



Financial Review Checklist

Eliminate the complexity of your financial and retirement planning as your assets grow.

Make the most of your initial appointment with us – use this checklist to prepare. We will look at your entire financial picture and work with you to build a complete solution that helps you meet your needs. The checklist below details the items we recommend you bring to your first appointment.

General

- Personal financial statement (if you have one)
- Cashflow statement (source and amounts of income and expenses)
- Last year's income tax return
- Social Security statement (projection of future income benefit)
- Family information: names, Social Security numbers, and birth dates

Latest financial statements

- Annuities
- Bank
- Brokerage
- Limited Partnerships
- Mutual Funds
- Non-marketable securities
- Retirement account: 401(k), IRA, pension, profit sharing, 403(b), Keogh, SEP
- Stock options

Employment

- Retirement Plan information: summary plan description, investment options, current investment allocations, beneficiary designation

Insurance policies

(first page from each policy is sufficient)

- Life: Group policy specifics and personal policy, if applicable
- Disability: Group policy specifics and personal policy, if applicable
- Long Term Care

Estate Planning documents

- Will
- Trusts: revocable, irrevocable
- Powers of Attorney: general, limited, durable, springing, health care
- Living Will

Real Estate

- Value of primary residence, vacation property, and rental property
- Mortgage statement with rates and terms