

Financial Document Checklist

BAIRD

Private Wealth
Management

The best plans are informed by a full understanding of your finances. By filling out the below checklist, you'll provide us with a clear understanding of your estate, your assets, your risks and more.

So that we may deepen our understanding of your current circumstances:

- All financial account statements including checking/savings, brokerage, IRAs, 401(k)/SEP/Retirement plans, employee stock plans/options/restricted stock, deferred compensation balances and features, annuities, etc. *It is helpful if statements include cost basis information to aid us in our tax analysis.*
- Please include any education accounts such as 529 Plans and/or Coverdell Accounts.
- W-2 / paystub
- An estimate of your total monthly household expenses (see household budget sheet attached if needed)
- Previous tax returns including all schedules and forms (2 years of returns is preferable if available)
- Beneficiary designations for any accounts or other assets you own, including name, DOB and relationship
- Values for your residence and other real estate or personal property (cryptocurrency, art, collectibles) *It is helpful if statements include cost basis information to aid us in our tax analysis.*
- Mortgage and/or other statements related to your debts/liabilities (HELOCs, vehicle loans, student loans)

So that we may analyze your current and future potential sources of income:

- Updated Social Security statements. These are available online at [SSA.gov](https://www.ssa.gov)
- Pension statements, including lump-sum and annuity income estimates and survivorship options
- Healthcare reimbursement and supplement agreements if any
- Estimates of potential future inheritances or life insurance benefits

So that we may analyze how you are financially protected from unforeseen risk:

- Life insurance policies (group and personal) and recent statements
- Disability policies (group and personal)
- Long-term care policies (group and personal)
- Umbrella (personal liability) policies

So that we may analyze and assess the level of planning you have already completed:

- Wills
- Durable Financial Powers of Attorney
- Durable Healthcare Powers of Attorney
- Trusts (including those you have established or are beneficiary of)

Other items or considerations that may be uniquely applicable to your situation:

- List of available investment options for your retirement plans through employer
- Prenuptial agreements
- Divorce decrees (QDROs, alimony, child-support)
- Spousal Social Security benefit estimate from your prior spouse, if divorced and eligible
- A list of any assets for which you are unsure of the beneficiary or account titling (helpful for establishing proper alignment between your estate intentions, account titles and beneficiary designations)
- Date of decedent's death for any Inherited Traditional or Roth IRA accounts left to you
- A description of charitable gifting goals/commitments (to be made during life or as bequests at death)

For business owners:

- Statements for associated assets and liabilities held by the business *It is helpful if statements include cost basis information to aid us in our tax analysis.*
- Estimated valuation for your business
- Buy-Sell agreements, etc.
- Insurance policies related to the business
- Any other information pertinent to understanding your business's impact on your goals, needs, etc.