

INTAKE FORM



Today's Date: _____

| Family Data | Date of Birth | Birth Place |
|------------------|---------------|-------------|
| Your Full Name | | |
| Spouse Full Name | | |
| Child | | |
| Child | | |
| Child | | |
| Child | | |

Residence: Address _____ Home Phone # _____
 Your cell # _____
 Your partner cell # _____

City _____ State _____ Zip _____

Email Address: Home _____ Work _____ Preference for use:
 Home Work

| Employment Data | Occupation/Specialty | Employer | How Long? |
|---------------------------|----------------------|----------|------------------|
| You | | | |
| Spouse | | | |
| Your Employer's Address | City | State | Zip |
| Spouse Employer's Address | City | State | Zip |
| | | | Office Phone No. |
| | | | Office Phone No. |

| | Base Salary | Estimated Bonus | Other Sources | Other Sources |
|-----------------------|-------------|-----------------|---------------|---------------|
| Your Primary Income | | | | |
| Spouse Primary Income | | | | |

Financial Goals/Priorities

1. What are your top one or two financial concerns looking forward over the next five years?

Your response:

Spouse response:

2. How do you make important investment and financial decisions for you/your family?

3. What changes do you expect in your future finances that you would like to plan for?

4. Have you ever worked with a Financial Planner or Adviser before? Yes No
If yes, what was your experience?

5. What brings you the most enjoyment in life? What's preventing you from doing or engaging in that more often?

6. What do you hope to get out of a relationship with a financial planner and what are the keys to making this relationship a success for you?

Your response:

Spouse response:

7. Why do you think you need help in accomplishing your financial plans?

Your response:

Spouse response:

8. Is there anything further you think is important to tell us?

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This fact-finder is intended to gather initial information in the financial planning process. Please note that if you decide to engage in any software-base financial planning process, you may need to also complete the applicable questionnaire. At implementation, if any, a separate application and/or Investor Profile will need to be submitted for any financial or insurance product you ultimately decide to purchase and will result in their own suitability and underwriting analyses. In the event that there is an inconsistency between the information you Provided in this material and application/investor Profile, the information in the application/Investor Profile shall govern. SMRU #5069026.1 Exp 11/9/24