WEALTH ADVISORS
AN INDEPENDENT WEALTH MANAGEMENT FIRM

DOCUMENT CHECKLIST

The following checklist summarizes the documents we will need to prepare your financial plan. Please review this list and gather only those items that apply to you. Many may not. Additionally, if some of this information is difficult to pull together, please call and we can discuss whether it is critical to our planning.

DOCUMENT REQUEST AND CHECKLIST

ASSETS

- ☐ Personal brokerage statements
- ☐ Retirement account statements
- ☐ Bank statements
- ☐ Annuity and Life Insurance Cash Surrender Value statements
- ☐ Personal financial statement
- ☐ Notes receivable

LIABILITIES

- ☐ Mortgages and amortization schedules
- ☐ Auto loans and other notes payable

CASH FLOW

- ☐ Most recent pay stubs
- ☐ Quicken files or export/print from any other software such as Mint.com reflecting last 12 months of expenses
- ☐ Social security estimates

TAX

- ☐ Personal tax returns for past 2 years
- ☐ All gift tax returns filed

INSURANCE

- ☐ Group Benefits: Life, Short Term Disability, Long Term Disability, etc.
- ☐ Life insurance policies
- ☐ Disability insurance policies
- ☐ Health insurance policies
- ☐ Homeowners insurance policies
- ☐ Auto insurance policies
- ☐ Personal umbrella insurance policies
- ☐ Long-term care insurance policies

ESTATE / LEGAL

- ☐ Wills and ancillary documents such as power of attorney
- ☐ Trust documents
- ☐ Partnership agreements
- ☐ Partition agreements
- ☐ Prenuptial/Postnuptial agreements
- ☐ Child support agreements
- ☐ Divorce decrees
- ☐ IRA/Retirement plan beneficiary designations
- ☐ Beneficiary designations for life insurance policies

BUSINESS RELATED

- ☐ Business insurance policies (e.g., overhead, malpractice, key man, buy-sell, etc.)
- ☐ Retirement Plan agreements
- ☐ Deferred compensation plan agreements
- ☐ Business income and expenses
- ☐ Business balance sheet
- ☐ Group census