FINANCIAL PLANNING DOCUMENT CHECKLIST

PERSONAL DOCUMENTS

- ☐ Drivers Licenses
- ☐ Social Security Card
- ☐ Medicare Card
- ☐ Veteran's Administration Information

RETIREMENT INCOME SOURCES

- ☐ Pension Statements
- ☐ Social Security Statement (www.SSA.gov)

INVESTMENT STATEMENTS

- ☐ Brokerage
- ☐ Mutual Fund
- ☐ 401K, 403(b), 457
- ☐ Traditional IRA, Roth IRA
- ☐ Annuities
- ☐ 529 Plans
- ☐ Stock Option Grants/Certificates

BANK STATEMENTS

- ☐ Mortgage – Including Rate, term and payoff balance
- ☐ Loans
- ☐ Checking, Saving, Money Market
- ☐ Credit Card

INSURANCE POLICIES (BENEFITS AND PREMIUMS)

- ☐ Life
- ☐ LTD
- ☐ Disability
- ☐ Medical
- ☐ Car
- ☐ Property

LEGAL DOCUMENTS

- ☐ Wills
- ☐ Power of Attorney
- ☐ Health Care Directive (Living Will)
- ☐ Trusts
- ☐ Codicils
- ☐ Deeds
- ☐ Prenuptial Agreements

EMPLOYMENT INFORMATION	
☐	Recent Paystub
☐	Employment Benefits
☐	Information of Former and Current Employers
FINANCIAL PLANNING AND SUITABILITY QUESTIONNAIRE	
☐	Financial Planning Workbook
☐	Investor Profile Questionnaire

Please provide applicable documents prior to the review of the draft of your financial plan.

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