



LEONETTI & ASSOCIATES, INC.
PRIVATE FINANCIAL ADVISORS

Client Profile

Name(s): _____

Date: _____

LA Client Profile

Personal Financial Statement

Please supply the requested information to assist our team in assessing your financial situation and making the appropriate recommendations. The information you provide will be kept confidential within the Leonetti organization.

Client Name _____ Birthdate _____ SS# _____
 Spouse Name _____ Birthdate _____ SS# _____
 Dependents _____ Birthdate _____ SS# _____
 _____ Birthdate _____ SS# _____
 _____ Birthdate _____ SS# _____

Home

Address _____
 City _____ State _____ Zip _____
 Telephone _____ Cellular _____
 E-Mail _____ Fax _____

Work

Client Co. _____ Spouse Co. _____
 Occupation _____ Occupation _____
 Address _____ Address _____

 Telephone _____ Telephone _____
 Fax _____ Fax _____
 E-Mail _____ E-Mail _____

ASSETS

Cash on Hand and in Banks.....\$ _____
 Accounts & Notes Receivable ..\$ _____
 Real Estate Res. (Mkt. Val.)\$ _____
 Real Estate Other\$ _____
 Automobiles.....\$ _____
 Personal Property.....\$ _____
 Life Insurance Cash Values.....\$ _____
 Retirement Plan Values.....\$ _____
 Other Investments\$ _____
 Other Assets\$ _____

LIABILITIES

Automobile Loans\$ _____
 Charge Acct. Balances.....\$ _____
 Mortgage Balance\$ _____
 Other Notes Payable\$ _____
 Other Liabilities\$ _____
\$ _____
\$ _____
\$ _____
\$ _____

| | |
|----------------------------------|---------------------------------------|
| TOTAL ASSETS.....\$ _____ | TOTAL LIABILITIES.....\$ _____ |
|----------------------------------|---------------------------------------|

TOTAL LIFE INSURANCE DEATH BENEFITS CLIENT \$ _____ SPOUSE \$ _____

SOURCES OF INCOME (Estimated for Current Year)

Client\$ _____
 Spouse\$ _____
 Other\$ _____
TOTAL INCOME\$ _____

LIVING EXPENSES (Estimated for Current Year)

\$ _____

Goals & Objectives

1 What are your short and long-term financial goals or objectives?

2 What obstacles could prevent you from accomplishing your goals?

3 If you were meeting here 3 years from now – what has to have happened for you to feel happy about your progress?

4 How much have you been able to save (annually) in the past 3 years and what establishes this pattern?

5 What, if any, major purchases or change in your lifestyle do you anticipate in the next 5 years?

6 What is/are your target retirement age(s)? _____

7 Do you have a complete understanding of your employee benefit plans (retirement plans, life insurance, health insurance, disability)? YES NO

Explain: _____



Goals & Objectives
(continued)

8 Do you take advantage of these plans? YES NO

Explain: _____

9 What are your monetary plans for your children? (i.e., education, auto, home, other)

10 Do you have a will? YES NO Date Drawn: _____

11 Have you created any trusts? YES NO

If YES, please explain: _____

12 What other advisors do you use for specific aspects of your finances?
(i.e., accountant, lawyer, insurance agent, others)

13 Are you happy with your current advisors? YES NO SOME

Explain: _____

14 How do you see us helping you?

Investor Profile

The key to creating a customized investment strategy is to fully understand your investment goals, time horizons, and tolerance for risk. By completing these questions, we can begin to identify your particular financial profile and help you choose an appropriate program.

- 1** Which of the following best summarizes your investment objectives?
 - Speculative:** I enjoy taking chances on some long shots within a well-designed portfolio strategy that offsets some of the risk.
 - Growth:** I want to outpace inflation and also enhance my net worth for the future.
 - Income:** I use some of my investment earnings to meet everyday expenses.
 - Maintenance:** I rely heavily on my investments to help pay everyday and recurring expenses.

- 2** When deciding how to invest your money, which are you most concerned with?
 - Positioning my portfolio for maximum growth, even at the risk of watching its value widely fluctuate over time.
 - Accumulating wealth for my financial independence.
 - Providing consistent income for my current lifestyle.
 - Preserving my net worth to help meet everyday expenses.

- 3** Which of the following statements best describes your attitudes toward price fluctuations?
 - I am willing to accept a high level of volatility for the potential to realize maximum returns.
 - I don't want my portfolio to fluctuate as much as the general financial markets, but I can withstand some up and down variances in my portfolio over time.
 - I am willing to accept a modest amount of price fluctuation to attempt to achieve a return modestly higher than that available without risk of price fluctuations.
 - I am willing to forgo the potential of large returns for the stability of knowing my portfolio is protected against large decreases in value.

- 4** What average annual rate of return do you consider to be reasonable for the "Total Return" of your portfolio, on a long-term basis? _____%

- 5** Consider the following hypothetical one-year returns for a certain investment. Based on the range of possible outcomes shown, which best suits your investment philosophy?
 - Plan A:** Average Case = 15%, Best Case = 60%, Worst Case = -30%
 - Plan B:** Average Case = 11%, Best Case = 37%, Worst Case = -26%
 - Plan C:** Average Case = 9.5%, Best Case = 28%, Worst Case = -9.5%
 - Plan D:** Average Case = 5%, Best Case = 10%, Worst Case = 0%

- 6** When do you plan to start withdrawing money from your investments for major needs?
 - In more than 10 years
 - In 5-10 years
 - In 1-5 years
 - In less than 1 year



Investor Profile
(continued)

- 7** How experienced are you in managing your investments?
- Very experienced
 - Somewhat experienced
 - Less experienced
 - Not experienced
- 8** Which of the following best describes your investment outlook/reserve capital (not including retirement funds)?
- The amount I am investing represents a small portion (less than 20%) of my total liquid assets.
 - The amount I am investing represents a moderate portion (between 21% and 50%) of my total assets I have other assets set aside for "emergency" funds.
 - The amount I am investing represents a significant portion (between 51% and 70%) of my total liquid assets.
 - The amount I am investing represents the majority (greater than 71%) of my total liquid assets. I have few other available assets in case of an emergency.

9 Are there any investments that you feel tied to (for past performance, family, or social reasons)?

10 The size of the portfolio to be managed is\$ _____

Annual Contributions.....\$ _____

Annual Withdrawals.....\$ _____

11 The portfolio(s) is/are held in a: (circle all that apply)

| | |
|------------------|---------------------|
| Pension Plan | Profit Sharing Plan |
| Personal Account | Corporate Account |
| Trust | IRA |
| | Other: _____ |

12 Where did you hear about us? _____

13 Is there anything else we should know? _____

Notes:



LEONETTI & ASSOCIATES, INC.

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