

What makes a great financial advisor – client relationship?

The financial advisor-client relationship can be similar to the doctor-patient relationship. Success in both is based on mutual respect, honesty, and trust.

Before we meet, think carefully about the nature of the discussion and what you wish to accomplish. Prepare any questions you have in advance. During the meeting, take notes and ask questions until you are comfortable with a concept or suggestion. However, don't feel compelled to reach decisions right away. I encourage you to discuss your questions and concerns with me before making a decision.

Remember, my job is to look out for your best interests and help you achieve your financial goals. Establishing a mutually open, honest relationship is an important step in realizing those goals.

CLIENT INFORMATION

Today's Date: _____

Client #1: Mr. Mrs. Ms. Dr.

First Name _____ MI _____ Last Name _____

Nickname _____ Birthdate _____/_____/_____

Primary Phone _____ Secondary Phone _____

Email Address _____

Client #2: Mr. Mrs. Ms. Dr.

First Name: _____ MI _____ Last Name _____

Nickname _____ Birthdate _____/_____/_____

Primary Phone _____ Secondary Phone _____

Email Address _____

Marital Status:

Married Single Divorced Separated Widowed Date of Marriage: _____

Primary Home Address:

Street _____

City _____ State _____ Zip Code _____

Rent Own If own, Home Value _____ Mortgage Balance _____

IMMEDIATE FAMILY INFORMATION

Please list you child(ren)'s names & birthdates:

EMPLOYMENT & BENEFITS INFORMATION

Client #1 Employer _____

Job Title _____ Income/Salary _____

Benefits Provided (check if applicable)

Health Insurance Disability Insurance Group Life Insurance
Pension Plan Retirement Plan (401k, 403(b), SIMPLE IRA, etc)

Client #2 Employer _____

Job Title _____ Income/Salary _____

Benefits Provided (check if applicable)

Health Insurance Disability Insurance Group Life Insurance
Pension Plan Retirement Plan (401k, 403(b), SIMPLE IRA, etc)

CLIENT ASSET SUMMARY

Institution Name/Description	Client #1	Client #2	Joint Ownership
Checking/Savings			
Non-Retirement Investments			
Retirement Accounts			
Other Assets (Businesses, Rental Properties, etc)			
Insurance (Life, Disability, LTC)			

*Please note: the information provided is for planning purposes only. All information is held in confidence and securely stored.

DOCUMENT CHECKLIST

Documentation of your current assets is vital to creating a personalized financial plan. Below is a list of some of the common documents that our clients provide. While not mandatory, any documents that you can provide from this list are helpful in the development of your financial plan. Please do not spend more than 20 minutes gathering this information!

Personal Assets

- Savings and Checking Statements
- Non-Qualified Investment Statements
- Stock, Bond, or Stock Options
- College Savings – 529
- Other: _____

Insurance

- Life Insurance Statements
- Long-Term Care Policies
- Long-Term Disability
- Other: _____

Retirement Accounts

- Current and Former 401k/403(b) Statements
- Private/Public Pension Statement
- IRA/Roth IRA Statements
- Social Security Statement
- Other: _____

Estate Plan

- Will
- Living Will
- Durable Power of Attorney
- Medical Power of Attorney
- Current/Future Trusts

Tax Documents

- Latest Tax Return
- W-2 or Pay Stub
- Tax Preparer Information

Liabilities

- Mortgage Statement
- Other Loan Statements

Miscellaneous

- Written Budget (Current and Retired)
- Specific Goals

What are you most interested in discussing?

Retirement	How much do I need? When to take Social Security? How do I manage my assets?
Education Planning	How much to save? What are my options?
Life Events	Marriage? Job change? Divorce? Loved one passed away?
Eldercare	Medicare? Plan for parents? Access to funds if sick?
Estate Planning	What is it? How do I protect my assets? What do my survivors need to know?
Financial Basics	Budgeting? Reduce debt? How to discuss finances with family?

Additional Comments:

CLIENT PREFERENCES

Best Contact Method: Email Cell Phone Home Phone Other: _____

Copy Spouse on Correspondence: Yes No

Best Time of Day to Contact: Morning Afternoon Evening

Review Frequency Desired: Annual Semi-Annual Quarterly

Best Location: At Aspen Office Client's Office Home Virtual

Best Month: _____ **Best Day of Week:** _____ **Times to Avoid:** _____

What to do before your first meeting:

- ☞ Complete the Personal Information Form
- ☞ Provide a copy of all documents that you may have on the Important Documents Checklist
- ☞ Provide any questions or commentary that you would like to discuss at the meeting in the additional comments section.
- ☞ Keep in mind that this is a comprehensive list. Please do not take more than 20-30 minutes to complete! The idea is to obtain a snapshot of your overall picture so that we can have efficient meetings and make proper recommendations.

If you need anything prior to the meeting please contact us at:

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Craig Bastuba: CA Insurance Lic. #0K48483

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