Client Information

Name: _____ Nickname: _____ Age: _____

Primary Phone: _____ Secondary Phone: _____ Cell Phone: _____

Business Phone: _____ Email: _____

Mailing Address: _____

Time to Call: _____ Day to Call: _____ Way to Contact: _____

Do you have a current will? ○ Yes ○ No

Do you have a current living trust? ○ Yes ○ No

Do you own life insurance? ○ Yes ○ No

Do you own individual stocks? ○ Yes ○ No

Do you own mutual funds? ○ Yes ○ No

Do you own bonds? ○ Yes ○ No

(Planned) Retirement date: _____

Do you own a business? ○ Yes ○ No

Products and Services

Rank the following products and services in order of importance to you, with "1" being the most important.

_____ Estate planning

_____ Tax planning

_____ College funding/educational planning

_____ Retirement planning

_____ Budgeting

_____ Debt management

_____ Trust planning

_____ Socially responsible investing/ESG/impact investing

_____ Accumulation of wealth

_____ Life insurance

_____ Disability insurance

_____ Long-term care insurance

_____ Nursing home expenses

_____ Alternative investments (limited partnerships, REITs, etc.)

_____ Regular portfolio reviews

_____ Other: _____

_____ Other: _____



JS&Co.
JOHN SMITH AND COMPANY

John Whelan, ABC, XYZ, Compliance Approved Title
John Smith & Company
100 Main Street | Suite 100 | Boston, MA 12345
000.000.0000 | www.smithfinancial.com | mwhelan@commonwealth.com

John Whelan offers securities and advisory services through Commonwealth Financial Network,® Member FINRA/SIPC, a Registered Investment Adviser. Fixed insurance products and services offered through CES Insurance Agency. John Whelan is not a registered broker dealer or Registered Investment Adviser. John Whelan and Commonwealth are separate and unaffiliated entities.

© 2026 Commonwealth Financial Network®

Goals

Rank the following goals in order of importance to you, with "1" being the most important.

_____ Lower income taxes

_____ Hedge against inflation

_____ Plan for retirement

_____ Reduce estate taxes

_____ Avoid probate fees

_____ Reduce insurance premiums

_____ Increase net worth

_____ Increase current income

_____ Assure proper disposition of assets

_____ Organize financial affairs

_____ Peace of mind

_____ Other: _____

_____ Other: _____

Desired Investment Features

Rank the following features in order of importance to you, with "1" being the most important.

_____ Liquidity

_____ Current income

_____ Growth potential

_____ Future income

_____ Tax advantages

_____ Preservation of capital

_____ Other: _____

_____ Other: _____

John Whelan offers securities and advisory services through Commonwealth Financial Network,® Member FINRA/SIPC, a Registered Investment Adviser. Fixed insurance products and services offered through CES Insurance Agency. John Whelan is not a registered broker dealer or Registered Investment Adviser. John Whelan and Commonwealth are separate and unaffiliated entities.

© 2026 Commonwealth Financial Network®