FULLER & COMPANY

FACT FINDER

Client			
First/Last Name			
Gender		DOB (mm/dd/yyyy)	
Marital Status		Previous Marriages?	
Citizenship		Social Security #	
Driver's License #		State Issued	
Issue Date		Expiration Date	

Spouse			
First/Last Name		DOB (mm/dd/yyyy)	
Gender		Citizenship	
Marital Status		Previous Marriages?	
Citizenship		Social Security #	
Driver's License #		State Issued	
Issue Date		Expiration Date	

Contact Information			
Address Line 1			
Address Line 2			
City		State	
Zip			
Home Phone		Home Fax	
Cell Phone		Spouse Cell Phone	
Email		Spouse Email	

Employment - Client			
Employer Name		Position	
Address Line 1			
Address Line 2			
City		State	
Zip			
Work Phone		Work Fax	
Work Email			

Employment - Spouse			
Employer Name		Position	
Address Line 1			
Address Line 2			
City		State	
Zip			
Work Phone		Work Fax	
Work Email			

Children							
First Name	Last Name	Date of Birth	Gender	Special Needs	Marital Status	Social Security #	Previous Marriage?

Grandchildren						
First Name	Last Name	Date of Birth	Gender	Special Needs	Marital Status	Citizenship

General Questions	
Retirement	
At what age would you like to retire?	
What minimum income do you expect to need (in today's dollars)?	
Are you covered by a company pension?	
Do you expect any additional income during retirement?	
Are you anticipating any major lifestyle changes during retirement?	
Cash Flow	
Are you comfortable with your current cash flow?	

Do you have an emergency fund (3-6 months of living expenses)?	
Do you anticipate any major expenditures in the near future?	
Do your parents or adult children look to you for financial assistance?	
Risk Management	
Do you have any health problems?	
Do either of you smoke or use tobacco products?	
Do you have adequate medical coverage?	
Do you have adequate disability coverage?	
Do you have adequate homeowners and automobile coverage?	
Estate & Legal	
Do you have an updated will?	
Do you have updated powers of attorney?	
Have you established any trusts?	
Are you the beneficiary of any trusts?	
Will you be receiving a significant inheritance?	
Do you expect to win or lose any legal judgments?	
Business Interests & Affiliations	
Do you have an ownership interest in any business(es)?	
Are you affiliated with or working for a bank, trust, insurance company, securities firm, registered broker-dealer, securities exchange or FINRA?	
Are you a director, 10% shareholder, or policy-making officer of a publicly traded company?	
Are you closely associated with a senior military, government, or political official in a foreign company?	

Document Checklist	
Have you provided or referred to the following?	**Yes/No**
Recent investment statements on accounts not managed by Fuller & Company	
Recent retirement plan statements (401(k), profit sharing, pension, deferred compensation, etc.)	
Recent bank and savings account statements	
Savings bonds/stock certificates/other investments held in "paper" form	
Recent statements of children's assets (529 or education plans) not managed by Fuller & Company	
Employer stock option agreements	
Loan documents or statements (mortgage, auto, consumer, LOC, etc.)	
Personal and business tax returns (previous 2 years if not prepared by Fuller & Company)	
Recent Social Security benefits projection statement	
Previous 2 paycheck stubs	

Cash Flow Worksheet	
Property and casualty insurance declaration pages on all properties and vehicles	
Insurance policies and recent statements (life, health, auto, home, disability, long term care, liability)	
Employee benefit booklet(s)	
Legal documents (wills, trusts, divorce decree, QDRO, prenuptial agreement, etc.)	
Business documents (buy-sell agreements, employee contracts, deferred comp agreements)	

Notes