Personal Information

BONNER & SMITH
Registered Investment Advisor
806-798-1880 Fax 806-798-0083

Date: ___________

Name		Age	
Address			
City	State	Zip	Phone
Occupation		Employer	

CO–CLIENT (*if applicable)*

Name		Age	
Address (if different)			
City	State	Zip	Phone
Occupation		Employer	

HOW DID YOU HEAR ABOUT BONNER & SMITH?

____

____

WHAT ARE YOUR MOST CRITICAL FINANCIAL ISSUES?

1. ______________________________
2. ______________________________
3. ______________________________

HOW WOULD YOU LIKE TO BE CONTACTED?

Cell Phone	Home Phone	Email	Work	Preferred Time of Day

5308 114th St Lubbock, TX 79424

Bonner & Smith, LLC will keep all information provided confidential.

Statement of Financial Condition

BONNER & SMITH
Registered Investment Advisor
806-798-1880 Fax 806-798-0083

NAME: ____________ DATE: ________

ASSETS (Fair Market Value)

CASH EQUIVALENTS

Checking and Savings Accts	$
Money Market Accts	$
Certificates of Deposits	$
Life Insurance Cash Value, if any	$

STOCK/BONDS/MUTUAL FUNDS

Attach separate statements

Custodians	$
	$
	$
	$

RETIREMENT FUNDS

IRA Accounts	$
Pension Plan	$
Profit Sharing Plan	$
401(k) or Thrift Plan	$
TSA/403(b) Plan	$
Deferred Compensation Plan	$
ESOP or Stock Option Plan	$

REAL ESTATE / BUSINESS / OTHER

Oil Gas	$
Real Estate	$
Real Estate	$
Gold / Precious Metals / Coins	$
Other	$
Other	$

OTHER ASSETS *Fair Market Value*

Home	$
Automobile	$
Automobile	$
Boat(s)	$
Collectables	$
Other	$
Other	$
	$

TOTAL ASSETS $

You may attach a new worth statement rather than complete this section

LIABILITIES

Home Mortgage Bal		$
Mortgage payment *Escrow Y N*		$
Interest Rate		
Mortgage Loan Term Years		
Mortgage Loan Date		
Home Equity Line of Credit/Loan		$
Second Mortgage		$
Interest Rate		
Other Mortgages		$
Auto Loans/Leases Bal		$
Auto Mo. Payments	$	$
Other Installment Loans		$
		$
Business Loans		$
		$
Taxes Due		$
		$
Credit Cards		$
Interest rate		$
Other Personal Debt		$

TOTAL LIABILITIES $

NET WORTH (Assets minus Liabilities)

$

INCOME

WHAT IS YOUR ANNUAL INCOME FROM:

Salary and/or Self-Employment	$
	$
Investment Income	$
Other	$

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Tell Us About Yourself

BONNER & SMITH
Registered Investment Advisor

Name: Date:

	YES	NO
Do you plan to retire at a specific age?	○	○
When? ______________		
Are you confident with your current retirement plan?	○	○
Are you working with a broker/financial advisor?	○	○
Are you willing to change financial advisors if you have one?	○	○
How committed are you to a worry free retirement? Not at all Somewhat Very		
Are you willing to make changes to reach your retirement goal if necessary:	○	○
Would you work longer?	○	○
Would you save more?	○	○
Would you live on less?	○	○
Would you work during retirement?	○	○
Do you have 401(k) or retirement plans with previous employers?	○	○
Do you know how much you should save for retirement?	○	○
Do you have a workplace retirement plan?	○	○
How much do you contribute? ______ %		

What are your sources of retirement income?
(circle if applicable) 401(k) 403(b) Inheritance
Pension Personal Savings Social Security Other

Your spouse's sources of retirement income?
(circle if applicable) 401(k) 403(b) Inheritance
Pension Personal Savings Social Security Other

	YES	NO
Do you save outside of work?	○	○
Percent or amount? __________		
Are you expecting to receive any large amounts of money in the next few years?	○	○
Will you have any large expenses in the next few years? If so list type and amount?	○	○

____
____
____

	YES	NO
Do you expect an inheritance?	○	○
______________________________		
Do you want to leave an inheritance?	○	○
Do you have a desire to leave part of your estate to school, church, charity or other institution?	○	○
Are your parents or children dependent on you for support?	○	○
Do you plan to pay for or assist with your children's or grandchildren's education?	○	○
Do you have an emergency fund?	○	○
Do you take 401(k) loans or withdrawals?	○	○

Who pays the bills? ______________

Who's the saver in the family? ______________

What type of investing have you done in the past?

____

How were investment decisions made?

____

What do you believe is a reasonable rate of return on your investments? ______ %

	YES	NO
Do you have any investments that you are emotionally attached to?	○	○
Are there any investments you would rule out for yourself? Explain	○	○
______________________________		
Can you save money and leave it alone?	○	○
Will you allow someone to manage your assets?	○	○
Can you accept temporary declines in the value of your assets? Bear markets occur on average every 5 years.	○	○

Documents we would like to review:

- Previous years tax returns
- Social Security statement
- Brokerage statements
- W-2s
- Recent payroll check-stub
- Retirement/Workplace savings statements

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