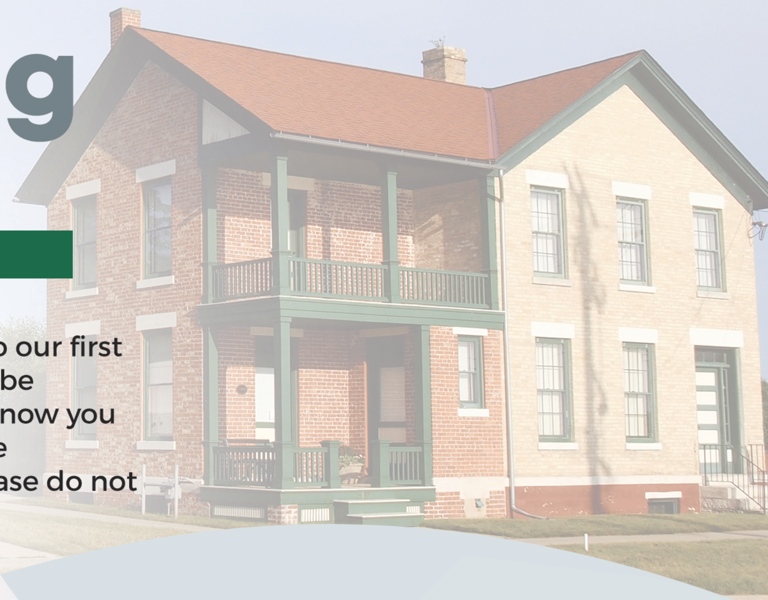
ZOERNER FINANCIAL

EXPERIENCED ADVICE FOR RETIREMENT PLANNING

New Client Initial Meeting Checklist



The following are a list of items to consider bringing to our first appointment. Please decide what information would be relevant to our conversation. We would like to get to know you and find out about your situation, but we will not have time to review all of the documents on this list, so please do not feel obligated to try to bring everything listed below. **The most important items are your investment account statements.**

Personal files:

- [ ] Previous two years' income tax returns
- [ ] Mortgage or other loan documents
- [ ] Wills
- [ ] Powers of attorney
- [ ] Health care directives
- [ ] Trust agreements
- [ ] Monthly Budgets
- [ ] Any Documents pertaining to personal assets or liabilities
- [ ] Social Security Statement form www.secure.ssa.gov

Employer:

- [ ] Employee benefits booklets
- [ ] 401(k) or retirement savings plans
- [ ] Pension plans
- [ ] Deferred Comp statements and plan document

Broker or mutual fund:

- [ ] All latest monthly statements i.e. brokerage and direct plans

Insurance company:

- [ ] Life insurance policies and recent statements
- [ ] Annuity contracts and recent statements
- [ ] Disability insurance policy and information
- [ ] Long-term care policy and information

Business:

- [ ] Buy-sell agreements
- [ ] Deferred compensation agreements
- [ ] Stock / option / bonus plans
- [ ] Profit and loss statement for each business interest for previous two years
- [ ] Business tax returns from previous two years