# Confidential Financial Documents Checklist

## Documents needed for a comprehensive financial planning engagement

Please review the list of documents the list of documents carefully and provide us with copies of all the documents that are applicable to your situation.

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|---|---|---|---|
| **Bank and Investment Statements:** | | **Tax Documents:** | |
| | Checking Account Statements | | Past 2 years of personal federal/state tax returns(1040) |
| | Savings/CDs/MoneyMarket Statements | | Past 2 years of trust tax returns (1041) |
| | Brokerage/Advisory Account Statements | | Gift Tax Returns Filed (Form 709) |
| | Annuity Statements | | Business Interest Distributions (K-1) |
| | Credit Card Statements | | |
| | IRA/Roth IRA Statements | **Insurance Statements:** | |
| | | | Life Insurance policy declaration/in-forceillustration |
| **Property and Liabilities:** | | | Disability Policy |
| | Schedule of Real Estate (Title, location,acquisitiondate and cost, income, market value) | | Long Term Care |
| | Values of personal property | | Property/Casualty |
| | Loan Statements (PrimaryResidence, homeEquity/Other Mortgage, Rental Real Estate,Investment/Margin, automobile) | | Limited liability Insurance (Umbrella) |
| | Credit Card Statements | | |
| | Student Loans | **Estate Documents:** | |
| | Family Loans | | Last Will and Testament |
| | | | Trust Documents (Revocable, Irrevocable,QTIPs, ILITs,FLPs, etc) |
| **Income & Employment Benefits:** | | | Settlement Agreements |
| | Payroll Statements (W2) | | Pre and Post-Nuptial Agreements |
| | Self Employment Statements (1099) | | Divorce Settlements (alimony and childsupport) |
| | Social Security Statements (SSA.GOV) | | Durable/Medical Powers of Attorney |
| | Employee Benefit Statement<br>- Group Term Life Insurance<br>- Group Disability Coverage | | Heath Care Directives, HIPAA release |
| | Retirement Plan Statements (401(k),403(b), 457) | | Guardianship Agreements |
| | Deferred Compensation Arrangements | | |
| | Pension Plan Statements | **Business Documents:** | |
| | Section 125 Plan (Cafeteria, MSA) | | Past 2 years of tax returns and company financials:<br>- Business tax returns (1120S, 1120C)<br>- Year-end Balance Sheets<br>- Year-end Income Statements |
| | Stock Option Pan statements | | Articles of Incorporation/Articles of Organization |
| | | | Operating agreement/ Bylaws |
| **Expenditures:** | | | Buy-Sell Agreement(s) |
| | List of current living expenses(Discretionary & Non-Discretionary) | | Insurance (Key Person, liabilty, operational) |
| | Estimate of retirement living expenses | | Deferred Compensation Plans |
| | | | Stock Options/Stock Bonus Plan |
| | | | Appraisals |
| | | | Organizational Chart |
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