



STEFFENS FINANCIAL

INDEPENDENT FINANCIAL CONSULTANTS

## Financial Plan – Documents to be Collected

Investments and Savings				
Not Applicable	Collected	Name of Document	More Information Needed	Notes
<input type="checkbox"/>	<input type="checkbox"/>	Annuities (Fixed, Index, Variable)	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Brokerage / Taxable Investment Accounts	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Certificates of Deposit	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Checking Accounts	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Credit Union	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Educational Savings Accounts (529 & Coverdell)	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Limited Partnerships (Real Estate, Oil and Gas, Equipment Leasing, Venture Capital, Other)	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Military Accounts	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Money Market Accounts	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Saving Accounts	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Other -	<input type="checkbox"/>	

Retirement Plans				
Not Applicable	Collected	Name of Document	More Information Needed	Notes
<input type="checkbox"/>	<input type="checkbox"/>	401(k), 403(b), 457, SEP, SIMPLE	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Annuities (Fixed, Index, Variable)	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Deferred Compensation	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Employee Stock Option Plan (ESOP)	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	IRA (Traditional, Roth, SEP, SIMPLE)	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Military Benefits	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Money Purchase	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Pension(s)	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Profit Sharing Plan	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Stock Purchase Plan	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Summary Plan Description – for all group retirement plans and benefits	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Thrift Saving Plan	<input type="checkbox"/>	



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<b>Liabilities</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Education Loans</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Installment Loans (Automobile)</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Installment Loans (Automobile)</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Installment Loans (Boat, Motorcycle, Plane, etc..)</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Lines of Credit</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Mortgages</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Personal Loans</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Revolving Loans (Credit Cards)</b>	<input type="checkbox"/>	

<b>Insurance / Risk Management</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Automobile</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Business Disability</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Disability Income (Short Term &amp; Long Term)</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Homeowner's</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Liability</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Life</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Long Term Care</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Medical / Health</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Military Benefits</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Umbrella</b>	<input type="checkbox"/>	



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<b>Estate Planning</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Agreements (Prenuptial / Postnuptial, Business Interests / Partnerships, Buy / Sell Arrangements, etc.)</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Divorce Decree</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Guardianship</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Health Care Directive / Proxy</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Personal Property - List of any personal property that is insured, including current values (motor vehicles, boats, jewelry, collectibles, art, etc.)</b>	<input type="checkbox"/>	<b>These items will most likely be listed on an insurance policy.</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Powers of Attorney</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Trust Documents</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Wills and Codicils</b>	<input type="checkbox"/>	

<b>Tax Information</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Business - Form 1120, 1120S, etc. (complete business tax return)</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Partnerships - Form 1065</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Personal - Form 1040 (2 yrs. complete tax return)</b>	<input type="checkbox"/>	

<b>Income &amp; Expenses</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Expense Worksheet</b>	<input type="checkbox"/>	<b>Use the attached expense worksheet</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Income sources and amounts</b>	<input type="checkbox"/>	<b>Use the attached worksheet</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Social Security Administration benefit statement</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Recent payroll check showing deductions</b>	<input type="checkbox"/>	



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<b>Real Estate Properties</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Real Estate Properties Owned</b>	<input type="checkbox"/>	see attached spreadsheet
<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	

<b>Business Information</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>Balance Sheet - Most Recent</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Business Value - Most Recent Estimates</b>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<b>Income Statements - Year End and Interim (preferably 5 yrs., at least 3 yrs.)</b>	<input type="checkbox"/>	

<b>Possible Inheritance</b>				
<b>Not Applicable</b>	<b>Collected</b>	<b>Name of Document</b>	<b>More Information Needed</b>	<b>Notes</b>
<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	



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Real Estate Property						
Address	Property Type (Primary Residence, Second Home Investment Property)	Year of Purchase	Approximate Current Value	Purchase Price	Cost of Renovation(s)	Total Cost Basis (Purchase + Renovations)
			\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -

Income Sources			
Current Income Source	Whose Income	Amount of Income	Monthly or Annual
		\$ -	
		\$ -	
		\$ -	
		\$ -	
		\$ -	
		\$ -	