Initial Document Checklist

For the data gathering meeting, please assemble the following documents. All original documents will be returned at the financial plan delivery meeting.

- ❑ **Investment Accounts: Most Recent Statements**
  - ❑ Individual/Brokerage Accounts
  - ❑ Employer-Sponsored Retirement Plans *(most recent statement with investment options)*
    - ❑ Stock Options/RSUs Statements
    - ❑ Deferred Compensation: 401(k) or 403(b) Statements
    - ❑ Profit Sharing Plan Statements
    - ❑ Pension Benefit Statement
  - ❑ Individual Retirement Accounts
  - ❑ Thrift Plan *(including investment options available)*
  - ❑ Annuities *(qualified and non-qualified)*
  - ❑ Educational Investments: 529 Plan or Coverdell ESA Plan
  - ❑ Health Savings Accounts
  - ❑ Checking/Savings Accounts

- ❑ **Life, Disability, & Long-Term Care Insurance**
  - ❑ Copy of Policy(ies)
  - ❑ Latest Premium Notice(s)
  - ❑ Employee Benefits: Disability, Life Insurance, and Medical

- ❑ **Consecutive Pay Stubs (2 – 4 depending on pay frequency)**

- ❑ **Social Security Statements (can be obtained at www.ssa.gov)**

- ❑ **Mortgage/Loan: Most Recent Statement**

- ❑ **Other Expenses: Living, Educational, Elder Care, Note Payable, etc.**
  - ❑ *Rough estimate of your current monthly living expenses*

- ❑ **Tax Returns: Copies of the Last Two Years of Returns (both Federal and State)**

If Applicable:

- ❑ Wills, Trust & Partnerships Documents, Planned Gifts, and Powers of Attorney
- ❑ Business Interests, Partnerships, and Buy/Sell Agreements