BERATUNG ADVISORS
Guidance With a Plan

Financial Planning Information Gathering Worksheet

In order to create a comprehensive personalized financial plan it is necessary to gain as much insight into your financial life as possible. Please use this checklist as a guide of the important documents we will need from you. If there are additional documents that are not listed here that will help us understand your financial life better please include those as well.

Important Documents

Investment and Savings Statements

- ☐ Bank Account Statements
- ☐ Investment Account Statements
  This Includes All Stocks, Bonds, Mutual Funds, ETFs, UITs
- ☐ Retirement Account Statements
  This Includes 401(ks), 403(b), SIMPLE Plans, SEP Plans, and IRAs
- ☐ Annuities

Income and Cash Flow Information

- ☐ Most Recent 2 Years of Federal and State Income Tax Re-turns
- ☐ Cash Flow Analysis/Budget of Current Expenses
- ☐ Pay Stubs
- ☐ Estimated Pension Payments
- ☐ Most Recent Social Security Statement or Current Payment
- ☐ Current Pension or Annuity Payments

Insurance Information

- ☐ Life Insurance Policies
- ☐ Disability Policy
- ☐ Long Term Care Insurance
- ☐ Property and Casualty Insurance Declaration Pages
  This Includes Auto and Home
- ☐ Health Insurance Policy
- ☐ Employee Benefits

Children's Account

- ☐ 529 Plan Statements
- ☐ UTMA/UGMA Statements
- ☐ Coverdell Savings Statements

Debt Information

- ☐ Mortgage Statement
  This Should Include Term, Rate, and Payment's Principal, Interest and Escrow
- ☐ Credit Card Statements
- ☐ Auto Loan Statements
- ☐ Any Other Household Debt Statements

Company Benefits

- ☐ Non Qualified Stock Plan
- ☐ Restricted Stock
- ☐ Deferred Compensation
- ☐ Employee Stock Purchase Plan

Estate Planning Information

- ☐ Last Will and Testament
- ☐ Living Will
- ☐ Power of Attorney

Other Legal Documents

- ☐ Property or Investment Agreements
- ☐ Pre-Nuptial Agreements
- ☐ Divorce Settlements

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In order to create a comprehensive personalized financial plan it is necessary to gain as much insight into your financial life as possible. The following personal information will used for your plan and to communicate with your. Additional information will be needed in order to open an account.

Personal Documents

Name ______	Name ______
Date of Birth ______	Date of Birth ______
Social Security Number ______	Social Security Number ______
Occupation ______	Occupation ______
Employer ______	Employer ______
Salary ______	Salary ______
E-mail ______	E-mail ______
Phone ______	Phone ______
Retirement Age Goal ______	Retirement Age Goal ______

Address ______

Dependents Name and Ages ______

In order to create a comprehensive personalized financial plan it is necessary to gain as much insight into your financial life as possible. Please fill out the following information and be prepared to have more detailed discussion around your goals.

Planning Questions

Retirement Goals

______

______

______

Financial Goals

______

______

______

Biggest Financial Concern(s)

______

______

______

Select a Risk Tolerance That Best Describes You: **Conservative - 1 2 3 4 5 6 7 8 9 10 - Aggressive**