KING wealth planning, inc.

Retirement is a Journey. Let us be your Guide.

WealthPATH

(**P**reliminary **A**ssessment, **T**houghts, and **H**ealth Survey)

King Wealth Planning is committed to maintaining the trust and confidence of our customers. We will treat all of the information you provide with a high degree of confidentiality. We want you to know that protection of your personal information is of the upmost importance to us.
To safeguard your personal information, we use security measures that are compliant with Federal law. These measures include computer safeguards and secure files, vaults and buildings. We train our employees to properly handle your personal information with total care.

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Date __________

Personal Information

Name:	Spouses Name:	
Address:		
City:	State:	Zip:

Your Information	Spouse Information
Date of Birth:	Date of Birth:
Citizenship:	Citizenship:

Please provide all of the following and identify your preferred means of contact

- ☐ Home Phone-
- ☐ Work Phone-
- ☐ Cell Phone-
- ☐ Email-

Family

Children:

(names/ ages/ dates of birth)

Grandchildren:

(names/ ages/ dates of birth)

Employment

☐ Retired	☐ Spouse Retired
Occupation:	Spouse Occupation:
Firm:	Spouse Firm:

1. *Do you receive income from any of the following? (Check all that apply)*

☐ Salary	☐ Real Estate	☐ Company Retirement Savings Plan		☐ Dividends
☐ Interest	☐ Pension	☐ Social Security	☐ IRA	☐ Other

2. *What was your annual income last year before taxes?* *(All sources)*

☐ Under $50,000 ☐ $50,000 - $100,000 ☐ $100,000 - $250,000

☐ $250,000 - $500,000 ☐ $500,000 - $750,000 ☐ Over $750,000

3. *How much income taxes were paid on your annual income last year?*
(Include Federal and State)

☐ Under $10,000 ☐ $10,000 - $25,000 ☐ $25,000 - $50,000

☐ $50,000 - $200,000 ☐ Over $100,000

4. *Do you have any investments which provide you with tax savings?*
(Examples: Real Estate, Municipal Bonds, Tax Credits)

☐ Yes. Please Specify: ______________________ ☐ No

5. *Estimated value of your investment assets* *(real estate other than primary home, brokerage accts, retirement accts, etc.)*

☐ Under $500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,000 - $2,000,000

☐ $2,000,000 - $5,000,000 ☐ $5,000,000 - $10,000,000 ☐ Over $10,000,000

6. *Estimated value of your primary residence*

☐ Under $500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,000 - $2,000,000

☐ $2,000,000 - $5,000,000 ☐ $5,000,000 - $10,000,000 ☐ Over $10,000,000

7. *Estimated total liabilities*

☐ Under $100,000 ☐ $100,000 - $200,000 ☐ $200,000 - $500,000

☐ $500,000 - $1,000,000 ☐ Over $1,000,000

The following is a list of goals / objectives that many people feel are important areas of concern. Please indicate all areas, which apply to you.

General

Are you anticipating any major lifestyle changes? (i.e. marriage, divorce, retirement, moving, etc.)	☐ Yes	☐ No	☐ Uncertain
Are you comfortable with your current cash flow?	☐ Yes	☐ No	☐ Uncertain
Do you expect any significant changes in your cash flow?	☐ Yes	☐ No	☐ Uncertain
Do you expect to win or lose any legal judgments?	☐ Yes	☐ No	☐ Uncertain
Do you have any assets you wish you didn't own?	☐ Yes	☐ No	☐ Uncertain

What are they? ______________________

____

Concerns: ______________________

____

____

Tax Planning

Is your current tax liability acceptable? ☐ Yes ☐ No ☐ Uncertain

Have you been or do you expect to be audited by the IRS ☐Yes ☐No ☐Uncertain

Who prepares your tax returns? Phone #:

Are you satisfied?

Concerns:

Retirement Planning

At what age would you like to retire?________________________________ ☐Uncertain

At what age would your spouse like to retire?__________________________ ☐Uncertain

What minimum income will you need (in today's dollar)? $________________ ☐Uncertain

If you plan on working after retirement, estimate your income from that position. $ ___________

Do you currently contribute to a retirement plan? ☐Yes ☐No ☐Uncertain

Are you expecting a distribution from your retirement plan soon? ☐Yes ☐No ☐Uncertain

Is your plan well diversified? ☐Yes ☐No ☐Uncertain

Concerns:

Savings

What do you consider an adequate cash reserve? $ ______________________

Does your savings create a tax problem? ☐Yes ☐No ☐Uncertain

Education Planning

Do you have existing education savings accounts? ☐Yes ☐No

Are you interested in establishing accounts to fund educational needs? ☐Yes ☐No

Would these accounts support pre-college or college expenses? ☐Pre-College ☐College

Estate Planning

Are you the beneficiary of any trusts? ☐Yes ☐No ☐Uncertain

Are you interested in charitable gifting? ☐Yes ☐No ☐Uncertain

Do you currently have any of the following?	Client	Spouse	Date
Wills	☐	☐	______
Revocable Living Trust	☐	☐	______
Durable General Power of Attorney	☐	☐	______
Health Directive	☐	☐	______
Private Family Foundation	☐	☐	______

Investments

Is your investment portfolio providing an adequate return?	☐Yes	☐No	☐Uncertain
Is your investment portfolio providing acceptable income?	☐Yes	☐No	☐Uncertain
Are there any investments you are opposed to for any reason?	☐Yes	☐No	☐Uncertain
Are you dissatisfied with any of your investments?	☐Yes	☐No	☐Uncertain
Do you understand the risks associated with your investments?	☐Yes	☐No	☐Uncertain
Do you worry about your investments?	☐Yes	☐No	☐Uncertain
Do you own any highly appreciated assets that have increased greatly in value?	☐Yes	☐No	☐Uncertain

Briefly describe these assets (*i.e. Real Estate, Securities, Cost Basis, Estimated Current Value, etc.)*

____

____

Concerns: ____

____

____

____

Stock Options

Do you have any ISO or NQSO options?	☐ISO	☐NQSO	☐Uncertain
Have you exercised any options?	☐ISO	☐NQSO	☐Uncertain

Insurance

Do you feel you are adequately insured in the following areas?

a. Long term health care	☐Yes	☐No	☐Uncertain
b. Life Insurance	☐Yes	☐No	☐Uncertain
c. Medical Insurance	☐Yes	☐No	☐Uncertain
d. Disability Insurance	☐Yes	☐No	☐Uncertain

e. Home, Auto, Personal Liability Umbrella Insurance ☐Yes ☐No ☐Uncertain

f. Critical Illness (*i.e. cancer, stroke, heart attack)* ☐Yes ☐No ☐Uncertain

If you had died yesterday, would your spouse / family have adequate income to maintain their standard of living? ☐Yes ☐No ☐Uncertain

Concerns: