

INDEPENDENCE | DILIGENCE | FOCUS



## Confidential Personal Profile

R.M. Wade  
COMPANY, LTD. &

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# Confidential Personal Profile

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This comprehensive, personal financial planning summary is designed to help you take inventory and assign realistic values to your assets and liabilities. It is the essential first step in organizing a sensible financial plan for your future. Once you have completed the following information, we can conduct our analysis and report our findings.

## Family Information:

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Your Name	Birthdate	Social Security #	
Spouse's Name	Birthdate	Social Security #	
Residence Address	City	State	Zip Code
Mailing Address	City	State	Zip Code
Home Phone #	Cell Phone #		
Home E-Mail			
Work Phone #			
Work E-Mail			
Spouse's Work Phone #	Spouse Cell Phone #	Work e-mail	
Driver's License #	STATE	EXPIRATION	
Spouse's Driver's License #	STATE	EXPIRATION	
Child's Name	Birthdate	Social Security #	
Child's Name	Birthdate	Social Security #	
Child's Name	Birthdate	Social Security #	
Child's Name	Birthdate	Social Security #	
Child's Name	Birthdate	Social Security #	

## Occupation:

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Your Job Title	Employer (last, if retired)
Address	
Spouse's Job Title	Employer (last, if retired)
Address	

## Income Statement:

Earned Income \_\_\_\_\_

Spouse's Earned Income \_\_\_\_\_

### Net Worth

\_\_\_\_\_ Less than \$25,000

\_\_\_\_\_ \$25,000 to \$50,000

\_\_\_\_\_ \$50,000 to \$100,000

\_\_\_\_\_ \$100,000 to \$250,000

\_\_\_\_\_ \$250,000 to \$500,000

\_\_\_\_\_ \$500,000 to \$750,000

\_\_\_\_\_ \$750,000 to \$1,000,000

\_\_\_\_\_ More than \$1,000,000

## Investment Experience

None \_\_\_\_\_

1-5 Years \_\_\_\_\_

6-10 Years \_\_\_\_\_

11-15 Years \_\_\_\_\_

15-20 Years \_\_\_\_\_

20 + Years \_\_\_\_\_

## FINRA Employee

None \_\_\_\_\_

Name of FINRA Person \_\_\_\_\_

Corp Officer; Director; 10% Owner/Holder      Y \_\_\_\_\_      N \_\_\_\_\_

Relationship to Account Holder \_\_\_\_\_

Name of FINRA Firm \_\_\_\_\_

FINRA Person Address \_\_\_\_\_

FINRA Firm Address \_\_\_\_\_

# Financial Information and Experience

## Real Estate (Other than Home)

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## Mutual Funds

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## Retirement Plan

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## Checking/Savings

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## Cash Value of Life Insurance

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## Annuities

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## Equities (Stocks)

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## Bonds

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## Alternative Invest REIT, etc

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## College / 529 Plans

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## What is important about Money to you?

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## What are your financial concerns?

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## What are your financial goals and objectives?

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## General:

Are you anticipating any major lifestyle changes? Yes    No    Uncertain  
(i.e., marriage, divorce, retirement, moving, ect.)

If so, what changes are you expecting? \_\_\_\_\_

Do you anticipate any significant changes in your cash flow? Yes    No    Uncertain

Do you anticipate any major expenditure in the near future? Yes    No    Uncertain

If so, what expenditures are you expecting? \_\_\_\_\_

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## Risk Profile

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Please check the appropriate response for each question.

1. What is your age? \_\_\_\_\_ Your Spouse's age? \_\_\_\_\_
  
2. How much investing experience do you have?
  - None
  - A little
  - Some
  - A fair amount
  - A great deal
  
3. What is your investment goal?
  - Retirement
  - More current income
  - Saving for major purchase
  - Other \_\_\_\_\_
  
4. How many years do you have until retirement?
  - Already retired
  - 5 years or less
  - 5 to 10 years
  - More than 10 years
  
5. What are your major objectives for your investments?
  - Current and future income
  - Preserving Capital
  - Building wealth for heirs
  - Keep ahead of inflation
  - Increasing returns
  
6. Over the next several years, do you expect your household annual income to:
  - Stay about the same
  - Grow moderately
  - Grow substantially
  - Decrease moderately
  - Decrease substantially
  
7. Due to a general market correction, one of your investments loses 25% of its value a short time after you buy it. What do you do?
  - Sell the investment so you won't have to worry if it continues to decline.
  - Hold it and wait for it to climb back up and then sell it.
  - Hold on to it.
  - Buy more of the same investment at the new low price.
  
8. How large of a temporary decline in your portfolio are you willing to accept before changing your investment strategy, assuming you start with \$100,000?
  - 10 % decline (portfolio value is \$90,000)
  - 20 % decline (portfolio value is \$80,000)
  - 50 % decline (portfolio value is \$50,000)
  
9. By what percentage do you expect your portfolio to grow annually over the long term?
  - 6% to 8%
  - 8% to 10 %
  - 10% to 12%
  - 12% to 14%
  - 14% to 16%
  - 16% or more



## INDEPENDENCE POWERED BY LPL FINANCIAL

R.M. Wade & Company, Ltd. is an independent firm with no proprietary products to sell or sales quotas to meet, so we are able to offer you objective financial guidance and conflict-free investment recommendations. Our relationship with LPL Financial provides us with access to unbiased research and a comprehensive array of tools, resources, and technology.

We welcome the opportunity to discuss your needs and how we can help you meet them now and in the future.

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