

Alternative Investments

Annuities

Variable, Immediate, Fixed Indexed, and Fixed

Asset Allocation

College and Higher Education Planning

529 Plans | Education Savings Accounts

Common Stocks

Consulting Services

Corporate Executive Services

Concentrated Stock Management
Control and Restricted Stock Transactions
Rule 10b5-1 Plans
Equity Compensation Plan Administration and Execution

Estate Planning

Exchange Traded Funds and Notes

Financial Planning

Fixed Income Investments

Certificates of Deposit
Collateralized Mortgage Obligations (CMOs)
Corporate Bonds | Municipal Bonds
Government and Agency Securities

Insurance | Business Owner Needs
Disability Insurance (Individual and Group)
Life Insurance (Individual and Business Policies)
Long-Term Care Insurance

Investment Advisory Programs

Investment Banking

IRAs | Traditional, Roth, and Rollovers

Mutual Funds

Options

Philanthropic Services

Donor-Advised Funds | Legacy Funds

Preferred Stocks

Public Finance

Research

Retirement Planning

Retirement Plans

401(k) Plans | 403(b) Plans
Profit Sharing Plans | Money Purchase Plans
SEP IRAs | SIMPLE IRAs
Defined Benefit Plans

Stifel Wealth Tracker

Client Account Access Online and Via App
Financial Aggregation, Organization, and Tracking

Structured Investments

Syndicate Offerings

Tax Planning

Unit Investment Trusts

Initial Meeting Checklist

Please bring the following items to your first meeting.

GENERAL:

- Copy of current investment statements
 - Value of Current Investment Statements \$ _____
- Estimated target income for retirement (in today's dollars) \$ _____ /year
- CPA/Tax Preparer: _____
- Value of Property:
 - Home: \$ _____
 - RV/Boat/Cabin: \$ _____
 - Checking Account: \$ _____
 - Savings Account: \$ _____
- Most recent tax return
- Retirement plan statements from prior employers
- Trust documents/Power of Attorney
- Debt Information: balances and interest rates
- Social Security benefit amount \$ _____
- Social Security estimated benefits report
(Go to SSA.gov > Online Services > Under "Review Your Information" > Click on "Estimate Retirement Benefits")
 - At Full Retirement Age (70) \$ _____ (62) \$ _____
- In-force insurance policies (including long-term care) and annuity contracts (most recent statements)
 - Why do you currently carry insurance? _____

IF YOU ARE CURRENTLY WORKING:

- Current employer retirement plan statement
- Pension plans and income projections
- Percentage or amount you are contributing to your employer retirement plan \$/% _____
- Percentage your employer is matching \$/% _____
- Are employer plan funds Roth or Pre-Tax funds? _____
- Are you actively contributing to an IRA/Roth IRA? _____
- Current Balance: \$ _____
- Annual income \$ _____



Name: _____	Current as of: _____
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FOR YOUR PERSONAL RECORDS

PERSONAL

- Original Will (self) yes no
- Original Will (spouse) yes no
- Living Will yes no
- Durable Power of Attorney yes no
- Healthcare Power of Attorney yes no
- Trust Documents yes no
- Safe Deposit Box yes no

Other _____

What services are you interested in? _____

FINANCIAL ASSETS

Checking Accounts	
Savings Accounts	
Money Markets	
Certificates of Deposit	
Brokerage Accounts	
Company 401(k) Accounts	
Restricted Stock	
Deferred Compensation	
Mutual Fund Accounts	
529 Plans	
Annuities	

INSURANCE

	Company	Term	Whole	Universal	Annual Premium
Individual Life Insurance					
Group Life Insurance					
Health Insurance					
Home Owners Insurance					
Automobile Insurance					
Umbrella Policy					
Disability Insurance					
Do you have long-term care insurance?					

ADVISORS

Financial Advisor	
Attorney	
Certified Public Accountant	
Insurance Agent	



Name:	Current as of:
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FOR YOUR PERSONAL RECORDS

Important People to Contact	
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IMPORTANT PASSWORDS

OTHER IMPORTANT DOCUMENTS/INFORMATION OF NOTE

OTHER PROPERTY
Current Value
RV <input type="checkbox"/> Boat <input type="checkbox"/> Cabin <input type="checkbox"/>

Do you plan on moving to or buying a new home?
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