



# Financial DOCUMENT CHECKLIST



THIS CHECKLIST IS A CRUCIAL TOOL IN THE FINANCIAL PLANNING PROCESS. IT ACTS AS A ROADMAP TO ORGANIZE ALL NECESSARY DOCUMENTS AND INFORMATION. THE MORE DETAILED INFORMATION YOU CAN PROVIDE, THE MORE FINE-TUNED OUR ADVICE CAN BE. THIS INFORMATION WILL ALLOW US TO CRAFT A PERSONALIZED, STRATEGIC AND ROBUST FINANCIAL PLAN TAILORED TO MEET YOUR SPECIFIC GOALS.

## INCOME

- Pay statements for last two pay periods
- Federal and state tax returns for the past two years, including schedules
- Most recent Social Security statement(s)
- Expenses/cash flow\***
- Other current income (part-time work, rental income, etc.) Current or future pensions

## CASH ACCOUNTS

- Certificates of deposit (CDs)
- Checking, savings and money market balances
- Money market mutual funds

## INSURANCE

- Statement for life insurance contracts
- Disability income insurance contracts
- Long-term care insurance contract
- Employee benefits summary

## INSURANCE

- 401(k), 403(b), 401(a), 457 and/or other plans\*
- Traditional IRAs
- Roth IRAs
- SEP/SIMPLE IRAs/Solo 401(k)
- Stock awards (statement & benefits book)

## NONQUALIFIED ACCOUNTS

- Brokerage statements
- Stock options
- Mutual funds
- Annuities
- Deferred compensation plans

## EDUCATION FUNDING ACCOUNT

- 529 plans
- Coverdell ESAs
- UGMA/UTMAs



## REAL ESTATE

- Mortgage statement or loan information
- Primary residence value
- Real estate values

## BUSINESS OWNERSHIP

- Business tax returns, including schedules
- Business valuation/appraisals
- Buy/sell agreements

## LIABILITIES

- Mortgage/home equity loans
- Student loans
- Auto loans
- Credit card debt/line of credit

