

In order to assess how your current retirement strategy will meet your objective, you will need to complete this data collection form and the Personal Client Data form.

**Retirement Objective**

	Client A	Client B
Retirement Begins at Age	_____	_____
Life Expectancy for Plan	_____	_____
Include Social Security Benefits?	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes
Age to Begin Social Security Benefits*	<input type="checkbox"/> Normal Retirement Age	<input type="checkbox"/> Normal Retirement Age
	<input type="checkbox"/> Age _____ (not less than 62)	<input type="checkbox"/> Age _____ (not less than 62)

\* Normal Retirement Age is 66 if birth year is between 1943 and 1959, and age 67 if birth year is after 1959.

**Retirement Income Needs**

	Age	Monthly Need	Additional Monthly Need
Phase 1	Retirement	\$ _____	\$ _____
Phase 2	_____	\$ _____	\$ _____
Phase 3	_____	\$ _____	\$ _____
Phase 4	_____	\$ _____	\$ _____
Phase 5	_____	\$ _____	\$ _____
	Increase Need By	_____ %	_____ %

**Your Preferences**

What percent of your total monthly income would be needed for retirement, excluding loan payments? (e.g., 70%, 85%) \_\_\_\_\_ %

**Interview Questions**

What kinds of activities do you envision in your retirement? \_\_\_\_\_

Do you foresee health issues during retirement? \_\_\_\_\_

How much do you want to rely on Social Security for income? \_\_\_\_\_

If you have a partner, what changes would be made at first death? \_\_\_\_\_

**Asset Assignment**

All qualified and non-qualified investment assets entered into this plan (with the exception of 529, Coverdell and UTMA/UGMA accounts) are considered to be available to meet retirement. If there are accounts that you do not wish to be used for these objectives, indicate the reference codes from the *Personal Client Data* form below.

Retirement \_\_\_\_\_

**Key Asset Designation**

**Surplus Income Asset:** Specify which asset should receive excess income, including RMD, after total needs have been met.

**Lump Sum Asset:** Specify which asset should receive amounts from insurance, lump-sum income sources, proceeds from the sale of hard assets, etc.

**Distribution Order**

What order do you intend to make distributions from your accounts?

- I intend to distribute from my accounts and holdings with the goal of deferring income taxes.
- I intend to ensure that there are no undue estate consequences from passing qualified plans to heirs.
- I intend to distribute in the following custom order. In the section below, enter the account reference codes next to the desired number. If more than one account is listed next to the same number, this indicates that distributions will be made from these accounts simultaneously.

Order #	Account/Holding Reference #	Order #	Account/Holding Reference #
1	_____	5	_____
2	_____	6	_____
3	_____	7	_____
4	_____	8	_____

**Distribution Strategies**

If you intend to spend down your assets in a specific way, use the space below to provide this information.

Asset Ref #	Strategy Type	Annual Increase	Beginning	Ending	Use for unmet needs*
_____	<input type="checkbox"/> Interest & Dividends _____ % of return <input type="checkbox"/> Specified Amount \$ _____ per month <input type="checkbox"/> Initial Withdrawal Rate _____ %	_____ %	<input type="checkbox"/> Today <input type="checkbox"/> Retirement <input type="checkbox"/> Specified Yr _____	<input type="checkbox"/> Retirement <input type="checkbox"/> End of Plan <input type="checkbox"/> Specified Yr _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____	<input type="checkbox"/> Interest & Dividends _____ % of return <input type="checkbox"/> Specified Amount \$ _____ per month <input type="checkbox"/> Initial Withdrawal Rate _____ %	_____ %	<input type="checkbox"/> Today <input type="checkbox"/> Retirement <input type="checkbox"/> Specified Yr _____	<input type="checkbox"/> Retirement <input type="checkbox"/> End of Plan <input type="checkbox"/> Specified Yr _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____	<input type="checkbox"/> Interest & Dividends _____ % of return <input type="checkbox"/> Specified Amount \$ _____ per month <input type="checkbox"/> Initial Withdrawal Rate _____ %	_____ %	<input type="checkbox"/> Today <input type="checkbox"/> Retirement <input type="checkbox"/> Specified Yr _____	<input type="checkbox"/> Retirement <input type="checkbox"/> End of Plan <input type="checkbox"/> Specified Yr _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Asset Sales**

If you intend to sell assets as part of this plan, then list the details here. If you intend to downsize (or upsize) your residence, you can indicate that here as well. Any proceeds from a sale will be added to your retirement assets.

Hard Asset Ref #	When Will You Sell?	Estimated Closing Costs	Commissions	Primary Residence? <sup>1</sup>	Downsize Residence <sup>2</sup>	Survivor Needs <sup>3</sup>
_____	_____	\$ _____	_____ %	<input type="checkbox"/> Yes	_____ %	<input type="checkbox"/> CL-A Dies <input type="checkbox"/> CL-B Dies
_____	_____	\$ _____	_____ %	<input type="checkbox"/> Yes	_____ %	<input type="checkbox"/> CL-A Dies <input type="checkbox"/> CL-B Dies

<sup>1</sup> Indicate if this is the primary residence for tax purposes.

<sup>2</sup> If you plan to downsize your residence, indicate the size of the replacement home. The percent will be applied to the value of the home at the time of sale.

**Asset Allocation & Portfolio Returns**

Describe your plans for the allocation of your portfolio over the life of this analysis. Do you have differing allocation objectives for each goal?

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**Declaration**

I declare that I have reviewed the information collected in this data sheet and that the investment data is correct to the best of my knowledge.

Client A Printed Name	Signature	Date
Client B Printed Name	Signature	Date