Client Documents Checklist

Clients are encouraged to assemble all the information that applies to them in order to have a more productive meeting. All information will be held in strict confidence.

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Personal Planning Documents

- ☐ Expense Worksheet
- ☐ Two most recent paycheck stubs
  (used to verify tax and benefit contribution information)
- ☐ Bank statements or similar report
  (used to verify expenses and cashflow analysis)
- ☐ Most recent debit/credit card statements
  (used to verify liabilities)
- ☐ Most recent mortgage/loan statement
  (used to verify payoff and interest information)
- ☐ Employee benefit booklet/annual statement
  - ☐ Selected benefit options
- ☐ Military benefits
- ☐ Retirement plan booklet
- ☐ Retirement statements such as Traditional and/or Roth 401(k), 403(b), pension, profit sharing, TRS, FERS, government pension
  - ☐ Investments currently selected
  - ☐ Plan investment choices (regardless if selected)
- ☐ Individual retirement account statements
  (Traditional and/or Roth IRA)
- ☐ Deferred compensation statements and plan information
- ☐ Annuity account statements
- ☐ Social Security and pension information
- ☐ Investment/brokerage statements
- ☐ Stock option, RSU, or LTIP agreements
- ☐ Copy of Wills and Trust arrangements
- ☐ Personal income tax return (prior year)
- ☐ Personal insurance policies
  (declarations pages or policy illustrations)
  - ☐ Life insurance
  - ☐ Health insurance
  - ☐ Disability income
  - ☐ Personal liability (declarations page)
  - ☐ Auto (declarations page)
  - ☐ Homeowners (declarations page)
  - ☐ Umbrella
  - ☐ Other (flood, personal articles, etc.)

Business Planning Documents

- ☐ Business financial statements
  (profit and loss statement and balance sheet)
- ☐ Business tax returns (2 years)
- ☐ Business agreements
- ☐ Buy/sell agreements
- ☐ Deferred compensation
- ☐ Split dollar agreements
- ☐ Employee contract
- ☐ Employee census
  - ☐ Employee names, dates of hire, dates of birth, salary, and title
- ☐ Retirement plan summary
  - ☐ Investment statements
  - ☐ Participant list
- ☐ Business valuation

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