



# Meeting Prep **GUIDE**

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"YOUR LEGACY IN YOUR HANDS"



# GLOBAL INVESTMENT COMPANY

## Getting Started: Your Financial Consultation Process

We're excited to help you achieve your financial goals. To ensure an accurate and tailored plan, gathering key information upfront is essential. Don't worry—this process is straightforward, and we're here to guide you every step of the way. Below is a checklist of documents and details that will help us create a comprehensive strategy. If you have questions, feel free to call. You're already on the path to success!

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### Information Checklist:

#### Account Statements:

- Brokerage Accounts
- Retirement Accounts
- 529/Education Accounts
- Employee Benefit Accounts
- Other Accounts (e.g., credit cards)
- Mortgage Statements

#### Employee Benefits:

- Benefits Packet/Booklet
- Business Agreement (if applicable)

#### Insurance Policies:

- Medical, Life, Annuities, Long-Term Care

#### Additional Documents:

- Last 2 Years' Tax Returns
  - Trust Documents & Real Estate List
  - Mortgage Terms (rate, term, prepayment details)
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### Important Notes:

We encourage you to share anything that might affect your financial planning, including unique circumstances or goals. The more we know, the better we can serve you. Together, we'll build a financial plan designed for your future success.



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## Top Questions to Ask Your Financial Advisor

- 1. What is your investment philosophy?**  
Understanding their approach to investing helps ensure their strategy aligns with your goals and risk tolerance.
- 2. Are you a fiduciary?**  
Confirming fiduciary status ensures your advisor is legally obligated to prioritize your best interests.
- 3. How do you tailor financial plans to individual needs?**  
This highlights their customization process and commitment to personalized service.
- 4. What types of clients do you typically work with?**  
Knowing their client base can give you insight into their experience with people in similar financial situations.
- 5. How are your fees structured, and what will I pay?**  
Transparency about fees helps you avoid surprises and understand the cost of their services.
- 6. How often will we meet to review my portfolio?**  
Regular reviews keep your financial plan on track and responsive to changes in your life or the market.
- 7. What services do you offer beyond investment management?**  
Advisors may provide holistic services like tax planning, estate planning, or retirement strategies.
- 8. How do you handle market volatility?**  
Their response can reveal how they manage risk and maintain focus on long-term goals.
- 9. What tools and reports will I have access to?**  
Knowing how you'll receive updates and track progress can ensure transparency and communication.
- 10. What is your process for selecting investments?**  
This question uncovers their research methods and criteria for choosing assets.
- 11. How do you integrate socially responsible investing (SRI) or environmental, social, and governance (ESG) factors?**  
If values-based investing matters to you, this is essential to ask.
- 12. Can you help me with tax-efficient strategies?**  
Maximizing tax efficiency can significantly impact your financial outcomes.
- 13. What happens if I need to access my funds?**  
Understanding liquidity and withdrawal policies ensures you can meet future needs.
- 14. What certifications or credentials do you hold?**  
Credentials like CFP®, AIF®, or CFA® demonstrate specialized expertise.
- 15. How do you stay updated on financial regulations and market trends?**  
Continuous learning shows a commitment to providing informed advice.



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510-835-8300 Telephone  
510-835-8302 Fax

Global Investment Company  
Advisor  
Cathy

Date

<b>Monthly Income and Expense</b>			
<b>GROSS INCOME</b>		<b>SAVINGS AND INVESTMENTS</b>	
Salary and Earned Income	<input type="text"/>	Payroll Deductions	<input type="text"/>
Rental Income	<input type="text"/>	Credit Union	<input type="text"/>
Social Security	<input type="text"/>	Mutual Funds	<input type="text"/>
Other Income	<input type="text"/>	Stocks and Bonds	<input type="text"/>
Dividends, Interest, CapGain	<input type="text"/>	Real Estate	<input type="text"/>
<b>Total</b>	\$ -	Annuities	<input type="text"/>
		Certificates of Deposit	<input type="text"/>
<b>LIABILITIES</b>		Qualified Retirement Plans	<input type="text"/>
Mortgage or Rent	<input type="text"/>	Other (Def. Comp )	<input type="text"/>
Residence Taxes	<input type="text"/>	<b>Total</b>	<input type="text"/>
Vacation Home Mortgage	<input type="text"/>		
Vacation Home Taxes	<input type="text"/>	<b>CONTRIBUTIONS</b>	
Automobile Loan(s)	<input type="text"/>	Religious	<input type="text"/>
Personal Loans/Charge Accts.	<input type="text"/>	Charitable	<input type="text"/>
Student Loans	<input type="text"/>	<b>Total</b>	<input type="text"/>
Mortgage Investment Real	<input type="text"/>		
Investment Real Estate Taxes	<input type="text"/>	<b>HOUSEHOLD EXPENSES</b>	
Other (Timeshare Dues)	<input type="text"/>	Food	<input type="text"/>
<b>Total</b>	\$ -	Clothing	<input type="text"/>
		Doctor & Dentist	<input type="text"/>
<b>TAXES</b>		Prescription Drugs	<input type="text"/>
Federal Income Taxes	<input type="text"/>	Professional Fees	<input type="text"/>
State & Intangible Taxes	<input type="text"/>	Education Expenses	<input type="text"/>
Local & Property Taxes	<input type="text"/>	Day Care	<input type="text"/>
<b>Total</b>	\$ -	Personal Care	<input type="text"/>
		Electricity, Gas, Fuel	<input type="text"/>
<b>FICA &amp; MEDICARE WITHHOLDING</b>		Telephone and Cable	<input type="text"/>
Client	<input type="text"/>	Water & Water Conditioners	<input type="text"/>
Spouse	<input type="text"/>	Garbage and Pest Control	<input type="text"/>
<b>Total</b>	\$ -	Home Maintenance & Repair	<input type="text"/>
		Pool Maintenance & Repair	<input type="text"/>
<b>INSURANCE</b>		Comcast internet	<input type="text"/>
Life Insurance	<input type="text"/>	Association Dues	<input type="text"/>
Health Insurance	<input type="text"/>	Travel and Vacation	<input type="text"/>
Disability Income Insurance	<input type="text"/>	Recreation, Entertain, Hobby	<input type="text"/>
Auto Insurance	<input type="text"/>	Veterinarian & Pet Care	<input type="text"/>
Home Owners Insurance	<input type="text"/>	Allowances	<input type="text"/>
Investment Real Estate Insurance	<input type="text"/>	Gifts	<input type="text"/>
Other	<input type="text"/>	Other	<input type="text"/>
<b>Total</b>	\$ -	Books, Magazines	<input type="text"/>
		<b>Total</b>	\$ -
<b>TRANSPORTATION</b>			
Gas and Oil	<input type="text"/>		
Maintenance and Repair	<input type="text"/>		
License, Registration	<input type="text"/>		
Public	<input type="text"/>		
Parking	<input type="text"/>		
Other	<input type="text"/>		
<b>Total</b>	\$ -		
Total Income	\$ -		
Total Expenses			
Discretionary			



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## SHORT AND LONG TERM GOALS

**Please list goals according to time period:**

Next 2 weeks


Next 2-4 weeks


Next 1-4 months


Less than 1 Year


Less than 5 Years


More than 5 Years
