

Documents Needed Prior to Initial Meeting

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 (Personal and Business)
- ✓ YTD earnings
- ✓ Estimated taxes paid

Financial Documents

- ✓ Checking, Savings and Money Market account statements
- ✓ Mutual fund statements
- ✓ Brokerage account statements
- ✓ Investment documents
- ✓ Loan documents
- ✓ List of stocks held outside of brokerage accounts
- ✓ Marriage dissolution agreements: alimony, property settlements, pre-nuptial agreements and child-support agreements
- ✓ Joint ownership documents

Business Documents

- ✓ Business agreements (Partnerships, LLCs, Corporations, etc.)
- ✓ Business transfer/continuation agreements and plans

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

- ✓ Will, Living Will, Living Trusts, Durable Powers of Attorney and Health Care Powers