

Personal Information



Registered Investment Advisor

806-798-1880 Fax 806-798-0083

Date: _____

Name _____ Age _____

Address _____

City _____ State _____ Zip _____ Phone _____

Occupation _____ Employer _____

CO-CLIENT (if applicable)

Name _____ Age _____

Address (if different) _____

City _____ State _____ Zip _____ Phone _____

Occupation _____ Employer _____

HOW DID YOU HEAR ABOUT BONNER & SMITH, LLC? WHO CAN WE THANK?

WHAT ARE YOUR MOST CRITICAL FINANCIAL ISSUES?

1. _____

2. _____

3. _____

HOW WOULD YOU LIKE TO BE CONTACTED?

Cell Phone _____ Home Phone _____ Email _____ Work _____ Preferred Time of Day _____

5807 63rd St, Suite 300 Lubbock, TX 79424

Bonner & Smith, LLC will keep all information provided confidential.

Statement of Financial Condition



Registered Investment Advisor

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NAME: _____ DATE: _____

ASSETS (Fair Market Value)

CASH EQUIVALENTS

Checking and Savings Accts. \$ _____
 Money Market Accts. \$ _____
 Certificates of Deposits \$ _____
 Life Insurance Cash Value \$ _____

STOCK/BONDS/MUTUAL FUNDS

Attach separate statements
 \$ _____
 \$ _____
 \$ _____
 \$ _____

RETIREMENT FUNDS

IRA Accounts \$ _____
 Pension Plan \$ _____
 Profit Sharing Plan \$ _____
 401(k) or Thrift Plan \$ _____
 TSA/403(b) Plan \$ _____
 Deferred Compensation Plan \$ _____
 ESOP or Stock Option Plan \$ _____

REAL ESTATE / BUSINESS / OTHER

Oil Gas \$ _____
 Real Estate \$ _____
 Real Estate \$ _____
 Gold / Precious Metals / Coins \$ _____
 Other \$ _____
 Other \$ _____

OTHER ASSETS *Fair Market Value*

Home \$ _____
 Automobile \$ _____
 Automobile \$ _____
 Personal Property \$ _____
 Boat(s) \$ _____
 Collectables \$ _____
 Other \$ _____
 Other \$ _____

TOTAL ASSETS \$

LIABILITIES

Home Mortgage \$ _____
 Mortgage payment \$ _____
 Interest Rate _____

Home Equity Line of Credit/Loan \$ _____
 Second Mortgage \$ _____
 Int. Rates on Loans _____
 Other Mortgages \$ _____

Auto Loans/Leases \$ _____
 \$ _____
 Auto Mo. Payments \$ _____

Other Installment Loans \$ _____
 \$ _____

Business Loans \$ _____
 \$ _____

Taxes Due \$ _____
 \$ _____

Credit Cards \$ _____
 Interest rate _____ \$ _____

Other Personal Debt \$ _____

TOTAL LIABILITIES \$

NET WORTH _____ (Assets minus Liabilities)
 \$ _____

INCOME

WHAT IS YOUR ANNUAL INCOME FROM:
 Salary and/or Self-Employment \$ _____
 Investment Income \$ _____
 Other \$ _____

You may attach a new worth statement rather than complete this section

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Tell Us About Yourself



Name: _____

Date: _____

	YES	NO		YES	NO
Do you plan to retire at a specific age? When? _____	<input type="radio"/>	<input type="radio"/>	Do you expect an inheritance? How much? _____	<input type="radio"/>	<input type="radio"/>
Are you confident with your current retirement plan?	<input type="radio"/>	<input type="radio"/>	Do you want to leave an inheritance?	<input type="radio"/>	<input type="radio"/>
Are you working with a broker/financial advisor?	<input type="radio"/>	<input type="radio"/>	Do you have a desire to leave part of your estate to school, church, charity or other institution?	<input type="radio"/>	<input type="radio"/>
Are you willing to change financial advisors if you have one?	<input type="radio"/>	<input type="radio"/>	Are your parents or children dependent on you for support?	<input type="radio"/>	<input type="radio"/>
How committed are you to a worry free retirement? Not at all Somewhat Very			Do you plan to pay for or assist with your children's or grandchildren's education?	<input type="radio"/>	<input type="radio"/>
Are you willing to make changes to reach your retirement goal if necessary?	<input type="radio"/>	<input type="radio"/>	Do you have an emergency fund?	<input type="radio"/>	<input type="radio"/>
Would you work longer?	<input type="radio"/>	<input type="radio"/>	Do you take 401(k) loans or withdrawals?	<input type="radio"/>	<input type="radio"/>
Would you save more?	<input type="radio"/>	<input type="radio"/>	Who pays the bills? _____		
Would you live on less?	<input type="radio"/>	<input type="radio"/>	Who's the saver in the family? _____		
Would you work during retirement?	<input type="radio"/>	<input type="radio"/>	What type of investing have you done in the past? _____		
Do you have 401(k) or retirement plans with previous employers?	<input type="radio"/>	<input type="radio"/>	How were investment decisions made? _____		
Do you know how much you should save for retirement?	<input type="radio"/>	<input type="radio"/>			
Do you have a workplace retirement plan?	<input type="radio"/>	<input type="radio"/>	What do you believe is a reasonable rate of return on your investments? _____%		
How much do you contribute? _____%					
What are your sources of retirement income? (circle if applicable) 401(k) 403(b) Inheritance Pension Personal Savings Social Security Other			Do you have any investments that you are emotionally attached to?	<input type="radio"/>	<input type="radio"/>
Your spouse's sources of retirement income? (circle if applicable) 401(k) 403(b) Inheritance Pension Personal Savings Social Security Other			Are there any investments you would rule out for yourself? Explain _____	<input type="radio"/>	<input type="radio"/>
Do you save outside of work?	<input type="radio"/>	<input type="radio"/>	Can you save money and leave it alone?	<input type="radio"/>	<input type="radio"/>
Percent or amount? _____			Will you allow someone to manage your assets?	<input type="radio"/>	<input type="radio"/>
Are you expecting to receive any large amounts of money in the next few years?	<input type="radio"/>	<input type="radio"/>	Can you accept temporary declines in the value of your assets? Bear markets occur on average every 5 years.	<input type="radio"/>	<input type="radio"/>
Will you have any large expenses in the next few years? If so list type and amount?	<input type="radio"/>	<input type="radio"/>	Do you want to become wealthy?	<input type="radio"/>	<input type="radio"/>

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Documents we would like copies of:

- 2 previous years tax returns
- Social Security statement
- Brokerage statements
- W-2s
- Recent payroll check-stub
- Retirement/Workplace savings statements
- Record of any other assets, investments, rental property, annuity statements
- Cash value life insurance policies