

Your Journey with Prospera



Title	Topics	Action Steps
<u>Initial Discovery Meeting</u>	Your Story, Your Strategy Initial Discovery Meeting Form	This first conversation is all about you—your story, your goals, and what matters most. To help us prepare and make the most of our time together, we'll ask you to complete a short form with two simple questionnaires that help us understand your comfort with risk and the priorities that guide your decisions.
<u>Initial Planning Meeting</u>	Clarifying What's Important to You Initial Planning Meeting Form	Together, we'll start building a clear picture of where you are today and where you'd like to go. Before we meet, we'll invite you to share key planning documents and complete a goals-based questionnaire. This helps us focus on what's important and begin shaping your personalized plan.
<u>Strategy Implementation</u>	Putting Your Plan into Motion Prospera Investment Management Connecting Your Finances with Planning	We'll walk through the recommendations we've prepared based on everything you've shared. We'll explain how each strategy fits your goals and comfort level, then begin taking steps forward—setting up next actions and check-ins to keep your plan aligned with your life.

At Prospera Investment Advisors, we believe great financial planning begins with a clear understanding of who you are, where you've been, and where you'd like to go. Our client journey is designed to guide you through a series of three purposeful meetings: to get to know you and your goals, build a personalized financial plan, and put thoughtful strategies into action. Along the way, we'll provide helpful questionnaires and resources to support you—from day one to every step forward. This process is all about helping you feel confident and clear as we shape a plan that reflects your values, priorities, and vision for the future.

Disclosure



Chad Heberly offers investment advisory services through Gradient Advisors, LLC (Arden Hills, MN 877-885-0508), an SEC Registered Investment Advisor. Gradient Advisors, LLC and its advisors do not render tax, legal or accounting advice. Prospera Investment Advisors, LLC is not a registered investment advisor and is independent of Gradient Advisors, LLC. Insurance products and services are offered through Chad Heberly, independent agent.

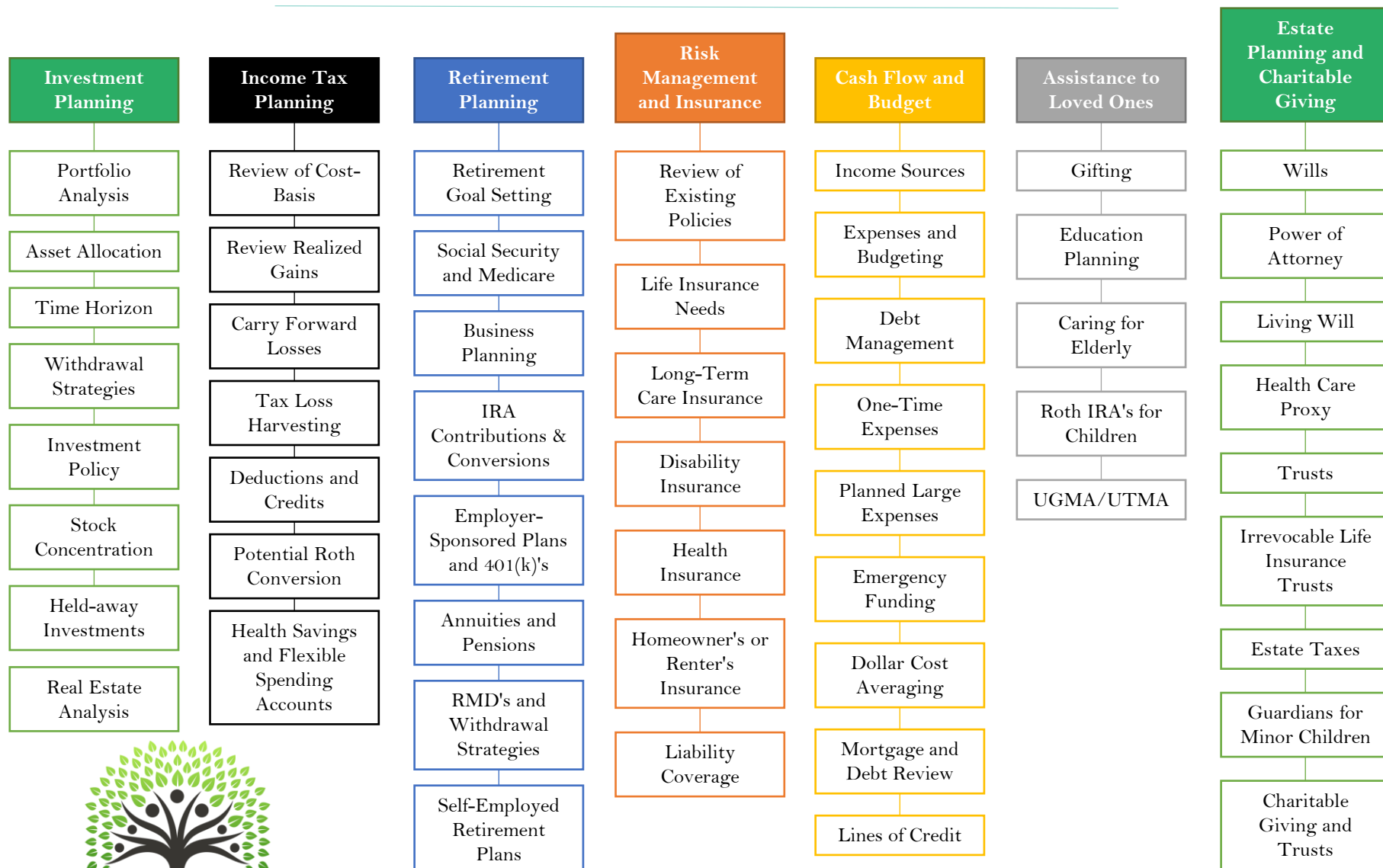
Prospera Investment Advisors, LLC, Chad Heberly, and Gradient Advisors, LLC are not affiliated with or endorsed by the Social Security Administration or any government agency

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Connecting Your Finances for **today** and **tomorrow**





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PLANNING DOCUMENTS CHECKLIST

Please bring the following documents with you to your planning meeting. We will review and discuss these items with you to better understand your personal financial situation.

PERSONAL DOCUMENTS

- ☒ Social Security statement(s)
- ☒ Mortgage and loan information
 - Amount Owed / Rate / Monthly Payment
- ☒ Most recent tax return
- ☐ Other: Click here to enter text. _____

EMPLOYER SPONSORED RETIREMENT PLAN

- ☒ Retirement Savings Plan(s) Statement(s) (401k, 403b, Deferred Comp., etc.)
- ☐ Other: Click here to enter text. _____

INVESTMENTS / CD'S

- ☒ Current investment statement(s)
- ☒ Maturity dates and current yield of Certificates of Deposit
- ☐ Other: Click here to enter text. _____

INSURANCE

- ☒ Home and Auto Insurance declarations page (or Policy Renewal document)
- ☒ Umbrella Policy declarations page (or Policy Renewal document)
- ☒ Life Insurance statements
- ☒ Annuity account statements
- ☒ Disability income insurance policy information
- ☒ Long-term care policy information
- ☐ Other: Click here to enter text. _____

BUSINESS

- ☐ Company-sponsored plan document
- ☐ Deferred Compensation / Stock/Option / Bonus plan agreements
- ☐ Buy-sell agreement
- ☐ Other: Click here to enter text. _____

ESTATE / OTHER

- ☒ Will documents
- ☒ Trust Agreements
- ☒ Power of Attorney / Medical Directives
- ☐ Other: Click here to enter text. _____