

# The Strategic Goal Review Profile



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## Important Information

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UBS Financial Services Inc. will not provide advice with respect to assets held at other firms. Information contained in the Strategic Goal Review (SGR) about these assets is based solely on the information the client has provided to us. We will not verify and are not responsible for the accuracy or completeness of this information.

The Strategic Goal Review is generated using MoneyGuidePro™ software, which is owned and maintained by Pie Technologies, Inc. UBS Financial Services Inc. and PIE Technologies are independent of each other and have neither an agency nor an employment relationship.

# Introduction to Strategic Goal Review

This profile is designed to help clients identify their goals, their importance and the ways in which they can fund them.

We will use this information to complete a Strategic Goal Review (SGR). An SGR reviews a client's financial goals and their projected ability to fund them.

*Note that changes in personal circumstances, economic conditions, tax laws, government programs and other unforeseeable events can have an impact upon savings and investments. As such, it is important to meet with a Financial Advisor periodically to review goals, the progress made towards pursuing goals and to assess possible shortfalls or funding gaps due to market conditions and personal circumstances.*

**To complete this profile, please gather the following personal financial records and documentation. Please check the box next to each item attached.**

- |   |   |
|---|---|
| <input type="checkbox"/> Most recent tax returns (federal and state)  | <input type="checkbox"/> Sources of education funding:  |
| <input type="checkbox"/> Social Security benefit statement, if available  | <input type="checkbox"/> UGMA/UTMA accounts, 529 plans, Coverdell Education Savings Accounts  |
| <input type="checkbox"/> Bank and brokerage account statements  | <input type="checkbox"/> Other actual or anticipated funding sources such as scholarships, loans, student employment or gifts. Explain: |
| <input type="checkbox"/> Retirement plan statements   | _____   |
| <input type="checkbox"/> Traditional IRAs, IRA rollovers, Roth IRAs, SEP/IRAs and SIMPLE IRAs   | _____   |
| <input type="checkbox"/> Qualified plans such as 401(k) plans, Profit sharing plans, Thrift plans, 403(b) plans, 457 plans, Keogh plans, etc. | <input type="checkbox"/> Life insurance policies, including the most recent statements (include employer-provided benefits)             |
| <input type="checkbox"/> Other retirement plans such as nonqualified deferred compensation plans, nonqualified pension plans or savings plans | <input type="checkbox"/> Information related to your mortgage(s), loan(s) and other liabilities, including balances and rates           |
| <input type="checkbox"/> Tax-deferred annuities   |   |
| <input type="checkbox"/> Information related to your company benefits (e.g., benefits statement or book)                                      |   |
| <input type="checkbox"/> Employee Stock Option Benefit Statement  |   |

# Section 1: Personal Information and Financial Goals

## Personal Information

	Client	Spouse
<b>Name</b>		
<b>Gender</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
<b>Date of birth</b>		
<b>Marital status</b>	<input type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Widowed <input type="checkbox"/> Divorced <input type="checkbox"/> Separated	
<b>Employment status</b>	<input type="checkbox"/> Retired <input type="checkbox"/> Employed <input type="checkbox"/> Homemaker <input type="checkbox"/> Business owner <input type="checkbox"/> Not currently employed	<input type="checkbox"/> Retired <input type="checkbox"/> Employed <input type="checkbox"/> Homemaker <input type="checkbox"/> Business owner <input type="checkbox"/> Not currently employed
<b>Employer/occupation</b>		
<b>Employment income</b>	\$	\$
<b>Other preretirement income</b>	\$	\$
<b>State of residence</b>		
<b>Citizenship</b>	<input type="checkbox"/> USA <input type="checkbox"/> Other	<input type="checkbox"/> USA <input type="checkbox"/> Other
<b>Home phone</b>		

## Children, Grandchildren and Other Dependents

Name	<input type="checkbox"/> Male <input type="checkbox"/> Female	Date of birth/age	Relationship <sup>1</sup>
Name	<input type="checkbox"/> Male <input type="checkbox"/> Female	Date of birth/age	Relationship
Name	<input type="checkbox"/> Male <input type="checkbox"/> Female	Date of birth/age	Relationship
Name	<input type="checkbox"/> Male <input type="checkbox"/> Female	Date of birth/age	Relationship
Name	<input type="checkbox"/> Male <input type="checkbox"/> Female	Date of birth/age	Relationship

<sup>1</sup> Relationship can include child, grandchild, other dependent, beneficiary/donee, charity, trust (e.g., Irrevocable Life Insurance Trust.)

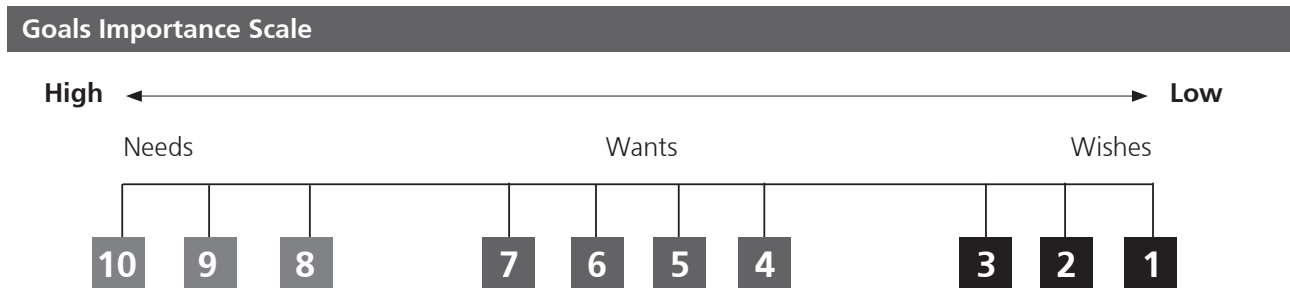
## Section 1: Personal Information and Financial Goals

### Financial Goals

The following pages are for listing goals the Strategic Goal Review will address. Think about each goal carefully. Is it a goal that is needed, wanted or wished for?

- **Needs** are those essential goals necessary to maintain a certain lifestyle
- **Wants** are those goals hoped to be fulfilled someday once essential goals are met
- **Wishes** are aspirational goals—a “wish” list

The Strategic Goal Review requires ranking each goal from 10-1, based on importance. **Needs** are most important, followed by **Wants** and **Wishes**.



When evaluating each financial goal, identify an **Ideal Amount** and an **Acceptable Amount**. The ideal amount is the desired amount. The acceptable amount is the minimum estimated amount needed to spend on this goal. These are after-tax amounts.

For the retirement living expense, there will be an **Ideal Retirement Age** and an **Acceptable Retirement Age**. The ideal age is the desired retirement age. The acceptable age is the latest age that you may be willing to retire.

The following pages are organized into three goal categories: retirement living expense goals, college goals and lifestyle goals. Lifestyle goals include goals such as travel, a major purchase or buying a home.

**Section 1: Personal Information and Financial Goals**



**Retirement Living Expense Goals**

These goals are basic, essential day-to-day living expenses, including food, clothing, utilities, etc.

**Retirement Age**

	Client	Spouse
<b>Ideal age</b>		
<b>Acceptable age</b>		
<b>Willingness to retire later (if necessary) to attain goals?</b>	<input type="checkbox"/> Very willing <input type="checkbox"/> Somewhat willing <input type="checkbox"/> Slightly willing	<input type="checkbox"/> Very willing <input type="checkbox"/> Somewhat willing <input type="checkbox"/> Slightly willing
<b>Select one of the following scenarios</b>	<input type="checkbox"/> Either can retire first <input type="checkbox"/> Both retire in the same year	<input type="checkbox"/> Only client can retire first <input type="checkbox"/> Only spouse can retire first

**Retirement Periods Expense**

Use the following amounts for the retirement periods	Ideal	Acceptable
<b>One individual is retired and the other is still employed ("One Retired" Period)</b> Consider whether a shortfall will exist between income and expenses in each of the two scenarios, taking into consideration there is only one paycheck. Enter this expense here, since this is the amount that needs to be funded. – Client retired/spouse employed      \$                      \$ – Spouse retired/client employed      \$                      \$		
<b>When full retirement begins whether single or married ("Both Retired" Period)</b> Enter planned expenditures of basic expenses during retirement (extra expenses such as travel, major purchases, etc. should be entered as separate goals). – Client and spouse retired              \$                      \$		
<b>One is living and the other is deceased ("One Alone" Period)</b> Enter the expenses of the surviving spouse in each of the two scenarios. – Client alone                                  \$                      \$ – Spouse alone                                  \$                      \$		

**Adjustments to Living Expense Amounts**

Reduce your retirement living expense amount for expenditures that will end during retirement (e.g., a mortgage that will be paid off).

Description	Year Expense Will End	Amount (Current Dollars)	Adjust for Inflation
		\$ _____ <input type="checkbox"/> Mth. <input type="checkbox"/> Yr.	<input type="checkbox"/> Yes <input type="checkbox"/> No
		\$ _____ <input type="checkbox"/> Mth. <input type="checkbox"/> Yr.	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Importance of this Goal**      High – Low  
 10 – 1      \_\_\_\_\_

**Section 1: Personal Information and Financial Goals**



**College Goals**

These goals are the education funding expenses—college or other educational programs—for self, a child, grandchild or other family member.

Student 1	Ideal Amount	Acceptable Amount
<b>Choose one cost method below</b>		
Name: _____	An estimate \$ _____	\$ _____
Start year: _____	An average cost	\$ _____
# of years of college: _____		
Importance: High – Low 10 – 1 _____	Type of college <input type="checkbox"/> Public <input type="checkbox"/> Private	\$ _____
	Location: <input type="checkbox"/> In state <input type="checkbox"/> Out of state	
	Cost of a specific college College name: _____ State: _____	\$ _____

Student 2	Ideal Amount	Acceptable Amount
<b>Choose one cost method below</b>		
Name: _____	An estimate \$ _____	\$ _____
Start year: _____	An average cost	\$ _____
# of years of college: _____		
Importance: High – Low 10 – 1 _____	Type of college <input type="checkbox"/> Public <input type="checkbox"/> Private	\$ _____
	Location: <input type="checkbox"/> In state <input type="checkbox"/> Out of state	
	Cost of a specific college College name: _____ State: _____	\$ _____

Other annual funding sources (e.g., loans, student scholarships, student employment, etc.)

Student	Funding Source	Annual Amount
		\$ _____
		\$ _____

Assets owned by others (e.g., 529 plan owned by grandparents)

Student	Current Value	Annual Addition	Growth Rate

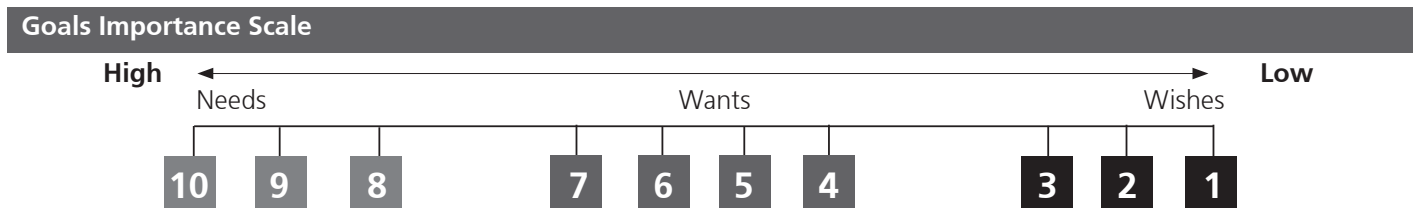
## Section 1: Personal Information and Financial Goals

### Lifestyle Goals

These goals are personal goals chosen to enhance a certain lifestyle—goals such as travel, a major purchase or buying a new home.

They may be goals for retirement or today. Either way, if they are to be funded using money from investment assets or savings, list each as a lifestyle goal.

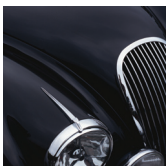
Remember, rank goals according to the following scale:



### Travel

Create travel goals for an individual trip or any future vacations. A special spot? Or multiple destinations?

Description	Start	Amount		How Often	How Many Times	Importance	
	Year	Or at Retirement	Ideal			Acceptable	High 10
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					



### Car

Include any goals for buying a vehicle from investment assets or savings. A classic car for a collection? Or, a luxury car during retirement?

Description	Start	Amount		How Often	How Many Times	Importance	
	Year	Or at Retirement	Ideal			Acceptable	High 10
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					



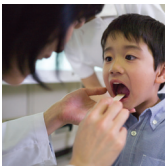
**Section 1: Personal Information and Financial Goals**



**Major Purchase**

A long-standing desire? A leisure boat? An art collection? Or \_\_\_\_\_? Fill in the blank and make it a goal.

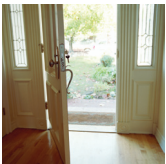
Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High 10	Low 1
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						



**Healthcare**

The cost of healthcare is usually covered under basic expenses. However, if concerned about remaining financially independent and not burdening family with personal healthcare costs later in life, add healthcare as a separate goal here.

Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High 10	Low 1
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						



**New Home**

List any planned home purchases. Looking to trade-up or downsize? Dreaming of a weekend or vacation home?

Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High 10	Low 1
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						

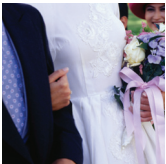
**Section 1: Personal Information and Financial Goals**



**Home Improvement**

Is a home renovation in the future?

Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High	Low
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>						
		<input type="checkbox"/>						



**Wedding**

Is planning a wedding a priority?

Name and Relationship	Year	Amount		Importance	
		Ideal	Acceptable	High	Low
					10 - 1



**Celebration**

Bar/Bat Mitzvahs, Communions, sweet-sixteens, birthdays, anniversaries and other events. Planning to make these celebrations happen?

Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High	Low
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>						
		<input type="checkbox"/>						

**Section 1: Personal Information and Financial Goals**



**Gifts—Donations—Help**

Is it time to give back? List here any gift goals—from holiday presents to monetary gifts to family members or organizations.

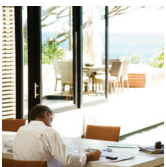
Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High	Low
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>					10	1



**Provide Care for Someone**

Need money to take care of a loved one (e.g., parent in a nursing home, or a special-needs child)?

Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High	Low
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>					10	1



**Starting a Business**

Is it time to work for yourself? Open a franchise? Turn a passion into a business?

Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High	Low
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>					10	1
		<input type="checkbox"/>					10	1

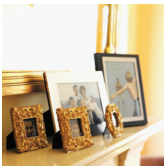
**Section 1: Personal Information and Financial Goals**



**Private School**

Planning for a private school education for children or grandchildren?

Who is Going to School?	Start Year	Number of Years	Amount		Importance	
			Ideal	Acceptable	High 10	Low 1



**Leave a Bequest**

Creating a legacy may be an important goal—through a business built or trusts for grandchildren’s future.

Description/Recipient	Amount		Importance	
	Ideal	Acceptable	High 10	Low 1



**Anything Else/Other**

Are there other needs, wants and wishes not yet covered?

Description	Start	Or at Retirement	Amount		How Often	How Many Times	Importance	
	Year		Ideal	Acceptable			High 10	Low 1
		<input type="checkbox"/>						
		<input type="checkbox"/>						
		<input type="checkbox"/>						

# Section 2: Risk Tolerance

## Risk Tolerance and Investment Preferences

These questions are designed to help develop an asset allocation strategy that addresses specific financial goals. Please review and answer the following questions.

### 1. Primary objective

Overall objective for this analysis is to:

- Produce current income
- Achieve capital appreciation (emphasis on growth of capital, not income)
- Produce a combination of income and capital appreciation

### 2. Investment timeframe

The length of time intended to remain invested can play a significant role in designing an appropriate investment strategy. Generally, the longer the investment timeframe, the more risk that can be taken to potentially achieve greater returns (assuming additional risk).

When will the majority of these funds be needed?

- Less than three years
- Three to six years (an average market cycle)
- Seven to 10 years
- Longer than 10 years (several market cycles)

### 3. Risk/return objectives

Many investors have expectations of earning the high returns of a long-term investment, but feel compelled to liquidate prematurely because of their discomfort with short-term volatility. Identifying acceptable volatility is central to determining an appropriate investment strategy.

Which of the following statements best characterize risk/return objectives?

- Interested in maintaining invested capital and not prepared to accept higher fluctuations in the value of assets
- Prefer to sustain only moderate fluctuations in the value of assets to achieve moderate returns
- In order to achieve a higher return, prepared to accept higher fluctuations in the value of assets

## Section 2: Risk Tolerance

### 4. Investment characteristics

Which one of the following best characterizes tolerance for risk? Please check one of the following:

- Low risk       Some risk       Moderate risk       Moderately high risk       High risk

### 5. Short-term cash need

Is there a need for cash in the short term?

- Yes       No

### 6. Portion of total investable assets in this analysis

What portion of total investable assets is reflected in this analysis?

- Less than 20%       20% to 40%       41% to 60%       61% to 80%       More than 80%

### 7. To what extent should tax-free municipal securities be taken into consideration?

- Not at all       Minimally       Somewhat       Significantly       Fully

### 8. Please select which product types should be considered in an asset allocation recommendation.

- International equity       Emerging markets       International fixed income       High yield  
 REITs       Alternative strategies       Broad commodities

(Note: If alternative strategies is selected in question 8, please answer questions 9 – 10.)

### 9. Please indicate willingness to invest with professional money managers who, from time-to-time, may employ the types of investment strategies described in question 10?

- Not comfortable       Fairly comfortable       Very comfortable

### 10. Is there some familiarity with the following investments or strategies and interest in investing in them again?

- Private investment partnerships       Hedge funds or managed futures       Private equity or venture capital  
 Put and/or call options       Futures/commodity contracts       Short positions

# Section 3: Resources

## Retirement Income Sources

Attached are the most recent Social Security, pension or other retirement income statements

### Social Security

Recipient	Age to Start Benefits	Expected Benefit	
Client		\$	<input type="checkbox"/> Check if the program should estimate
Spouse		\$	<input type="checkbox"/> Check if the program should estimate

Notes:

### Other Retirement Income

(Include pension, real estate, trust and/or part-time employment income, do not include investment income)

Recipient	Description	When Will Income Start?	When Will Income End?	Annual Income	Survivor Benefit (if applicable)	Inflation (if applicable)
				\$		%
				\$		%
				\$		%
				\$		%

Notes:

## Section 3: Resources

### Investment Assets

The following pages (pages 14 – 20) require specific investment/account information. **Please attach copies of statements for each investment/account or complete the worksheets that follow.**

#### Assets Held at UBS

Account number: \_\_\_\_\_ Account number: \_\_\_\_\_

Account number: \_\_\_\_\_ Account number: \_\_\_\_\_

#### Assets Held at Other Financial Institutions

To include assets that are held outside the firm [e.g., 401(k) assets held with an employer], please indicate their account values and where they are held in the spaces provided below. Note: *Please provide copies of the most recent account statements or attach them to this profile. The account statement should be dated within the last 60 days.*

#### Investment Assets and Bank Accounts

Attached are the most recent investment and bank account statements

	Account 1	Account 2	Account 3
Owner (client, spouse, joint)			
Name of firm/account			
Total current value	\$	\$	\$
Cost basis	\$	\$	\$
Annual additions	\$	\$	\$
When additions end			
U.S. large-cap equity	%	%	%
U.S. mid-cap equity	%	%	%
U.S. small-cap equity	%	%	%
REITs	%	%	%
U.S. equity-other	%	%	%
Developed markets	%	%	%
Emerging markets	%	%	%
U.S. fixed income	%	%	%
U.S. high yield bonds	%	%	%
Non-U.S. fixed income	%	%	%
Cash and cash alternatives	%	%	%
Alternative strategies – equity diversifier	%	%	%
Alternative strategies – fixed income diversifier	%	%	%
Alternative strategies – equity and fixed income diversifier	%	%	%
Broad commodities	%	%	%



### Section 3: Resources

#### Qualified Retirement Plans—Including 401(k), SEP/IRA, SARSEP, SIMPLE, Keogh, 403(b), 457.

Attached are the most recent qualified benefit statements

	Account 1	Account 2	Account 3
Owner (client, spouse, joint)			
Name or description			
Total current value	\$	\$	\$
After tax value (if applicable)	\$	\$	\$
U.S. large-cap equity	%	%	%
U.S. mid-cap equity	%	%	%
U.S. small-cap equity	%	%	%
REITs	%	%	%
U.S. equity-other	%	%	%
Developing markets	%	%	%
Emerging markets	%	%	%
U.S. fixed income	%	%	%
U.S. high yield bonds	%	%	%
Non-U.S. fixed income	%	%	%
Cash and cash alternatives	%	%	%
Alternative strategies – equity diversifier	%	%	%
Alternative strategies – fixed income diversifier	%	%	%
Alternative strategies – equity and fixed income diversifier	%	%	%
Broad commodities	%	%	%
Employee contributions:			
Pre-tax %	% or Max	% or Max	% or Max
After-tax %	%	%	%
When employee contributions end			
Employer contributions as a % of compensation	% up to %	% up to %	% up to %
Profit sharing % of compensation or \$ amount:	% or \$	% or \$	% or \$
When profit sharing contributions end			

**Section 3: Resources**

**IRA and Tax-Deferred Accounts/Annuities**

Attached are the most recent IRA and tax-deferred account statements.

	Account 1	Account 2	Account 3
Owner (client, spouse, joint)			
Name or description			
Total current value	\$	\$	\$
Cost basis (if applicable)	\$	\$	\$
Annual additions	\$	\$	\$
When additions end			
U.S. large-cap equity		%	%
U.S. mid-cap equity		%	%
U.S. small-cap equity		%	%
REITs		%	%
U.S. equity-other		%	%
Developing markets		%	%
Emerging markets		%	%
U.S. fixed income		%	%
U.S. high yield bonds		%	%
Non-U.S. fixed income		%	%
Cash and cash alternatives		%	%
Alternative strategies – equity diversifier		%	%
Alternative strategies – fixed income diversifier		%	%
Alternative strategies – equity and fixed income diversifier		%	%
Broad commodities		%	%

**Section 3: Resources**

**Education Savings Accounts**

Attached are the most recent education savings account statements.

	Account 1	Account 2	Account 3
Type of account (529, UGMA/UTMA, Coverdell)			
Owner (client, spouse, joint)			
Name or description			
Beneficiary			
Total current value	\$	\$	\$
Annual additions	\$	\$	\$
When additions end			
U.S. large-cap equity		%	%
U.S. mid-cap equity		%	%
U.S. small-cap equity		%	%
REITs		%	%
U.S. equity-other		%	%
Developing markets		%	%
Emerging markets		%	%
U.S. fixed income		%	%
U.S. high yield bonds		%	%
Non-U.S. fixed income		%	%
Cash and cash alternatives		%	%
Alternative strategies – equity diversifier		%	%
Alternative strategies – fixed income diversifier		%	%
Alternative strategies – equity and fixed income diversifier		%	%
Broad commodities		%	%

**Extra Savings**

Can more be saved to fund goals?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, enter the maximum extra amount for each year in addition to the amounts entered with assets on the prior page.	\$
Willingness to save more?	<input type="checkbox"/> Very willing <input type="checkbox"/> Somewhat willing <input type="checkbox"/> Slightly willing

**Section 3: Resources**

## Stock Options

- Is client or any immediate family member affiliated with any securities firms or other financial institutions (NYSE Rule 407)?
- Attached are the most recent stock option plan statements

Owner	Ticker Symbol	Name of Company (Stock)	Current Market Price of Stock	
			Price:	Date:

Please determine which equity class best represents the market capitalization of the client's company. Assume that an annual growth rate for company stock options will be the projected growth rate for the equity class indicated.

- Large-cap equity
- Mid-cap equity
- Small-cap equity
- Developed markets
- Emerging markets
- Enter client's return \_\_\_\_\_ (May be limited based on UBS capital market assumptions)

- Do all options vest at death?

**% Vesting by Year**

Vesting Schedule Name:	1	2	3	4	5	6	7	8	9	10
<b>Example</b> 5-year vest	20%	20%	20%	20%	20%					

Grant					Options		
Date	Name	Type* ISO or NQO	Price	Expiration Date	Granted	Exercised	Vesting Schedule (see below)
<b>01/01/2004</b>	<b>Example: EPP01</b>	<b>NQO</b>	<b>\$24.50</b>	<b>01/01/2014</b>	<b>10,000</b>	<b>5,000</b>	<b>5-year vest</b>

This analysis can illustrate up to three of six alternative exercise timing scenarios of employee stock options. Please select up to three exercise scenarios to be included in the analysis by checking the boxes below:

- Now—all vested only
- Now and as vested
- Now and at expiration
- Start year (desired year to exercise) and as vested \_\_\_\_\_ year
- Start year (desired year to exercise) and at expiration \_\_\_\_\_ year
- At expiration

\*ISO: Incentive Stock Options; NQO: Nonqualified Stock Options

**Section 3: Resources**

**Other Assets**

**Personal Assets—Enter Current Value**

Asset	Current Value		
	Client	Spouse	Joint
Primary residence	\$	\$	\$
Secondary residence	\$	\$	\$
Collectibles	\$	\$	\$
Personal property	\$	\$	\$
Vehicles	\$	\$	\$
Other	\$	\$	\$
Business	\$	\$	\$
Real estate	\$	\$	\$

Note: If the asset will be sold in the future, enter the sale under “Future Assets—Cash or Property” below.

**Deferred Compensation**

Attached are the most recent deferred compensation plan statements

**Deferred Compensation Plan Values and Contributions (receiving distributions now)**

Owner	Description	Current Value	# of Years	Annual Payment
(Client, spouse)				
		\$		\$
		\$		\$
		\$		\$
		\$		\$

**Deferred Compensation Plan Values and Contributions (receiving distributions in the future)**

Owner	Description	Current Value	Annual Contribution	When will Contribution End?	Growth Rate of Plan		When Will Distribution Begin?	Distribution Period
					Accumulation	Distribution		
(Client, spouse)			% or \$					# of years
		\$			%	%		
		\$			%	%		
		\$			%	%		

**Future Assets—Cash or Property (e.g., inheritance, sale of property)**

Description	Year Received	Amount (After Tax)
		\$
		\$
		\$

**Section 3: Resources**

**Insurance Policies**

Attached are the most recent life insurance policy statements

**Current life insurance policies may be included when illustrating a client's projected ability to fund goals. An analysis of life insurance will not be included in the report.**

Type of Insurance (e.g., Group, Term, Whole Life)	Policy Owner (Client, Spouse, Other)	Name of Insured	Description	Cash Value	Beneficiary	Death Benefit	Premium Amount	When Will This Policy Terminate?
				\$			\$	
				\$			\$	
				\$			\$	
				\$			\$	

Notes:

**Liabilities**

Description	Owner	Outstanding Balance	Interest Rate	Term	Payment
First mortgage		\$		%	\$
Second mortgage		\$		%	\$
Equity line		\$		%	\$
Vehicle loans		\$		%	\$
Business loans		\$		%	\$
Credit cards		\$		%	\$
Other personal debt		\$		%	\$

Notes:



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