Initial Meeting

What to expect

The initial meeting is typically informal and one where both you and your advisor have a chance to get to know each other. This is a good time for you to ask questions and spend time explaining your individual situation, your advisor will take notes and ask questions to understand what is important to you. Before providing any recommendations, he or she will learn why you are investing, what objectives you hope to achieve and the amount of risk you are comfortable taking. You'll discuss how involved you'd like to be in your investment decisions, which account options are available and what costs or fees are associated with those options.

Gather Information

We **do not** require that you bring anything to the initial meeting, however if you are ready to talk in detail about your finances, below is a list of items that can provide your advisor with a more complete picture of your individual situation. Don't worry if you aren't able to gather everything below.

- ☐ Social Security Statements (can be found at www.ssa.gov)
- ☐ Pension Statements
- ☐ Bank/CD Account Statements (If accounts are other than operational.)
- ☐ Employer Retirement Plan Statements (401(k), 403(b), SEP, SIMPLE, etc.)
- ☐ IRA/Roth Statements
- ☐ Investment Account Statements
- ☐ Insurance Contracts (Life, Disability, Long-Term Care, Home, Auto)
- ☐ Estate Planning Documents (Trust, Wills, POAs)
- ☐ Income Tax Returns (Last completed year)
- ☐ List of Other Significant Assets (Homes, Businesses, Art Work, etc.)
- ☐ List of Debt (Mortgages, Business, Credit Card, Personal, etc.)
- ☐ Other ____
- ☐ Other ____