

Identifying Your Financial Fingerprint – Document Checklist

This is a complete checklist of all documents that we will eventually need to complete your financial fingerprint analysis. Please try to compile as many documents as possible for our initial meeting. We will need to scan the original documents for our records and return them to you, unless you are able to provide us with complete photocopies.

It will be helpful to have as many documents as possible for our first meeting, but it is not necessary that all documents be provided at that time. Missing documents can be submitted at a later date.

Financial Documents

- Savings and checking statements
- Mutual fund statements
- Brokerage account statements
- Investment documents
- Loan documents (mortgage, autos, all debt)
- List of stocks held outside of brokerages
- Partnership agreements

Business Owners

- Savings and checking account
- Brokerage account statements
- Retirement Plan documents
- Loan documents
- Business agreements
- Employee benefits program

Retirement Planning Documents

- Recent IRA, 401(k), 403(b), 457, TSA
- Employee benefits program
- Deferred compensation and stock option agreements
- Pension and profit sharing statements
- All investment year-to-date statements

Tax Planning Documents

- Federal, State and local tax returns with W-2's – last 3 years
- Recent pay stubs – last 3 months
- Estimated taxes
- List of minor children's assets and tax returns

Asset Protection Documents

- Life insurance policies and recent statements
- Homeowners, auto insurance and umbrella policy declaration page
- Disability, Medical, and long-term care insurance policies
- Annuity policies and statements

Estate Planning Documents

- Wills, living wills, durable powers of attorney and health care powers
- Trust documents