



Document and Statement Checklist

The following is a list of documents we routinely review for all of our clients to determine their financial situation. Not all of the documents will apply to all situations, but please bring all applicable documents to our first meeting (and if in doubt about a statement/document, bring it).

Investments

- Current brokerage statements
- Current mutual fund statements
- Current bank account statements (including CDs and money markets)
- Current Direct Participation Program (DPP) statements, including REITs, and limited partnerships
- Mortgage statements and terms of mortgage
- Photo ID (current driver license, military ID, or passport)

Retirement

- Any/all company retirement plan statements, including 401(k), 403(b), 457, profit sharing, Keogh and pension plans
- IRA statements (Traditional, Rollover, Roth and SEP)
- Stock option agreements
- Restricted stock agreements
- Deferred compensation plan information
- Current employee benefits handbook

Tax Information

- Past 2 years tax returns (including all schedules) and W-2's
- Current year tax estimates
- Gift tax returns filed since 1976
- 2 current pay stubs for each worker
- Financial records/tax returns from business interest(s)

Estate

- Current wills for both spouses
- Current will for other family members
- Trust documents and information
- Power of Attorney
- Living Wills
- Information on potential inheritance
- Information on family member with special needs

Insurance

- Life insurance policies
- Long-term care policies
- Disability insurance policies