STIFEL

Services

Alternative Investments

Annuities
Variable, Immediate, Fixed Indexed, and Fixed

Asset Allocation

Cash Products and Banking Services
Cash Management Accounts | Check Writing
Debit and Credit Cards | Electronic Money Transfer
Bill Payment Services

College and Higher Education Planning
529 Plans | Education Savings Accounts

Common Stocks

Consulting Services

Corporate Executive Services
Concentrated Stock Management
Control and Restricted Stock Transactions
Rule 10b5-1 Plans
Equity Compensation Plan Administration and Execution

Estate Planning

Exchange Traded Funds and Notes

Financial Planning

Fixed Income Investments | Certificates of Deposit
Collateralized Mortgage Obligations (CMOs)
Corporate Bonds | Municipal Bonds
Government and Agency Securities

Insurance | Business Owner Needs
Disability Insurance (Individual and Group)
Life Insurance (Individual and Business Policies)
Long-Term Care Insurance

Investment Advisory Programs

Investment Banking

IRAs | Traditional, Roth, and Rollovers

Lending Services

Mutual Funds

Options

Philanthropic Services
Donor-Advised Funds | Legacy Funds

Preferred Stocks

Public Finance

Research

Retirement Planning

Retirement Plans | 401(k) Plans | 403(b) Plans
Profit Sharing Plans | Money Purchase Plans
SEP IRAs | SIMPLE IRAs | Defined Benefit Plans

Stifel Wealth Tracker
Client Account Access Online and Via App
Financial Aggregation, Organization, and Tracking

Structured Investments

Syndicate Offerings

Tax Planning

Trust Services
Trust Management and Administration
Successor Trustee Appointments
Delaware Trust Services

Unit Investment Trusts

Doug Hockett
Senior Vice President/Investments

Initial Meeting Checklist

Please bring the following item to your first meeting

If you are currently working:

- ☐ Most recent tax return
- ☐ Current investment statements
- ☐ Retirement plan statements from prior employers
- ☐ Current employer retirement plan statement
- ☐ Pension plans and income projections
- ☐ In-force insurance policies (including long-term care) and annuity contracts (most recent statements)
- ☐ Trust documents/Power of Attorney
- ☐ Debt information: balances and interest rates
- ☐ Social Security estimated benefits report
- ☐ Percentage or amount you are contributing to your employer plan $/% ____________
- ☐ Percentage your employer is matching $/% ____________
- ☐ Annual income $ ____________
- ☐ Monthly net/take-home income $ ____________
- ☐ Monthly mortgage/rent $ ____________
- ☐ Monthly expenses less mortgage/rent $ ____________
  (please be sure to include all taxes, vacations, and insurance)
- ☐ Annual/irregular expenses $ ____________
  (Please be sure to include all taxes, vacations, and insurance)
- ☐ Estimated target income for retirement $ ____________
  (In today's dollars)
- ☐ CPA/Tax preparer: ____________

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- ☐ Most recent tax return
- ☐ Current investment statements
- ☐ Retirement plan statements from previous employers
- ☐ In-force insurance policies (including long-term care) and annuity contracts (most recent statements)
- ☐ Trust documents/Power of Attorney
- ☐ Debt information: balances and interest rates
- ☐ Social Security benefit amount $ ____________
- ☐ Total monthly income $ ____________
- ☐ Monthly mortgage/rent $ ____________
- ☐ Monthly budget $ ____________
  (please be sure to include all taxes, vacations, and insurance)
- ☐ Annual/irregular expenses $ ____________
  (please be sure to include all taxes, vacations, and insurance)
- ☐ CPA/Tax preparer ____________

(307) 672-3434 | (800) 444-0850 | doug.hockett@stifel.com
51 Coffeen Avenue, Suite 102 | Sheridan, Wyoming 82801

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