

**RETIREMENT PLANNING
AT MORGAN STANLEY**

<http://www.morganstanleyfa.com/james.lannan>

8300 Norman Center Drive, Suite 1150 ♦ Bloomington, Minnesota ♦ 55437
(952) 841-6454 ♦ (800) 927-1990 Ext. 3471 ♦ Fax (952) 921-1944

James H. Lannan
Financial Advisor

PERSONAL INVESTMENT PLAN
Confidential Evaluation

Name & Spouse's Name: _____

Street Address: _____

City, State & Zip Code: _____

Employer: _____

Estimated Retirement/Termination Date: _____

Dates of Birth: Self: _____ Spouse: _____

Phone #s: Work #: _____ Home #: _____ Cell #: _____

E-mail Address: _____

Name of Smith Barney Advisor: James H. Lannan

RETIREMENT PLAN BENEFITS

Pension Plan

Lump Sum Distribution \$ _____ or Annuity \$ _____ month

Profit Sharing/401(k) Plan

Total: _____
(i.e. Savings, Stock Plan, Thrift Plan)

% of Income Contribution to Profit Sharing/401(k): _____

% of Company Match (if any): _____

*****Please include your most recent retirement investment statements, if available*****

INCOME & CAPITAL

Anticipated After-Tax Annual Income Needs at Retirement: \$ _____

Current Salary: \$ _____

Date of Hire: _____

At what age do you anticipate withdrawing your funds? _____

ADDITIONAL INVESTMENTS

AMOUNT

Liquid Investments: _____
(i.e. CD's, savings, money market funds)

Stocks: _____
held outside employer plan(s)

Tax-Free Investments: _____
(i.e. municipal bonds)

Existing IRAs: _____

Mutual Funds/Corp. Bonds/Annuities: _____
held outside employer plan(s)

Additional Income Sources: _____
(i.e. Social Security, rental property)

Life Insurance *(premium & benefit)*: _____

EXPECTATIONS & INVESTMENT OBJECTIVES

What overall rate of return do you expect from your retirement assets? _____ %

What percentage of your retirement assets would you want invested in fixed-income securities? _____ %
Safety [i.e. CD's, US Treasuries, etc.]

What percentage of your retirement assets would you want invested in high-quality stocks? **Growth** _____ %

How would you describe yourself as an investor?

☐ Conservative

☐ Moderate

☐ Aggressive

Additional factors to be taken into consideration:

INVESTMENT PRODUCTS: NOT FDIC INSURED ■ NOT A BANK DEPOSIT ■ MAY LOSE VALUE

