



## **Financial Document Checklist**

### **Risk Management**

- ☐ Life insurance policies, latest statements, and loan data
- ☐ Disability insurance policies
- ☐ Medical, Long Term Care insurance policies
- ☐ Auto, Home, Professional Liability, Malpractice, Business & Umbrella Insurance

### **Savings**

- ☐ Savings account and certificate of deposit statements
- ☐ Money market/Cash management accounts

### **Debt Management**

- ☐ Latest credit card statements
- ☐ Outstanding balances on all auto loans
- ☐ Mortgage balance, years remaining, interest rate
- ☐ Information on all other debts, i.e. 2<sup>nd</sup> mortgages, business loans, etc.

### **Investment Planning**

- ☐ Investment documents, recent correspondence from investment companies
- ☐ Latest statements from retirement plans & brokerage accounts
- ☐ Real estate investment purchase, escrow, and loan documents
- ☐ Investment Partnership agreements

### **Tax Planning**

- ☐ Tax returns for the last 2 years
- ☐ Recent payroll statements

### **Retirement Planning**

- ☐ Latest statements from IRA, Keogh and other qualified retirement plans
- ☐ Employee benefits/retirement plan summaries and latest statement
- ☐ Deferred compensation and stock option agreements
- ☐ Pension/profit sharing plans
- ☐ Annuity policies and latest statements
- ☐ Social Security Benefits summary statement

### **Estate Planning**

- ☐ Wills; Living wills
- ☐ Powers of attorney
- ☐ Trust documents

### **Corporate/Business Documents**

- ☐ Corporate tax returns for the last 2 years
- ☐ Current Profit & Loss Statement, Balance Sheet
- ☐ Partnership/Shareholder Agreements
- ☐ Buy/Sell Agreements