



**PRELIMINARY FACT FINDER / PROPOSAL DATA WORKSHEET**

DWMIM looks forward to working with you on your client cases. To begin a discussion, we've created the fact finder below. Please complete the worksheet as completely as possible and email/fax to us.

Client First Name and Last initial? \_\_\_\_\_ Age? \_\_\_\_\_

Married? Y/N Spouse's Name? \_\_\_\_\_ Age? \_\_\_\_\_

Kids? Y/N How many and ages? \_\_\_\_\_

Next meeting date? \_\_\_\_\_

Approximate Risk Tolerance (circle one): Defensive Conservative Moderate Growth Aggressive

Approximate use of investment (circle one or more): cash flow, preservation of principal, growth & income, aggressive growth

Amount to Invest? \$ \_\_\_\_\_

Is this new money or coming from existing assets? \_\_\_\_\_

Current investable asset pot (don't include primary resident, etc)? \$ \_\_\_\_\_

Approximate Current make up: (equity\_\_\_\_%, fixed income\_\_\_\_%, alts\_\_\_\_%, cash\_\_\_\_%)

Current investment vehicles being used (i.e. mutual funds, ETFs, individual stocks/bonds, equipment leasing, REITs (public or non-public), receivables financing, other alts, etc) :

\_\_\_\_\_

\_\_\_\_\_

*\*If available, we encourage you to forward the clients' most recent statement.\**

Are they opposed to certain investment vehicles? \_\_\_\_\_

Are they interested in alts? \_\_\_\_\_

Tax sensitivity? \_\_\_\_\_

Problems or concerns with current advisor? \_\_\_\_\_

\_\_\_\_\_

Return expectations keeping in mind their risk tolerance level? \_\_\_\_\_

\_\_\_\_\_