FINANCIAL PLANNING INFORMATION GATHERING WORKSHEET

In order to create a comprehensive personalized financial plan it is necessary to gain as much insight into your financial life as possible. Please use this checklist as a guide of the important documents we will need from you. If there are additional documents that are not listed her that will help us understand your financial life better, please include those as well.

Important Documents

Investment and Savings Statements

- ☐ Bank Account Statements
- ☐ Investment Account Statements
  This Includes All Stocks, Bonds, Mutual Funds, ETFs, UITs.
- ☐ Retirement Account Statements
  This Includes 401(k)s, 403(b), SIMPLE Plans, SEP Plans, and IRAs.
- ☐ Annuities

Income and Cash Flow Information

- ☐ Most Recent 2 Years of Federal and State Income Tax Returns
- ☐ Cash Flow Analysis/Budget of Current Expenses
- ☐ Pay Stubs
- ☐ Estimated Pension Payments
- ☐ Most Recent Social Security Statement or Current Payment
- ☐ Current Pension or Annuity Payments

Insurance Information

- ☐ Life Insurance Policies
- ☐ Disability Policy
- ☐ Long Term Care Insurance
- ☐ Property & Casualty Insurance Declaration Pages
  This includes Auto and Home.
- ☐ Health Insurance Policy
- ☐ Employee Benefits

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Children's Account

- ☐ 529 Plan Statements
- ☐ UTMA/UGMA Statements
- ☐ Coverdell Savings Statements

Debt Information

- ☐ Mortgage Statement
  This Should Include Term, Rate, and Payment's Principle, Interest, and Escrow.
- ☐ Credit Card Statements
- ☐ Coverdell Savings Statements
- ☐ Auto Loan Statements
- ☐ Any Other Household Debt Statements

Company Benefits

- ☐ Non Qualified Stock Plan
- ☐ Restricted Stock
- ☐ Deferred Compensation
- ☐ Employee Stock Purchase Plan

Estate Planning Information

- ☐ Last Will and Testament
- ☐ Living Will
- ☐ Power of Attorney

Other Legal Documents

- ☐ Property or Investment Agreements
- ☐ Prenuptial Agreements
- ☐ Divorce Settlements

FINANCIAL PLANNING INFORMATION GATHERING WORKSHEET

In order to create a comprehensive personalized financial plan it is necessary to gain as much insight into your financial life as possible. The following personal information will used for your plan and to communicate with your. Additional information will be needed in order to open an account.

Personal Documents

Name: ______________________________ Name: ______________________________
Date of Birth: ______________________________ Date of Birth: ______________________________
Social Security Number: ____________________ Social Security Number: ____________________
Occupation: ______________________________ Occupation: ______________________________
Employer: ______________________________ Employer: ______________________________
Salary: ______________________________ Salary: ______________________________
Email: ______________________________ Email: ______________________________
Phone: ______________________________ Phone: ______________________________
Retirement Age Goal: ____________________ Retirement Age Goal: ____________________
Address: ____
Dependents Names and Ages: ____

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In order to create a comprehensive personalized financial plan it is necessary to gain as much insight into your financial life as possible. Please fill out the following information and be prepared to have more detailed discussion around your goals.

Planning Questions

Retirement Goals:

____

____

Financial Goals:

____

____

Biggest Financial Concern(s):

____

____

Select a Risk Tolerance That Best Describes You: **Conservative - 1 2 3 4 5 6 7 8 9 10 - Aggressive**

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