

FINANCIAL DISCOVERY MEETING CHECKLIST PLANNING

Use this checklist to ensure you have all the documentation you will need to bring to your first financial planning meeting with your financial advisor. In each category, you should bring your most recent statement(s):

- Paycheck stub(s) (yours and that of your spouse or partner)
- Federal, state, and local income tax returns for the most recent 2 years
- Bank statements
- Brokerage statements
- Mutual fund statements
- Stock option statements
- Education funding statements (529 plans, UGMAs, Coverdell Education Savings Accounts, trusts, etc.)
- Retirement plan statements (IRA, 401(k), 403(b)/TSA, etc.)
- Deferred compensation statements (if applicable)
- Social Security benefit statements (if available)
- Estimate of household expenses
- Mortgage and/or loan statements
- Company benefit information (for you and your spouse or partner)
- Group life and disability summary
- Retirement benefits summary (retirement plans, savings plans, pension calculations)
- Deferred compensation agreement documents
- Stock option documents
- Insurance policies (disability, life, and long-term care—including statements and/or policies)
- Will and trust documents
- Business valuation and/or personal property appraisal reports (if relevant)
- Budget (if you have one)

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