Investment Planning Checklist

Please use this checklist as a guide to collect and organize your financial information prior to our meeting

Personal

- ☐ Estimate of annual household expenses
- ☐ Most recent federal and state income taxes
- ☐ Personal property appraisals, if relevant
- ☐ Business valuation appraisals, if relevant

Employer Information

- ☐ Current paycheck stub
- ☐ Summary of company benefit plans and annual benefits summary-if available
- ☐ Deferred Compensation and/or bonus deferral plans
- ☐ Stock options and/or restricted share statements
- ☐ Other company benefit plans
- ☐ Group life and disability summary

Savings and Investment

- ☐ Bank statements: checking, savings, CDs
- ☐ Investment statements: stocks, brokerage, mutual funds
- ☐ Annuity statements
- ☐ Summary of real estate investments
- ☐ Education savings accounts: 529s, UGMA/UTMA, Coverdell savings, Trusts

Retirement Funding

- ☐ Retirement savings accounts: traditional IRA, ROTH IRA
- ☐ Retirement plan statements: 401(k), 403(b), TSA, Keogh
- ☐ Employer-sponsored pension plan summary, if applicable
- ☐ Social Security benefits statement, if available

Loans and Liabilities

- ☐ Mortgage, home equity loans, student loans, any other loan statements

Insurance Information

- ☐ Life insurance statements
- ☐ Disability Insurance statements
- ☐ Long term care insurance statements

Estate Planning Documents

- ☐ Wills, power of attorney documents, advanced health care directives
- ☐ Revocable and irrevocable trust documents
- ☐ Gift tax returns, if applicable

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