



Document Collection Checklist

Client Name _____

Date _____

Financial Planning Priorities

In order of importance, what are your three most critical financial issues today?

1. _____

2. _____

3. _____

Document Checklist

- ☐ Income tax returns (most recent)
- ☐ Copies of all brokerage, mutual fund, and retirement plan account statements
- ☐ Copies of bank account, CD, money market, and savings account statements
- ☐ Copies of annuity statements including surrender charge detail as well as living and death benefit rider values
- ☐ Cost basis information or date of purchase for all taxable investments
- ☐ Company benefit plan details (retirement plan investment choices, employer matching contribution detail, pension payout information, and life insurance, health insurance, and disability insurance detail)
- ☐ Current social security statements
- ☐ All applicable insurance policies (life, disability, health & long-term care, property & casualty)
- ☐ Will and trust documents
- ☐ Details on any real estate investment holdings (fair market value, mortgage terms, rental information)
- ☐ If applicable:
 - » Buy/sell agreements
 - » Shareholder agreements
 - » Employee stock options
 - » Deferred compensation agreements



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