



Client

Spouse

Full Name

Date of Birth

Marital Status

Single Married Divorced
Separated Widowed

Single Married Divorced
Separated Widowed

Social Security #

Address

Home Phone #

Mobile Phone #

Work Phone #

Preferred Email Address

Employment Status

Retired/ Employed/ Business Owner
Homemaker Not Currently Employed

Retired Employed Business Owner
Homemaker Not Currently Employed

Employer

Work Address

Drivers License #

Expiration Date

State Issued

Communication Preference

Annual Meeting In Person Semi-Annual Meeting Email Quarterly Meeting Phone Call

List children, grandchildren, dependents or any other person who you may give a gift or designate as a beneficiary.

Name	Date of Birth	Social Security #	Relationship

In preparation for your Comprehensive Planning meeting please provide the most recent copies of statements or other documentation, as applicable, for the following items:

- Payroll stubs** for past two pay periods per individual
- State & Federal Tax Returns** for last year
- Insurance Policy information** (actual contracts); should include coverages, deductibles, out-of-pocket maxima (as applicable) and policy costs.
 - Life
 - Disability
 - Long Term Care
 - Health & Medical
 - Property & Casualty
 - Liability
 - Other policy information
- Employee Benefit and Pension Plan information**
 - Stock Options: granted/vested/unexercised tables
 - Employee Stock Purchase Plans: description of plan, share balances and typical future contributions
 - IRAs; Traditional & Roth
 - 401k, 403b, Section 457
 - SEPS, SIMPLE, Keogh
 - PERSI, PEBSCO
 - Annuities
 - Pension information
 - Other plan information
- Value/ worth of personal property and/ or and possession:** real estate, autos, boats, jewelry, collectibles, etc. (list individually on Asset Sheet)
- Current liabilities and loan balances** of mortgages, auto loans, charge cards, personal loans, etc. (include original terms of loan)
- Value/ worth of client owned business or limited partnership** contracts, agreements, form of ownership and other pertinent information.
- Most **recent Statements** of:
 - Credit Cards
 - Banks and Credit Unions
 - Investments
 - CDs and Money Market accounts
 - Social Security Benefit Estimate
 - Other
- Estate & Special Needs**
 - Will(s)
 - Trust(s)
 - Gifting
 - Inheritance
 - Foundations

Please complete the following form based on your MONTHLY expenses.

INCOME	CURRENT	RETIREMENT
Employment		
Rental Property		
Other		

HOME EXPENSES	CURRENT	RETIREMENT
First Mortgage		
Second Mortgage		
Equity Line		
Real Estate Tax		
Rent		
Homeowner Ins.		
Association Dues		
Electricity		
Gas/Oil		
Trash Pickup		
Water/Sewer		
Cable/Satellite TV		
Internet		
Telephone (land line)		
Lawn Care		
Maintenance-Major		
Maintenance-Regular		
Furniture		
Household Help		
Other		

INSURANCE	CURRENT	RETIREMENT
Disability for Client		
Disability for Spouse		
Life for Client		
Life for Spouse		
LTC for Client		
LTC for Spouse		
Medical for Client		
Medical for Spouse		
Umbrella Liability		
Other		

FAMILY EXPENSES	CURRENT	RETIREMENT
Alimony		
Bank Charges		
Books/Magazines		
Business Expense		
Care for parent/other		
Cash-Miscellaneous		
Cell phone		
Charitable Donations		
Child Activities		
Child Allowances/Expense		
Child Care		
Child Support		
Child Tutor		
Clothing-Client		
Clothing-Spouse		
Clothing-Children		
Club Dues		
Credit Card payments		
Dining		
Education		
Entertainment		
Gifts		
Groceries		
Healthcare-Dental		
Healthcare-Medical		
Healthcare-Prescriptions		
Healthcare-Vision		
Hobbies		
Household Items		
Laundry/Dry cleaning		
Personal Care		
Public Transportation		
Recreation		
Self Improvement		
Student Loan Payment		
Vacation/Travel		
Other		

TAXES	CURRENT	RETIREMENT
Client FICA		
Client Medicare		
Spouse FICA		
Spouse Medicare		
Federal Income		
State Income		
Local Income		
Other		

CAR #1 EXPENSES	CURRENT	RETIREMENT
Loan Payment		
Lease Payment		
Insurance		
Fuel		
Repairs/Maintenance		
Parking/Tolls		
Docking/Storage		
Other		

CAR #2 EXPENSES	CURRENT	RETIREMENT
Loan Payment		
Lease Payment		
Insurance		
Fuel		
Repairs/Maintenance		
Parking/Tolls		
Docking/Storage		
Other		

NOTES

Berkeley, Inc.
 3778 Plantation River
 Suite 102
 Boise, ID 83703
 208-853-6980

Lifestyle Goals



With a well-designed Retirement Lifestyle Plan, you can obtain the most enjoyment possible from the money you have to spend during the rest of your life. In an uncertain world where investment returns are unpredictable, it is the most important exercise you can do to increase the likelihood that you'll enjoy a rewarding retirement.

Planning the future you want should be an enjoyable process, and it all starts with your Goals.

Pg. 1 Begin by telling us a little about yourself.

Pg. 2-4 Each category has an "Importance" column. We use this number to rank your goals, 10 as the most important to you, 1 as the least important.

For each Goal, enter two spending amounts, Ideal and Acceptable. This creates our Acceptable Range. The Ideal Amount is the amount you would really like in a perfect world. The Acceptable Amount is the least that would still be OK. Then, ask yourself this question: "If I could be confident that the amount of money I'd have to fund each Goal would be within the Acceptable Range, would I be satisfied?" Be sure you can answer yes.

***College**-enter all college goals regardless of whether they occur before or after your retire.

	Client 1	Client 2
Name		
Date of Birth		
Employment Income		
Other Income		

Children and Grandchildren (or any other Participant included in this plan)

Name	Date of Birth	Relationship

Retirement Age

When would you like to retire? First enter the earliest age at which you might like to retire as your Ideal Age. Then enter the latest you could retire and still be satisfied as an Acceptable Age.

	Client 1	Client 2
Ideal Age		
Acceptable Age		
How willing are you to retire later to attain your goals?	<input type="checkbox"/> Very Willing <input type="checkbox"/> Somewhat Willing <input type="checkbox"/> Slightly Willing	<input type="checkbox"/> Very Willing <input type="checkbox"/> Somewhat Willing <input type="checkbox"/> Slightly Willing
Who can retire first?	Select One: <input type="checkbox"/> Either can retire first. <input type="checkbox"/> Only Client 1 can retire first. <input type="checkbox"/> Both retire in the same year. <input type="checkbox"/> Only Client 2 can retire first.	

COLLEGE/EDUCATION

Importance High Low 10 → 1	Description	Start Year	Amount		Number of Years
			Ideal	Acceptable	
8	e.g., College for Mary	2018	\$25,000	\$18,000	4

TRAVEL

Importance High Low 10 → 1	Description	Start Year	Amount		How Often	How Many Times
			Ideal	Acceptable		
7	e.g., Annual Travel Fund	Retirement	\$12,000	\$8,000	Yearly	20

CAR

Importance High Low 10 → 1	Description	Year needed	Amount		How Often	How Many Times
			Ideal	Acceptable		
8	e.g., John's SUV	2015	\$42,000	\$30,000	Every 4 yrs	6

MAJOR PURCHASE

Importance High Low 10 → 1	Description	Year needed	Amount		How Often	How Many Times
			Ideal	Acceptable		
4	e.g., ski boat	2012	\$40,000	\$20,000	once	1

HEALTH CARE

Importance High Low 10 → 1	Description	Year needed	Amount		How Often	How Many Times
			Ideal	Acceptable		
9	e.g., Extra Health Expense (age 80)	2029	\$15,000	\$10,000	yearly	10

NEW HOME

Importance High Low 10 → 1	Description	Year	Amount	
			Ideal	Acceptable
7	e.g., Mountain condo	retirement	\$350,000	\$250,000

HOME IMPROVEMENT

Importance High Low 10 → 1	Description	Year	Amount		How Often	Number of Years
			Ideal	Acceptable		
5	e.g., Renovate kitchen	2010	\$60,000	\$40,000	once	1

WEDDING

Importance High Low 10 → 1	Description	Year	Amount	
			Ideal	Acceptable
7	e.g., Holly's Wedding	2022	\$35,000	\$22,000

CELEBRATION

Importance High Low 10 → 1	Description	Year	Amount	
			Ideal	Acceptable
5	e.g., 50th anniversary	2021	\$35,000	\$20,000

GIFTS-DONATIONS-HELP

Importance High Low 10 → 1	Description	Year	Amount		How Often	Number of Years
			Ideal	Acceptable		
6	e.g., Gifts for Tim	2025	\$20,000	\$10,000	yearly	5

PROVIDE CARE FOR SOMEONE

Importance High Low 10 → 1	Description	Year	Amount		How Often	Number of Years
			Ideal	Acceptable		
8	e.g., Care for mom	2009	\$45,000	\$45,000	yearly	5

START BUSINESS

Importance High Low 10 → 1	Description	Year	Amount	
			Ideal	Acceptable
5	e.g., Start Gift Shop	retirement	\$40,000	\$28,000

LEAVE BEQUEST

Importance High Low 10 → 1	Description	Amount	
		Ideal	Acceptable
2	e.g., Bequest to Alma Mater	\$50,000	\$0

ANYTHING ELSE

Importance High Low 10 → 1	Description	Year	Amount		How Often	Number of Years
			Ideal	Acceptable		
1	e.g., Club Membership	retirement	\$10,000	\$10,000	yearly	15

BASIC LIVING EXPENSES This Goal is for your basic day-do-day living expenses during retirement.

Importance High Low 10 → 1	Description	Amount	
		Ideal	Acceptable
10	Basic Living Expenses	\$_____ Per year	\$_____ Per year



3778 Plantation River Drive	Phone	208-853-6980
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Boise Idaho 83703	Fax	208-853-6982

FINANCIAL PLANNING AGREEMENT

This Financial Planning Agreement is between the Investment Advisory Firm, Berkeley, Inc., and

Berkeley, Inc. is registered with the Securities and Exchange Commission (SEC) under the Investment Advisors Act of 1940.

The Agreement outlines the responsibilities of the parties concerning the financial planning services to be provided by Berkeley, Inc.

- (1) You shall pay Berkeley, Inc. for its services a fee based upon the complexity of your situation, in accordance with Berkeley Inc.'s current fee schedule. The financial planning fees are due in full upon completion of the analysis.
- 2 When the plan is completed and reviewed with you, you are under no obligation to take action recommended in the plan.
- (3) You understand that the past performance of investments recommended by Berkeley, Inc. should not be construed as an indication of future results, which may prove to be better or worse than the past. **Your investment may go up or down in value, depending on market conditions.** We make no promises, representations or warranties that any of our services will result in a profit to you. We may rely on information furnished to us, which is believed to be reasonably accurate and reliable.
- (4) This agreement may be modified only in writing. This agreement is terminable by you within five business days, without penalty, from the date of acceptance. Any fees paid in advance are refundable on a prorated basis. This Agreement may be terminated upon written notice by either party. This Agreement is not assignable by Berkeley, Inc. without your the advance written consent.
- (5) If you are establishing this Agreement in a fiduciary capacity, you hereby certify that you are legally empowered to enter into or perform this Agreement in such capacity. If this agreement is established by a corporation, the undersigned certifies that the Agreement has been duly authorized, executed and delivered on behalf of such corporation and that attached to this Agreement is a validly certified copy of a resolution of the Board of Directors of the corporation to act on behalf in connection with this Agreement.
- (6) The laws of Idaho shall govern this Agreement. This Agreement contains all the understanding of

the parties as to this engagement.

- (7) You certify that the Social Security Number (Tax Identification Number) set forth below is correct and that you are not subject to “backup withholding” under section 340(a)(1)(c) of the internal Revenue Code or any successor provision. You are a citizen of the United States.

Your legal address is: _____

Your Social Security number is: _____

Any controversy or claim arising out of or relating to this Agreement, or the breach thereof, shall be settled by binding arbitration, in accordance with the commercial arbitration rules of the American arbitration Association, and judgment upon the award rendered by the arbitrator may be entered in any court having jurisdiction thereof.

Financial Planning Fee _____

By signing this agreement, you acknowledge that you have received Berkeley, Inc.’s latest filing of Part II of Form ADV Registration Application.

Client signature: _____ Date: _____

Client signature: _____ Date: _____

Accepted by: _____ Date: _____

Berkeley, Inc.
Registered Investment Advisor
