FOUNDATIONS
INVESTMENT ADVISORS

Financial Plan Request Form

Checklist to Complete Your Financial Plan

- ☐ Personal Financial Profile
- ☐ All Brokerage Firm & Retirement Account Statements
- ☐ All Life, Long-term and Annuity Insurance Policies
- ☐ Copies of Wills and/or Trusts

Case Information: **Client 1** **Client 2**

Prospect Name(s): ____________________________ ____________________________

Advisor Name: ___________________ Primary Contact for Case: _______________

Phone Number: ___________________ Email: _________________________________

Date Needed: ___________________

By completing this financial plan request form and providing current financial statements as mentioned above, our financial planning team will be equipped to create a customized financial plan that is comprehensive and creates a roadmap to help you meet your specific goals.

All personal information that you provide to your advisor will remain confidential.

Family Information

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Client #1:

Name: ____ DOB: ____ Male ☐ Female ☐

Address: ____

Primary Phone: ____ Marital Status: ____ Expected Retirement Date: ____

Client #2:

Name: ____ DOB: ____ Male ☐ Female ☐

Address: ____

Primary Phone: ____ Marital Status: ____ Expected Retirement Date: ____

Personal Financial Profile

Assets	Client #1	Client #2
Liquid Assets (Cash, Checking, Savings)		
Fixed Assets (Real Estate, Automobile)		
Taxable Brokerage Accounts (TOD, Joint Trust)		
Tax-Deferred Accounts (IRA, 401k, 457, 403b)		
Tax-Exempt Accounts (ROTH IRA, 401k)		
Insurance Policies (Annuity, Life & LTC)		
Total		

Income	Amount	Start Date	End Date	Amount	Start Date	End Date
Annual Wages /Salary						
Annual Pension						
Annual Rental Income						
Annual Social Security						
Annual Annuity Income						
Other						
Total						

Personal Financial Profile

Liabilities and Expenses	Household
Current Household Living Expenses	
Expected Retirement Household Annual Living Expenses	
Household Loan Balances (Mortgage, Auto, Student)	
Household Federal Income Tax Bracket	

Advisor Assessment

Case Requests

Portfolio Analysis:	Morningstar, Kwanti, Portfolio Observations, Riskalyze	☐
Portfolio Proposal:	Instream Lite	☐
	Riskalyze Proposal	☐
Financial Plan (250k Minimum):	Instream Report	☐
	Riskalyze Retirement Map	☐

Portfolio Analysis Request

Total Number of Accounts to Review: _________ Total Value of Portfolio: $______________

For Accounts that require proxies (symbols or holdings are missing/ incomplete), what proxies should be used: (If not provided, proxies will be used at discretion of financial planning team)

____

____

Financial Plan Request

Proposed AUM Total $ ____ Proposed FIA Total $ ____

Prospect Risk Tolerance Level or Riskalyze Score ____

Conservative	Moderate	Balanced	Growth	Aggressive
☐	☐	☐	☐	☐

FOUNDATIONS
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AUM Details

Preferred Portfolio Manager / Portfolio:

____

Roth Conversion: Yes ☐ No ☐

Max out tax bracket: 22% ☐ 24% ☐ 32% ☐ till age ______ OR

Flat Conversion Amount $ ___________________ till age ______

FIA Details

Annuity Provider: _____________________ Annuity Name: _____________________

Funding Source/ Account: ____

REQUIRED - Upload Annuity Illustration to ShareFile

Additional Notes for the Financial Planning Team:

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