Give Your Financial Strategy a Quick Checkup

Assess Whether You Are on Track to Pursue Your Goals

Summarizing your financial situation and putting your financial objectives in writing can be an important step in pursuing a financially comfortable future. To help us stay abreast of your circumstances — and identify any new or unaddressed concerns you may have — please take a moment to complete this brief survey and return it to us in the enclosed envelope.

Do you have a written financial plan?
- Yes  
- No  
- Not sure

If yes, when did you last review it?
_____________________________________

Are your financial goals: (Check all that apply)
- Specific?
- Attainable?
- Measurable?
- Not sure
- Realistic?

Have your goals changed since your last portfolio review?
- Yes, I have some new goals that could affect my investing situation.
- No, but I’d like to discuss my situation to make sure my goals are still realistic.
- Other _________________________________

Have your personal circumstances or financial situation changed since your last portfolio review? (Check all that apply)
- Birth or adoption of a child
- Separation or divorce
- Marriage or remarriage
- Substantial change to net worth
- Acquisition or sale of property
- Received an inheritance
- Retired
- Changed jobs
- Caring for an aging parent or other family member
- Health situation (you or family member)
  If so, please explain: ____________________________
  ____________________________________________
  ________________________________
- Other _________________________________
Are you concerned that the face value of your life insurance policy may no longer be adequate for your family’s needs?

☐ Yes  ☐ No  ☐ Not sure

Are you concerned that tax increases could affect your financial situation?

☐ Yes, I’m concerned that higher taxes could interfere with my current lifestyle.
☐ Yes, I’m concerned that I may need to alter my investment situation because of taxes.
☐ No, I’ve got my tax situation under control.

How concerned are you that inflation could affect your financial situation?

☐ Very concerned
☐ Concerned
☐ Not concerned
☐ I’d like more information on how inflation could affect my lifestyle.

Have you reviewed your investment portfolio to determine whether your investments are still in keeping with your: (Check all that apply)

☐ Objectives?
☐ Risk tolerance?
☐ Time horizon?

Have you reviewed your investment portfolio to determine whether your investments are adequately diversified among several different asset classes?  (Check all that apply)

☐ Yes  ☐ No  ☐ Not sure

Since our last conversation, have you changed or considered changing the age at which you plan to retire?

☐ Yes  ☐ No

If yes, why? ___________________________________________________________

Has your monthly income increased during the past year?

☐ Yes, and I am saving more as a result.
☐ Yes, but I haven’t yet altered my saving strategy and/or retirement contributions.
☐ No, but I am expecting a raise soon.
☐ Nothing has changed.

Do you have any other questions or concerns about your personal financial situation that you would like to discuss with us? __________

__________________________

__________________________

__________________________

Name ______________________

Phone number ________________

Email _______________________

Thank you for taking the time to complete this survey.

The information is not intended as tax, legal, investment, or retirement advice or recommendations, and it may not be relied on for the purpose of avoiding any federal tax penalties. You are encouraged to seek advice from an independent professional advisor. The content is derived from sources believed to be accurate. Neither the information presented nor any opinion expressed constitutes a solicitation for the purchase or sale of any security. This material was written and prepared by Broadridge Advisor Solutions. © 2017 Broadridge Investor Communication Solutions, Inc.