

Mueller Financial Services, Inc.

FINANCIAL PLANNING INFORMATION

Date: _____

Please complete prior to your appointment. If not sure, leave blank. Print clearly. OK to approximate amounts. Please bring in most recent tax returns.

CLIENT NAME _____ OCCUPATION _____

SOC. SEC. # _____ DATE OF BIRTH _____ AGE _____

MAILING ADDRESS _____

EMAIL ADDRESS _____

HOME PHONE (____) _____ DEPENDENTS AGES _____

EMPLOYER _____ EMPLOYER ADDRESS _____

YEARS THERE _____ BUSINESS PHONE (____) _____

SPOUSE NAME _____ OCCUPATION _____

SOC. SEC # _____ DATE OF BIRTH _____ AGE _____

EMPLOYER _____ EMPLOYER ADDRESS _____

YEARS THERE _____ BUSINESS PHONE (____) _____

Do you have a current will? Y _____ N _____ Living Trust? Y _____ N _____

Are you concerned about possible Nursing Home Expenses? Y _____ N _____

AMOUNTS IN BANKS, SAVINGS & LOANS & CREDIT UNIONS (NON-IRA) (i.e., Checking, Savings, Money Market)

	NAME OF APPROXIMATE INSTITUTION	TYPE OF ACCOUNT	MATURITY DATE	INTEREST RATE	BALANCE
1.	_____	_____	_____	\$ _____	_____
2.	_____	_____	_____	\$ _____	_____
3.	_____	_____	_____	\$ _____	_____
4.	_____	_____	_____	\$ _____	_____

2230 Point Blvd., Ste. 700, Elgin, IL 60123
TEL: 847-888-860 FAX: 847-888-0635

Securities offered through 1st Global Capital Corp. Member NASD-SIPC. Investment Advisory Services including fee based asset management accounts held through NFS, LLC are offered through 1st Global Advisors, Inc. All other financial planning services are offered through Mueller Financial Services, Inc. Mueller Financial Services, Inc. is not affiliated with 1st Global Capital Corp.

IRA ACCOUNTS AND OTHER RETIREMENT ACCOUNTS

ACCOUNT TYPE & LOCATION APPROXIMATE (BANK, BROKER, EMPLOYER) VALUE	TYPE (401K, IRA, TSA, ETC.)	MARKET
1. _____	_____	\$ _____
2. _____	_____	\$ _____
3. _____	_____	\$ _____
4. _____	_____	\$ _____

Planned retirement date: _____ or if retired, date retired: _____

STOCKS AND BONDS (WHERE YOU HOLD CERTIFICATES YOURSELF)

NAME OF STOCK/BOND APPROXIMATE	NUMBER OF SHARES	MARKET VALUE
1. _____	_____	\$ _____
2. _____	_____	\$ _____
3. _____	_____	\$ _____
4. _____	_____	\$ _____

MUTUAL FUNDS AND/OR BROKERAGE ACCOUNTS
(Please bring in latest reports/statements)

NAME OF BROKERAGE FIRM APPROXIMATE OR MUTUAL FUND	NUMBER OF SHARES	MARKET VALUE
1. _____	_____	\$ _____
2. _____	_____	\$ _____
3. _____	_____	\$ _____
4. _____	_____	\$ _____
5. _____	_____	\$ _____

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SIGNIFICANT LIABILITIES

	NAME OF CREDITOR	INTEREST RATE	BALANCE OF NOTE AND PAYMENT
1.	_____	_____ %	\$ _____
2.	_____	_____ %	\$ _____
3.	_____	_____ %	\$ _____

RESIDENCE AND OTHER REAL ESTATE OWNED
(Use another sheet if more space is needed)

	PROPERTY ADDRESS	ORIGINAL COST	APPROX. VALUE	LOAN BALANCE/ BEFORE DEPREC PAYMENT	NET CASHFLOW (if a rental)
1.	_____	\$ _____	\$ _____	\$ _____	\$ _____
2.	_____	\$ _____	\$ _____	\$ _____	\$ _____
3.	_____	\$ _____	\$ _____	\$ _____	\$ _____

LIMITED OR GENERAL PARTNERSHIPS

	NAME OF PARTNERSHIP	TYPE OF INVESTMENT	APPROXIMATE MARKET VALUE OR AMOUNT INVESTED
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____

OTHER ASSETS

1.	_____	\$ _____
2.	_____	\$ _____
3.	_____	\$ _____

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LIFE INSURANCE (Please bring in policies and latest statements)

COMPANY	NAME OF INSURED	TYPE OF INSURANCE (WHOLE LIFE, TERM)	APPROX. DEATH BENEFIT	LOAN AGAINST?
1. _____	_____	_____	\$ _____	\$ _____
2. _____	_____	_____	\$ _____	\$ _____
3. _____	_____	_____	\$ _____	\$ _____
4. _____	_____	_____	\$ _____	\$ _____

**ANNUITIES
(Please bring in contracts and latest statements)**

COMPANY	ANNUITANT/ OWNER	INTEREST RATE	APPROX. VALUE	DATE PURCHASED
1. _____	_____	_____%	\$ _____	_____
2. _____	_____	_____%	\$ _____	_____
3. _____	_____	_____%	\$ _____	_____
4. _____	_____	_____%	\$ _____	_____

HOUSEHOLD CASH FLOW

HUSBAND'S WAGES: \$ _____/YR SOURCE: _____

WIFE'S WAGES: \$ _____/YR SOURCE: _____

OTHER INCOME: 1. \$ _____/YR SOURCE: _____

2. \$ _____/YR SOURCE: _____

WHAT ARE YOUR APPROXIMATE ANNUAL EXPENSES: \$ _____
(Please itemize on a separate attachment)

What are your primary financial concerns? (List in order of importance).

How would you improve your financial situation if you could? Why?

Please indicate the level of risk you are willing to accept for your investable assets.

Low Risk			Moderate Risk				High Risk		
1	2	3	4	5	6	7	8	9	10

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