



Documents Checklist

Please provide the following items in order to proceed with the planning process:

1. Your driver's license or passport (client and co-client.) We will provide you with a CIP Notice.
2. A recent pay stub for each job (client and co-client.)
3. A copy of your most recent tax return including schedules and W-2s.
4. Bank and credit union statements.
5. Recent investment account statements – IRA, Roth IRA, annuities, brokerage, mutual fund, education.
6. Company retirement plan statements – 401(k)s, 403(b)s, TSAs, profit sharing plans, pension plans, other deferred compensation plans. **Please include a statement of fund offerings for each account.**
7. An explanation of (or formula for) the employer match to your company retirement plans
8. A list of any non-deductible IRA contributions made in the past (or Form 8606 from income tax return.)
9. Copies of Declarations Page(s) (the page with coverage and premium details) for all insurance policies (life, disability, long-term care, home/auto and umbrella)
10. A copy of all estate planning documents (Will, Power of Attorney, Health Care Directive, trust)
11. Company benefits document or booklet, including pension and insurance information.
12. Social Security Benefits Estimate statements (from www.ssa.gov).
13. A Stock Option Summary Statement if you own company stock options.
14. Cash Flow Statement
15. Any other documents you think may be helpful in assessing your situation.

Please turn to other side →

Additional Discovery Items:

Retirement account beneficiaries (currently named or to be named) – DOB and SSNs.

Name	Social Security number	Date of Birth
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

What is your current health status? Please list any chronic medical conditions or other helpful information:

Client: _____
 CoClient: _____
 Child 1: _____
 Child 2: _____
 Child 3: _____
 Child 4: _____

Credit card information:

Credit Card Issuer	Interest Rate	Current Balance	Monthly Payment

Other loan information:

Loan Description (mortgage, home equity line, auto, student, etc)	Current Balance	Inception	Initial Amount	Interest Rate	Loan Term	Monthly Payment