

Financial Documents Checklist

Building a financial plan will likely require some financial information and related documents. Below is a checklist of some of the information that we may need.

Personal

- Bank and Investment account statements (checking and savings accounts, CDs, brokerage accounts, mutual funds)
- Retirement account statements (401k/403b, IRA, profit sharing, pension plans)
- Compensation or Incentive statements (stock options, stock-purchase, deferred compensation, shares in closely-held business)
- List of real estate owned including estimated market value, purchase price and date, mortgage balance and terms
- Federal and State income tax returns for the two most recent years
- Estimate of current income and expenses for your family (fixed vs. discretionary)
- Estate planning documents and any filed gift tax returns (wills, trusts, limited partnership agreements, etc.)
- Life, Disability, medical and long-term care insurance policies
- Property/casualty and liability insurance policies

Business

- Balance sheets and income statements for the current and last fiscal year
- Federal and State income tax returns for the past two fiscal years
- Qualified Retirement Plan documentation and records (SEP, profit sharing, pension, 401k)
- Non-Qualified Deferred Compensation Plans currently active
- Description of group insurance benefits (life, disability, medical, long-term care)
- Business agreements (buy/sell, stock redemption, etc.)
- Individual life and disability insurance policies owned by or purchased by the business

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