

# LifeView® Client Profile

The first step in creating a personalized financial strategy is to develop a thorough understanding of your financial goals and the resources available to fund them. This document will help define and prioritize these goals and identify your resources. In addition, please gather statements for any accounts not held at Morgan Stanley, which will be helpful when discussing resources to fund your financial goals.

## Personal Information

<b>Client Name</b>	<b>Co-Client Name</b>
Date of Birth (MM/DD/YYYY)	Date of Birth (MM/DD/YYYY)
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Widow/Widower <input type="checkbox"/> Married <input type="checkbox"/> Domestic Partners	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Widow/Widower <input type="checkbox"/> Married <input type="checkbox"/> Domestic Partners
Employment Status <input type="checkbox"/> Retired <input type="checkbox"/> Employed <input type="checkbox"/> Business Owner <input type="checkbox"/> Not Currently Employed	Employment Status <input type="checkbox"/> Retired <input type="checkbox"/> Employed <input type="checkbox"/> Business Owner <input type="checkbox"/> Not Currently Employed
Employment Income \$	Employment Income \$
Other Income \$	Other Income \$
State of Residence	State of Residence

## DEPENDENTS

Name	Relationship	Date of Birth (MM/DD/YYYY)
1.		
2.		
3.		
4.		

Date Completed (MM/DD/YYYY): \_\_\_\_\_

## Defining Financial Goals

### RETIREMENT LIFESTYLE EXPENSE GOALS

<b>Desired Retirement Age</b> <i>The age at which you would like to retire</i> <b>Client</b>	<b>Desired Retirement Age</b> <i>The age at which you would like to retire</i> <b>Co-Client</b>
Willingness to Retire Later to Attain Goals? (if necessary) <input type="checkbox"/> Not at All Willing <input type="checkbox"/> Slightly Willing <input type="checkbox"/> Somewhat Willing <input type="checkbox"/> Very Willing	Willingness to Retire Later to Attain Goals? (if necessary) <input type="checkbox"/> Not at All Willing <input type="checkbox"/> Slightly Willing <input type="checkbox"/> Somewhat Willing <input type="checkbox"/> Very Willing
Desired Income Amount (After Tax) per year \$	

Any information that you provide to us or that we provide to you is for investment education only. The information should not be viewed or relied upon as advice with respect to asset allocation or any particular investments. The information is provided to us on the condition that Morgan Stanley is not an adviser or a fiduciary to you as a result of gathering such information. To be used with the LifeView® Goal Analysis and/or LifeView® Advisor Tools.



**EDUCATION GOALS**

Importance High-Low (10-1)	Description	Student	Desired Amount (After Tax)	Start Date (MM/DD/YYYY)	Number of Years
			\$		
			\$		
			\$		
			\$		

**OTHER FINANCIAL GOALS**

Importance High-Low (10-1)	Description	Start	Desired Amount (After Tax)	Number of Years
		<input type="checkbox"/> At Retirement <input type="checkbox"/> Year: _____	\$	
		<input type="checkbox"/> At Retirement <input type="checkbox"/> Year: _____	\$	
		<input type="checkbox"/> At Retirement <input type="checkbox"/> Year: _____	\$	
		<input type="checkbox"/> At Retirement <input type="checkbox"/> Year: _____	\$	
		<input type="checkbox"/> At Retirement <input type="checkbox"/> Year: _____	\$	

**Resources**

**RETIREMENT INCOME**

**Social Security**

Client	Co-Client
Are you eligible? <input type="checkbox"/> Yes <input type="checkbox"/> No	Are you eligible? <input type="checkbox"/> Yes <input type="checkbox"/> No
If receiving now, enter amount/month \$	If receiving now, enter amount/month \$
If currently employed, when should benefits begin? <input type="checkbox"/> At Retirement <input type="checkbox"/> At Age _____	If currently employed, when should benefits begin? <input type="checkbox"/> At Retirement <input type="checkbox"/> At Age _____

**Other Retirement Income** (e.g., from a Pension, Annuity, Trust, Part-Time Work or Rental Property Income)

Description	Owner	Amount/Month	Year It Begins	Year It Ends	Will This Benefit Increase with Inflation?
		\$			<input type="checkbox"/> Yes <input type="checkbox"/> No
		\$			<input type="checkbox"/> Yes <input type="checkbox"/> No
		\$			<input type="checkbox"/> Yes <input type="checkbox"/> No
		\$			<input type="checkbox"/> Yes <input type="checkbox"/> No

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**ASSETS HELD AT OTHER FINANCIAL INSTITUTIONS**

(Please provide copies of the most recent account statements or attach them to this profile.)

**Taxable and Individual Retirement Accounts** (e.g., Brokerage Accounts, Savings Accounts, Annuities, IRAs, Roth IRAs, Other Tax-Deferred Accounts)

Description	Account Type	Owner	Value	Annual Savings
			\$	\$
			\$	\$
			\$	\$
			\$	\$
			\$	\$

**Employer-Sponsored Retirement Accounts**

Description	Account Type	Owner	Value	Annual Contributions	Employer Match
			\$	\$	
			\$	\$	
			\$	\$	
			\$	\$	

**OTHER ASSETS** (Residences, Personal Property, Vehicles, Businesses, Real Estate, Other)

Description	Value
	\$
	\$
	\$
	\$
	\$

**LIABILITIES** (e.g., Home Mortgages, Car Loans, Student Loans, Personal Loans, etc.)

Include information regarding any outstanding liabilities you may have.

Description	Loan Type (Fixed, Adjustable, Interest Only)	Initial Amount	Start Date (MM/DD/YYYY)	Balance	Interest Rate %	Term	Monthly Payment
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$
		\$		\$			\$

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## Additional Information

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### Disclosure Statement

Any information that you provide to us or that we provide to you is for investment education only. The information should not be viewed or relied upon as advice with respect to asset allocation or any particular investments.

A LifeView Goal Analysis or LifeView Financial Plan ("Financial Plan") is based on the methodology, estimates, and assumptions, as described in your report, as well as personal data provided by you in this material. The report should be considered a working document that can assist you with your objectives. Morgan Stanley Smith Barney LLC ("Morgan Stanley") makes no guarantees as to future results or that an individual's investment objectives will be achieved. The responsibility for implementing, monitoring and adjusting your financial goal analysis or financial plan rests with you. After your Financial Advisor delivers your report to you, if you so desire, your Financial Advisor can help you implement any part that you choose; however, you are not obligated to work with your Financial Advisor or Morgan Stanley.

*Important information about your relationship with your Financial Advisor and Morgan Stanley Smith Barney LLC when using LifeView Goal Analysis or LifeView Advisor.* When your Financial Advisor prepares and delivers a Financial Goal Analysis (i.e., when using LifeView Goal Analysis), they will be acting in a *brokerage* capacity. When your Financial Advisor prepares a Financial Plan (i.e., when using LifeView Advisor), they will be acting in an *investment advisory* capacity with respect to the delivery of your Financial Plan. This Investment Advisory relationship will begin with the delivery of the Financial Plan and ends thirty days later, during which time your Financial Advisor can review the Financial Plan with you. To understand the differences between brokerage and advisory relationships, you should consult your Financial Advisor, or review our *Understanding Your Brokerage and Investment Advisory Relationships* brochure available at <https://www.morganstanley.com/wealth-relationshipwithms/pdfs/understandingyourrelationship.pdf>.

Morgan Stanley, its affiliates and Morgan Stanley Financial Advisors and Private Wealth Advisors do not provide tax or legal advice. Clients should consult their tax advisor for matters involving taxation and tax planning and their attorney for matters involving trust and estate planning and other legal matters. Your LifeView analysis is provided to you on the condition that we are not acting as a fiduciary for purposes of the Employee Retirement Income Security Act of 1974 ("ERISA") as a result.

If you have any questions regarding this Risk Tolerance Questionnaire or the terms of this Disclosure Statement, please do not hesitate to ask your Financial Advisor or Private Wealth Advisor.

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