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 preferrable 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
- ☐ 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.