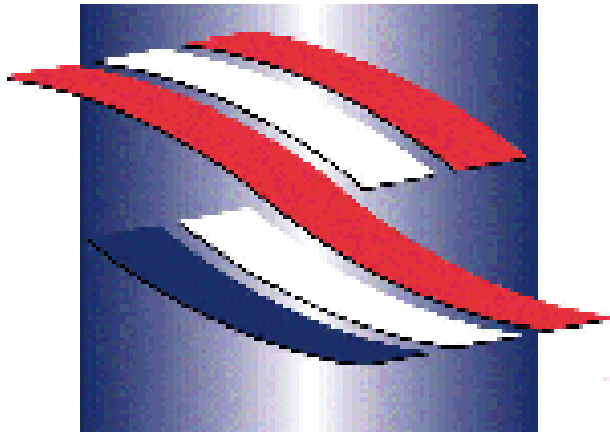


**TRANSITION FINANCIAL ADVISORS, INC.**  
**- PATHWAYS THROUGH LIFE™ -**



**INTRODUCTORY**

**FACTFINDER**

## **Our Fee Structure & Becoming a Transition Financial Advisors Group Client**

Our planning fees are typically based on a sliding scale of your net worth. This approach falls in line with our comprehensive financial planning philosophy because our firm looks at everything related to your situation. You can take comfort in the fact that our fee is made known up front and put into an agreement that both you and we sign. The fee is then fixed until the engagement is fulfilled, giving you peace of mind that there are no hidden fees or expenses to surprise you later.

In our experience, the people that meet the following criteria generally benefit the most from our services:

- ✓ Comfortable using the Internet and email;
- ✓ Desire a close, long-term working relationship on a retainer basis versus a transaction on an hourly, tax or project basis;
- ✓ Willing & able to expediently implement the plan (with our assistance) once completed;
- ✓ Believe in our comprehensive planning approach & willing to follow our proven process;
- ✓ Willing to delegate financial matters & have done so in the past;
- ✓ Make friends easily & willing to share of themselves, expecting the same in return;
- ✓ Net worth of \$1 million or more

If this generally describes you, please complete this FactFinder & fax (more secure than email) it to our offices for a no-obligation review of your situation and the opportunities and obstacles your unique financial situation presents. The partners of the firm will review your FactFinder and develop a fee estimate before contacting you to schedule a discussion of our services.

## **INSTRUCTIONS**

1. Fill out the FactFinder in its entirety, keeping in mind that **some sections may not apply to your situation**. If a question does not apply, indicate so with N/A.
2. Review the FactFinder to ensure it is filled out to the best of your ability.
3. Mail/bring/fax to:

**Transition Financial Advisors Group, Inc.  
2487 S Gilbert Road, Suite 106-618  
Gilbert, AZ 85295**

**Fax: 480/812-2090**

**For any questions, please call: 480/722-9414**

**\*\* PLEASE NOTE \*\***

**ALL INFORMATION CONTAINED HEREIN WILL BE  
HELD IN THE STRICTEST CONFIDENCE!**

**USE A PEN WITH BLACK INK ONLY!**

**I. GENERAL INFORMATION**

**CLIENT INFORMATION**

Full Name: (First/MI/Last) _____	Occupation: _____
Preferred Name: _____ Current Age: _____	Employer: _____

**CO-CLIENT INFORMATION**

Full Name: (First/MI/Last) _____	Occupation: _____
Preferred Name: _____ Current Age: _____	Employer: _____

**ADDRESS**

Street: \_\_\_\_\_

Apt/Suite #: \_\_\_\_\_ City: \_\_\_\_\_

State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Family email address: \_\_\_\_\_

**MARRIAGE**

Date of Current Marriage: \_\_\_\_/\_\_\_\_/\_\_\_\_  
MM/DD/YY

City/State: \_\_\_\_\_

✓ if previously married:  
 CLIENT  
 CO-CLIENT

**HOW DID YOU HEAR ABOUT US?**

Referred by an existing client – Who? \_\_\_\_\_

Referred by another professional – Who? \_\_\_\_\_

Media – Which one? \_\_\_\_\_

Website

Workshop – Which one? \_\_\_\_\_

Book – Which one? \_\_\_\_\_

Other: \_\_\_\_\_

<b>Today's Date</b>

<b>Date Received</b>

For Office Use Only

## **II. CONCERNS, GOALS AND OBJECTIVES**

1. Why are you seeking the counsel of a financial advisor at this time?

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

2. What concerns do you have about your finances, your future, and the future of your loved ones?

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

3. Please list any lifestyle changes you anticipate in the coming year (marriage, divorce, retirement, new job, moving, schooling, children, etc.)

- \_\_\_\_\_
- \_\_\_\_\_

4. You may have heard that “financial planning is a process, not an end in itself.” What are the most important things you want to get out of this process?

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

5. A year from now, what do you hope to have accomplished?

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

### III. WORKING RELATIONSHIP

1. What needs to happen in order for you to feel our relationship has been successful?

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

2. What can we do to make this relationship comfortable and satisfying for you?

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

3. Have you hired advisors before? (accountants, lawyers, financial planners) (CIRCLE one)  
YES NO

If YES, what did you like about the relationship or, what led you to terminate it?

\_\_\_\_\_

\_\_\_\_\_

4. What do you believe you are paying for when you retain a financial advisor?

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

5. If there were one thing we could do that would cause you to terminate our relationship, what would it be?

- \_\_\_\_\_

6. If you decide to enter a relationship with us, how often would you like to have contact with us? Weekly, monthly, quarterly, annually, or as needed?

- \_\_\_\_\_

7. What is your preferred form of contact? Face-to-face meeting, phone call/Skype, or email?

- \_\_\_\_\_

**IV. NET WORTH AND CASH MANAGEMENT**

(CIRCLE one)  
YES NO

1. Are you comfortable with your current cash flow?

Why? \_\_\_\_\_

2. Please outline any major cash INFLOWS you anticipate in the NEAR term (next one to two years - severance package, buy-out, inheritance, life insurance proceeds, beneficiaries of a trust, etc.)

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

3. Please outline any major cash EXPENDITURES you are planning in the NEAR term (next one to two years - vacations, health/dental/vision issues, autos, homes, hobbies, recreation, gifts, children, etc.)

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

4. Please outline any major cash INFLOWS you anticipate in the LONG term (three to five years)

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

5. Please outline any major cash EXPENDITURES you are planning in the LONG term (three to five years)

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

6. What would constitute a financial emergency on your part?

\_\_\_\_\_

7. If you have recently won or lost, or expect to win or lose, any legal judgments please provide details.

\_\_\_\_\_

**NET WORTH OVERVIEW**

<b>INVESTMENT ASSETS</b>	<b>Total \$ Amount</b>	<b>Amount Owing</b>	<b>Net Amount</b>
Checking Accounts:			
Savings Accounts:			
IRAs:			
Company Pension Plans (401k, etc.):		Total loan amount: \$	
Profit Sharing Plans:			
Employee Stock Purchase Plans:			
Employee Stock Option Plans:		Total amount to exercise: \$	
Brokerage Accounts:		Total amount in margin: \$	
Rental Properties:		Total mortgage amount: \$	
Business Interests:		Total installment/loan amount: \$	
Other:			

<b>PERSONAL USE ASSETS</b>	<b>Total Fair Market Value</b>	<b>Amount Owing</b>	<b>Net Amount</b>
Principal Residence:		Total mortgage amount: \$	
Leisure/Timeshare Properties:		Total mortgage amount: \$	
# of Autos:		Total loan amount: \$	
Household Items:		Total loan amount: \$	
Personal Property:		Total loan amount: \$	
Recreational Items:		Total loan amount: \$	
Hobby Items:		Total loan amount: \$	
Other:			
Other:			



**ESTIMATED INCOME STREAMS – fill-in all that apply**

<b>Client</b>	<b>Current Year</b>	<b>Next Year</b>	<b>Year After Next</b>
Salary/Wages:			
Bonus/Commissions:			
Auto Allowance, Expense Account:			
Company Pension Income:			
Social Security Income:			
Military Pension Income:			

<b>Co-Client</b>	<b>Current Year</b>	<b>Next Year</b>	<b>Year After Next</b>
Salary/Wages:			
Bonus/Commissions:			
Auto Allowance, Expense Account:			
Company Pension Income:			
Social Security Income:			
Military Pension Income:			

<b>Other</b>	<b>Current Year</b>	<b>Next Year</b>	<b>Year After Next</b>
Disability Income:			
Alimony &/or Child Support Income:			
Other Earned/Self- Employed Income:			

**V. PORTFOLIO MANAGEMENT**

Portfolio Management Experience: (✓ only one) <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Moderate <input type="checkbox"/> Extensive	Purpose: (✓ all that apply) <input type="checkbox"/> Need Current Income <input type="checkbox"/> Education Fund <input type="checkbox"/> Retirement Fund <input type="checkbox"/> Provide Inheritance <input type="checkbox"/> Other:
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1. How long do you expect to have your money invested before you begin drawing on it for income, liquidating assets for a purchase or substantially modifying your portfolio? (✓ only one)

- Less than One Year
- One to Three Years
- Three to Five Years
- Five to Ten Years
- Ten Years or More
- Our Life Expectancy
- Our Life Expectancy and Our Children's

2. Based on historical data over the past 50 years, it is reasonable to expect the following performance in excess of inflation:

**Stocks:                                    6 - 9%**  
**Long-term bonds:                        1 - 3%**  
**Savings Accounts:                        0 - 1%**

With the above in mind, what is your rate of return objective? (For example a portfolio of half stocks and half bonds would be expected to return 3.5% to 6% above inflation).

\_\_\_\_\_ % above inflation.

3. If you know what your current investment allocation is, please provide details:

o DON'T KNOW

\_\_\_\_\_ % Cash    \_\_\_\_\_ % Bonds    \_\_\_\_\_ % Stocks    \_\_\_\_\_ % Other

4. If you know how much of your current investment portfolio is in the US vs. foreign markets, please provide details:

o DON'T KNOW

\_\_\_\_\_ % US    \_\_\_\_\_ % Foreign

5. Do you look at your investment accounts (✓ only one):

- Daily
- Weekly
- Monthly
- Quarterly
- Yearly