FINANCIAL PLANNING
DOCUMENT CHECKLIST

Please take the time to assemble the most recent statements or documents that are applicable to you:

RETIREMENT PLANNING DOCUMENTS

- 401(k), 403(b), 457 Plans, IRAs (Roth, SEP, SIMPLE)
- Deferred Compensation (Non-Qualified Deferred Comp, Insurance Plans, etc.)
- Stock Plans (RSUs, PSUs, SARs, Stock Options ISOs & NSOs)
- Pension and Profit Sharing Statements and/or Projections
- Social Security and other Government Pension Statement and/or Projections

TAX PLANNING DOCUMENTS

- Most recent Federal, State, and Local Income Tax Returns
- W-2 and Last Two Pay Stubs

INVESTMENT DOCUMENTS

- Annuity Policies and Statements
- Brokerage Account Statements
- 529 Education Plan Statements

DEBT PLANNING DOCUMENTS

- Mortgage and/or Home Equity Loan(s) Statements
- Student Loan Statements
- Additional Loan Statements (Car Loans, Business Loans, etc.)

INSURANCE & ASSET PROTECTION DOCUMENTS

- Life Insurance Policy Statements
- Disability Insurance Statements (Personal Policies, Employer Coverage, etc.)
- Home & Auto Insurance Declarations Pages (Including Umbrella Coverages)
- Long Term Care (LTC) Policy Statements

ESTATE PLANNING DOCUMENTS

- Final Will and Testament
- Powers of Attorney (Durable POA, Financial POA, Healthcare POA, etc.)
- Copies of any Living Trusts
- Copies of any Living Wills or Advanced Directives

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