\$
4.		\$	\$
5.		\$	\$

**Stocks and Bonds**

(e.g., assets you hold yourself in certificate form)

(Attach your most recent statement/report.)

Name of Stock/Bond	Name of Owner	Number of Shares	Approximate Market Value
1.			\$
2.			\$
3.			\$
4.			\$
5.			\$

**Mutual Funds and/or Brokerage Accounts**

(Attach your most recent statement/report.)

Name of Brokerage/ Mutual Fund	Name of Owner	Number of Shares	Approximate Market Value
1.			\$
2.			\$
3.			\$
4.			\$
5.			\$

**Promissory Notes and Trust Deeds**

(e.g., amounts owed to you by someone who is paying you on a note)

Name of Debtor	Name of Owner	Interest Rate	Approximate Balance of Note
1.		%	\$
2.		%	\$

**Residence and Other Real Estate**

Property Address	Name of Owner	Original Cost	Approximate Value	Debt	Net Cash Flow Before Depreciation (if a rental)
1.		\$	\$	\$	\$
2.		\$	\$	\$	\$
3.		\$	\$	\$	\$
4.		\$	\$	\$	\$
5.		\$	\$	\$	\$

**Limited or General Partnerships**

Name of Partnership	Name of Owner	Type of Investment	Approximate Market Value or Amount Invested
1.			\$
2.			\$

**Stock Options**

Name of Firm	Name of Owner	Incentive or Nonqualified?	Number of Shares	Year to Sell	Current Value	Vested Amount	Unvested Amount
1.					\$	\$	\$
2.					\$	\$	\$

**Stock Option Vesting Schedule**

After 1 year of service	%
After 2 years of service	%
After 3 years of service	%
After 4 years of service	%
After 5 years of service	%
After 6 years of service	%
After 7 years of service	%

**Life Insurance**

(Attach your most recent statement and your policies.)

Name of Insurance Company	Name of Owner	Beneficiary	Type of Insurance (e.g., whole life, term)	Approximate Death Benefit	Approximate Cash Value (before loans)	Loan Amount	Annual Premium
1.				\$	\$	\$	\$
2.				\$	\$	\$	\$
3.				\$	\$	\$	\$
4.				\$	\$	\$	\$
5.				\$	\$	\$	\$

**Disability Insurance**

(Attach your most recent statement and your policies.)

Company	Name of Insured	Monthly Benefit	Delay Before Benefits Begin	Length of Benefit Period	Actual Premium
1.		\$			\$
2.		\$			\$

**Health Insurance**

(Attach your most recent statement and your policies.)

Company	Name of Insured	Deductible	Maximum Limits	Annual Premium
1.		\$	\$	\$
2.		\$	\$	\$

**Long-Term Care Insurance**

(Attach your most recent statement and your policies.)

Company	Name of Insured	Daily Benefit Amount	Length of Benefit Period	Annual Premium
1.		\$	\$	\$
2.		\$	\$	\$

**Trust-Owned Second-to-Die Insurance**

(Attach your most recent statement and your policies.)

Company	Approximate Death Benefit	Approximate Cash Value	Annual Premium
1.	\$	\$	\$
2.	\$	\$	\$

**FINANCIAL INFORMATION** *continued***Auto Insurance**

(Attach your most recent statement and your policies.)

Company	Liability Coverage	Collision Deductible	Comprehensive	Medical Amount	Expiration Date	Annual Premium
1.	\$	\$	\$	\$	\$	\$
2.	\$	\$	\$	\$	\$	\$

**Homeowner's Insurance**

(Attach your most recent statement and your policies.)

Company	Dwelling	Personal Liability/Property	Medical	Expiration Date	Annual Premium
1.	\$	\$	\$	\$	\$
2.	\$	\$	\$	\$	\$

**Annuities**

(Attach your most recent statement and your contracts.)

Name of Annuity Company	Name of Annuitant/Owner	Interest Rate	Approximate Value	Date Purchased
1.		%	\$	
2.		%	\$	
3.		%	\$	
4.		%	\$	
5.		%	\$	

**Other Assets**

Description	Name of Owner	Approximate Value
1.		\$
2.		\$
3.		\$

**Household Cash Flow**

Client 1's Wages and Bonuses:	\$	/YR	Source:
Client 2's Wages and Bonuses:	\$	/YR	Source:
Other Income:	\$	/YR	Source:
Other Income:	\$	/YR	Source:
What are your approximate annual expenses?	\$	/YR	



**Liabilities**

Source (e.g., credit cards, car payments)	Name of Owner	Interest Rate/ Finance Charge	Approximate Debt
1.			\$
2.			\$
3.			\$
4.			\$
5.			\$

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**The preceding information reflects an accurate picture of my financial position at this time.**

\_\_\_\_\_  
Client 1 Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client 2 Signature

\_\_\_\_\_  
Date