

FINANCIAL DOCUMENTS CHECKLIST

Investments and Retirement Statements

- Stocks – Most recent statements including options
- Bonds
- Mutual Funds statements
- IRA statements
- 401k package information
- 403b package information
- 457 information
- 401a information
- Thrift Savings Plan (TSP) statement
- SIMPLE IRA statements
- SEP IRA statements
- Profit Sharing Plan (PSP) statements
- Social Security statement (available at www.ssa.gov)
- Employee Stock Ownership Plan (ESOP) statements
- Defined benefit retirement plan information
- Deferred Compensation Plan (DCP) information
- Investment property information\
- _____

Risk Management

- Life insurance policies
- Annuity information
- Employer Group life insurance information
- Health Insurance information
- Auto Insurance Declarations page
- Homeowners/Renters insurance declarations page
- Umbrella policy
- Long Term Care Insurance (LTCi) policy
- Disability Insurance: long- and short-term
- Business-related insurance (overhead, key man, etc.)
- _____

Cash Management

- Pay statements – Both wage earners, if appropriate
- Retirement Pay Statements (1099-R) to include:
 - ◆ Military retired pay statements (1099-R)
 - ◆ Civilian pension statements (1099-R)
 - ◆ Annuity/Insurance income statements (1099-R)

- Other income/entitlement pay statements (social security, disability, etc.)
- Bank and Savings statements (3 months)
- Tax Return (previous 2 years)
- Child Support (receive or pay)
- Alimony (receive or pay)
- _____

Debts

- Loan information (personal, and/or student)
- Auto Loan or Lease
- Credit Card Statements
- Real Estate (mortgage statements)
- _____

Military/Government Employee

- Survivor Benefit Plan (SBP) election
- VGLI / FEGLI election
- Military / government employee retirement information
- VA benefits information / Percentage of disability
- _____

Estate planning Documents

- Last Will and Testament
- Power of Attorneys (General, Special, Health Care)
- Advanced Medial Directive
- Living Will(s)
- _____

Miscellaneous

- Current state photo ID
- Voided Check (for deposits / distributions)
- Trust Documents
- General/Limited partnership information
- Risk Tolerance
- Any other pertinent financial data

Comments: