Documents Checklist

In order to conduct a through review and analysis of your financial position, we must review source documents. Please provide ***copies*** of the following documents ***which are denoted by check marks for both the client and co-client,*** when applicable**.** Please have these documents available by the time you have completed the Data Collection Form

Income
- ❑ Recent copy of Paystub

Taxes
- ❑ Most recent Tax Return (Federal and State)

Investments (Non-Retirement)
- ❑ Brokerage/Bank Statements for Non-Retirement Assets

Investments (Retirement)
- ❑ Copy of IRA statements (Traditional and Roth)
- ❑ Copy of Qualified Retirement Statements (401(k), 403(b), 457, Pension Plans)
- ❑ Copy of Annuity Statements

Investments (Education)
- ❑ Brokerage/Bank statements for Education Investments
- ❑ Education IRA Statements
- ❑ State Sponsored Tuition Plan Statements
- ❑ Custodian Account Statements

Stock Options
- ❑ Option Agreements
- ❑ Company-provided Statement of Options Held, Vesting Schedule

Employee Benefits
- ❑ Company Benefits Book which shows Benefit Options
- ❑ Benefit Statement Showing Options Selected
- ❑ Qualified Plan (401(k), 403(b), 457) options

Insurance
- ❑ Life Insurance Policies (if whole life, universal life or variable universal life, include last 2 years annual statements with cash values)
- ❑ Disability Insurance Policies (may be included in company medical benefits booklet)
- ❑ Homeowner's Policies (schedule page)
- ❑ Auto Policies (schedule page)
- ❑ Umbrella Policies (schedule page)
- ❑ Long Term Care Policy

Businesses and Non-Liquid Investments

- ❑ Business Buy/Sell Agreements and Funding Vehicles (i.e. Life and Disability Products)
- ❑ Most recent Tax Return for each Investment (K-1s for Limited Partnerships)

Use Assets

- ❑ Copy of Mortgage Note or Mortgage Statement

Social Security

- ❑ Most recent Social Security Benefit Statement

Liabilities

- ❑ Copy of Home Equity Loan Note (if any)
- ❑ Copy of Credit Card Statements if holding a balance
- ❑ Loan Statements from Insurance Policies
- ❑ Loan Statements from Retirement Plans
- ❑ Additional Loan Statements

Estate Planning

- ❑ Copies of Any Wills Executed
- ❑ Copies of Any Trusts Executed
- ❑ Copies of Titles for Vehicles Funding Executed Trusts
- ❑ Copies of Any Medical Directives Executed
- ❑ Copies of Any Durable Power of Attorney Executed