BAIRD

Financial Document Checklist

Following is a list of important financial documents to bring to our meeting. These documents will provide us a good understanding of your current financial situation.

- Personal balance sheet indicating value, type and ownership of assets and liabilities. Include both financial (investments, life insurance, etc.) and non-financial (home, auto, personal assets) items.
- Recent account statements with information on stocks, bonds, mutual funds, annuities, money markets, separate accounts, unit investment trusts, etc.
- Recent statements from life insurance policies indicating death benefit, cash surrender value, owner and beneficiary
- Current and prior year Federal and state tax returns
- Most recent estate planning documents including wills, trusts, etc.

In addition, the following items will provide further background and details that will aid our discussion.

- Investment policy statements and performance reports
- Recent education savings account statements such as 529 Plans and Coverdell Savings Accounts
- Recent bank account statements including checking accounts, savings accounts, CDs, etc.
- Benefit plan statements from an employer (pension, life and disability insurance, etc.)
- Employer stock option information
- Recent statements from a 401(k) or other deferred compensation retirement plan
- Recent projections of employer-provided pension benefit
- Recent estimate of Social Security benefits
- Beneficiary designations for any of the above accounts or any other assets you own, including name, birth date and relationship
- Residential real estate, mortgage and property tax information
- Powers of attorney and health care directives
- Any information regarding a closely held business and buy-sell agreements
- Copies of trust documents where you may be a fiduciary (trustee) or a beneficiary
- History of gifting to children/descendents – UGMAs, Coverdell Education Savings Account, 529 College Savings Plans, Family Limited Partnerships, etc. – and any future gifting plans
- Any information on charitable gifting commitments during life, and any plans you have for future gifting, including gifts to be made at death