



Financial Planning Checklist

In order to provide you with careful, measured, and personalized advice, we will need to make a thorough examination of your current financial situation and have discussions concerning your most important needs, goals, and wishes.

One of the most important steps in this process is to gather all documentation pertaining to your financial affairs. This checklist is provided to assist you in gathering information necessary to make your financial planning as accurate and coordinated as possible.

Please take the time to assemble as much of this information as applies to your personal situation.

General Information

- Copy of driver's license (client and joint client)
- Credit reports
- Other _____

Financial Statements

- Bank statements – checking, savings, CDs
- Brokerage account statements
- Mutual fund statements
- Stocks and other investments outside brokerages
- Other investment documents
- Loan documents
- Partnership agreements
- Social Security benefits statements
- Other _____

Estate Planning Documents

- Will(s) Date of wills _____
- Beneficiaries IRA, 401(k), Insurance, etc.
- Powers of attorney
- Medical directives
- Trust documents, family limited partnerships
- Guardianship documents
- Charitable planning documents
- Other _____

Retirement Planning & Employment Benefits

- Recent 401(k), 403(b), IRA, etc. statements
- Retirement account Summary Plan Descriptions and investment options
- Employee benefits summaries
- Deferred compensation and profit sharing
- Stock options and restricted stock
- Pension statements
- Flexible spending accounts
- Other _____

Tax Planning Documents

- Tax returns for last three years
- Recent pay stub and W-2
- Estimated taxes
- Documentation of other income
- Other _____

Asset Protection & Insurance Documents

- Life insurance policies and statements
- Annuity policies and statements
- Medical, disability and long term care policies
- Property & casualty - homeowners, auto, etc.
- Personal and professional liability policies
- Other _____