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Important Financial Documents Checklist

When you meet with a financial planner, you will probably be asked to bring the following types of documents. These documents will be used to tailor a financial plan to meet your life goals.

Retirement Planning Documents

- ☐ Recent IRA, 401(k), 403(b), TSA, Keogh statements
- ☐ Employee benefits program
- ☐ Deferred compensation and stock option agreements
- ☐ Pension and profit sharing statements

Tax Planning Documents

- ☐ Tax returns for last year
- ☐ W-2 and a recent pay stub
- ☐ Estimated taxes

Financial Documents

- ☐ Savings account statements
- ☐ Mutual fund statements
- ☐ Brokerage account statements
- ☐ Investment documents
- ☐ Loan documents
- ☐ List of stocks held outside of brokerages
- ☐ Partnership agreements

Asset Protection Documents

- ☐ Life insurance policies and statements
- ☐ Medical, homeowners and auto insurance policies and statements
- ☐ Disability, umbrella, and long term care insurance policies
- ☐ Annuity policies and statements

Estate Planning Documents

- ☐ Summary of your will, living will, durable powers of attorney and health care powers
- ☐ Living trusts

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