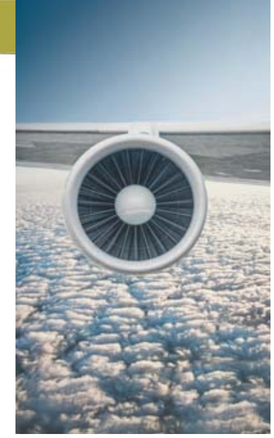
Pilot Preliminary Fact Finder

(Confidential)

Retirement ~~FLIGHT~~ PLANNING©



Dear Fellow Pilot,

This Fact Finder, designed specifically for Airline Pilots, was created to simplify the process of creating a true Financial Plan, by Financial Planning Professionals who not only understand your career, but also understand how to navigate the complex benefits that the airlines provide its pilots.

Rather that telling you, we would rather show you what we can do for you and your family based on your actual needs, using sound financial principles and unbiased recommendations.

For us to do that, we need some basic information to begin assessing where you are financially today and what your retirement can actually look like. Please take a moment to provide us with as much information as possible so that we can begin customizing your retirement plan for you.

Rest assured that our retirement planning process is designed to be the foundation of an **unbiased** and **objective** investment proposal, created specifically for you and your family. At ARS we have no proprietary investments and, due to our extensive credentials, we are able to customize each recommendation based on your individual needs and not what other pilots might have done in the past.

We Work In Your Best Interest

As **Accredited Investment Fiduciaries (AIF®)**, we make your investments purposeful and relevant as part of a larger, long-term financial plan. They are based on your specific needs and family structure. Our plans are also customized for each one of our clients and we never implement a “cookie cutter” investment as each of our clients are unique.

We Understand Your Unique Needs

Our long-standing fiduciary standard that we adhere by requires us to fully understand the goals and objectives of our clients. This **Pilot Preliminary Fact Finder** questionnaire is designed give us the initial information that we will need to begin creating a suitable and objective, three-part part plan, that will incorporate Accumulation, Distribution, and Wealth Transfer strategies.

We Give You Options

Our goal is to provide you with multiple options of accomplishing your retirement goals, along the pros, cons, and costs of each. This will allow you to make an informed decision, based on what is available on today’s financial arena.

We Make It Simple

We understand that schedules can become quite hectic and unpredictable. As a nationwide firm, we are structured so that we can travel and offer the most flexibility possible. Although we encourage anyone to come to our headquarters in Houston to meet the team, we are also happy to travel to you as needed.

Choosing the right Financial Advisor is paramount to your long term financial success and it is a decision that we feel should be done in person. Let us know what your schedule is and we will adapt our meetings accordingly.

AVIATION RETIREMENT STRATEGIES

WEALTH PLANNING FOR AVIATION PROFESSIONALS

www.PILOTMONEY.com

PILOT'S INFORMATION

Name: ______________________ Date of Birth: ______________

Captain: ☐ First Officer: ☐ Airline: ____________ Current Equipment: ____________

Current Address: ______________________________________

City: ______________________ State: ________ Zip: __________

Home Phone: ____________ Cell Phone: ____________ Fax: ______________

Email: ______________________ Retiring Early? Yes ☐ No ☐

SPOUSE'S INFORMATION

Name: ______________________ Date of Birth: ______________

Occupation/Title: ______________________ Annual Salary: ______________

Current Address: ______________________________________

City: ______________________ State: ________ Zip: __________

Home Phone: ____________ Cell Phone: ____________ Fax: ______________

Email: ______________________

DEPENDENTS & BENEFICIARIES

Name: __________ Dep/Ben/Both: ________ Relationship: ________ D.O.B.: ______ %: ______

Name: __________ Dep/Ben/Both: ________ Relationship: ________ D.O.B.: ______ %: ______

Name: __________ Dep/Ben/Both: ________ Relationship: ________ D.O.B.: ______ %: ______

FIXED MONTHLY INCOME

	Amount
Social Security at Retirement	$
Spouse Social Security *(if applicable)*	$
PBGC *(if applicable)*	$
Airline Pension *(if applicable)*	$
Military Pension *(if applicable)*	$
Rental Property Income *(if applicable)*	$
Additional Income *(if applicable)*	$
Investment Income *(dividends, interest, etc.)*	$
Post-Retirement Income *(if applicable)*	$
Other ____________	$
Total	$

RETIREMENT ACCOUNTS

	Current Value
A-Plan *(If applicable)*	$
401(k) *(Combined)*	$
Roth 401(k)	$
Post Tax Contributions	$
Spouse 401(k) *(If applicable)*	$
Traditional IRA's	$
ROTH IRA's	$

ALL OTHER ACCOUNTS *(Trading, Checking, Savings, Etc.)*

Description *(Name on Account)*	Account Held At	Current Value
		$
		$
		$
		$

LIFE INSURANCE

Company	Owner *(Self/Spouse)*	Type *(Term/Perm./Unsure)*	Face Amount	Policy Value *(If Permanent)*
			$	$
			$	$
			$	$

OUTSTANDING LOANS

Description	Balance	Interest Rate	Paid Off *(Y/N)*	Monthly Payment *(P&I)*
Mortgage *(primary residence)*	$			$
Mortgage *(other properties)*	$			$
Airplane	$			$
Boat	$			$
Your Car	$			$
Spouse's Car	$			$
Credit Card	$			$
Credit Card	$			$
Other	$			$

Notes and Other Pertinent Information

Pilot’s Monthly Expense Worksheet

(Projected at Retirement)

(Monthly Expense)

HOUSING

Phone	$ ________
Electricity	$ ________
Gas	$ ________
Water and sewer	$ ________
Cable	$ ________
Waste removal	$ ________
Maintenance or repairs	$ ________
Supplies	$ ________
Other ________	$ ________
Subtotal	**$ ________**

ENTERTAINMENT

Video/DVD	$ ________
CDs	$ ________
Movies	$ ________
Concerts	$ ________
Sporting events	$ ________
Live Theater	$ ________
Other ________	$ ________
Subtotal	**$ ________**

PETS

Food	$ ________
Medical	$ ________
Grooming	$ ________
Toys	$ ________
Other ________	$ ________
Subtotal	**$ ________**

LEGAL

Attorney	$ ________
Alimony	$ ________
Payments on lien or judgment	$ ________
Other ________	$ ________
Subtotal	**$ ________**

GIFTS AND DONATIONS

Charity	$ ________
Other ________	$ ________
Subtotal	**$ ________**

TRANSPORTATION

Fuel	$ ________
Maintenance	$ ________
Other ________	$ ________
Subtotal	**$ ________**

FOOD

Groceries	$ ________
Dining out	$ ________
Other ________	$ ________
Subtotal	**$ ________**

PERSONAL CARE

Medical	$ ________
Hair/Nails	$ ________
Clothing	$ ________
Dry cleaning	$ ________
Health club	$ ________
Waste removal	$ ________
Organization dues or fees	$ ________
Other ________	$ ________
Subtotal	**$ ________**

TAXES

Federal	$ ________
State	$ ________
Local	$ ________
Other ________	$ ________
Subtotal	**$ ________**

ADD UP YOUR SUBTOTALS

Housing	$ ________
Entertainment	$ ________
Pets	$ ________
Legal	$ ________
Gifts and Donations	$ ________
Transportation	$ ________
Food	$ ________
Personal Care	$ ________
Taxes	$ ________
TOTAL EXPENSES	**$ ________**

INVESTMENTS

Have you invested in:	Yes	No
Equities	☐	☐
Fixed Income	☐	☐
Mutual Funds	☐	☐
Options, Futures, or Derivatives	☐	☐
Other ____________________	☐	☐

INVESTMENT INCOME

	Yes	No
Do you have current income needs from your investments?	☐	☐

EQUITY

If you own a home, how much equity is in it? __________ %

What is the value of your home? $ __________

INVESTMENT KNOWLEDGE

	None	Limited (1-3 years)	Good (4-5 years)	Extensive (6+ years)
How would you describe your level of investment knowledge?	☐	☐	☐	☐
How much investment experience do you have?	☐	☐	☐	☐

INVESTMENT RISK

	Invest more	Take no action	Somewhat concerned	Probably sell	Never would have made this investment
From an original investment of $15,000, your portfolio now worth $25,000 suddenly declines $3,750 or 15%, which best describes your response?	☐	☐	☐	☐	☐
Your portfolio from the previous question, now worth $21,250, suddenly declines another $2,125 or 10%, which best describes your response?	☐	☐	☐	☐	☐

FUNDS

	Less than 2 years	2-5 years	6-10 years	More than 10 years
When will you begin to use your invested funds?	☐	☐	☐	☐

RETIREMENT GOALS

	Low	Medium	High
Investing after-tax money in tax-advantaged vehicles	☐	☐	☐
Consolidating your portfolio for fee and investment efficiency	☐	☐	☐
Matching your investment portfolio to your risk tolerance	☐	☐	☐
Creating an affective distribution strategy for your retirement assets	☐	☐	☐
Confirming that your long-term retirement plan is on track	☐	☐	☐
Generating a guaranteed retirement income stream	☐	☐	☐
Reviewing your investment performance against that of an index	☐	☐	☐
Reviewing your investment performance against your plan	☐	☐	☐
Reviewing alternative retirement methods	☐	☐	☐
Minimizing the taxes on your investment accounts	☐	☐	☐
Reviewing tax savings strategies	☐	☐	☐
Protecting assets in the event that you require long term care in the future	☐	☐	☐
Planning on leaving assets to your children or beneficiaries	☐	☐	☐

ESTATE GOALS

	Low	Medium	High
Distributing assets equally to your children	☐	☐	☐
Ensuring your assets get transferred to your children	☐	☐	☐
Reviewing your insurance portfolio	☐	☐	☐
Reviewing different methods of meeting your estate tax liabilities	☐	☐	☐
Minimizing estate taxes	☐	☐	☐
Charitable planning inside your estate plan	☐	☐	☐
Contributing annually to charity	☐	☐	☐
Gifting to your children to reduce taxable estate	☐	☐	☐
Planning for your current will structure to eliminate unnecessary taxes	☐	☐	☐
Reviewing your current will structure	☐	☐	☐
Protecting your residence and/or vacation home from estate taxes	☐	☐	☐
Building a trust to insure your estate stays in your immediate family	☐	☐	☐

TRUST
PARTNERSHIP
OBJECTIVITY
INDEPENDENCE

Retirement ~~FLIGHT~~ PLANNING©

Please contact us for more information about Aviation Retirement Strategies, LLC. and our wide range of retirement wealth planning strategies for Airline Pilots.

LPL Financial

charles SCHWAB

Fidelity INVESTMENTS

ARS
AVIATION
RETIREMENT
STRATEGIES

17725 John F. Kennedy Blvd,
Houston, Texas 77032

KIAH : 281-272-2229
TF : 877-272-2201
FX : 281-272-6807

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www.PILOTMONEY.com