

Summary of Items Needed

The following documents will be needed for the purpose of study and analysis to prepare a personal financial plan for you. It is understood that this material will be treated confidentially and returned when the planning process is completed, or earlier if requested.

For Personal Planning:

- Current Social Security Statement
- Most recent brokerage, investment, annuity, bank or savings account statements
- Most recent statement of company-sponsored retirement plans
- All insurance policies including group life certificates/ Life Insurance / Long Term Care (LTC)/Disability Income (DI)
- Most recent statement and/or current values of all personal insurance policies including Life / DI / LTC
- Approximate value on all real estate (including personal residence) and personal property
- Schedule of any gifts being made or received
- Listing of total liabilities, terms and payment schedules
- Most recent payroll stubs
- Last 2 year's tax return
- Form 709 Gift Tax Return
- Personal employment benefit statement and company benefit booklet(s)
- Business arrangements including structure, buy-sell, deferred compensation or stock options
- Copies of Wills, Durable Powers of Attorney, Healthcare Directives
- Copies of any trusts that you may have (Credit Shelter, Life Insurance, etc.)
- Any other item that would help in understanding your financial situation
- Pre / Post Nuptial Agreements
- Mortgage Terms
- Living Expenses

Additional Information Needed For Business Owner Planning:

- Company benefit booklet(s) including 401(k), health plan, disability and any other benefits
- Business arrangements including structure, buy-sell, deferred compensations or stock options
- Most recent Balance sheet (past 3 years if possible)
- Most recent Income statement (past 3 years if possible)
- Most recent Corporate Tax Return (past 3 years if possible)
- All business life insurance policies
- All business disability income policies
- Company Qualified Plan Documents or Summary Plan Description
- Most Recent 5500 (Qualified & Group Plans)
- Employee Census
- Any business valuation appraisals