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Appointment Checklist

A clear picture of your current financial situation is essential as we work together to help you reach your goals. Please have copies of the following information available at the time of our meeting so we can begin the planning process without delay.

- ☐ Investment statements
  - ☐ Mutual funds
  - ☐ Brokerage accounts
  - ☐ Certificates of Deposit
  - ☐ Treasury Direct
  - ☐ Stock held in certificate/direct purchase/dividend reinvestment plans
  - ☐ Custodial accounts/Education Savings Accounts/529 plans

- ☐ Bank checking and savings statements

- ☐ Retirement plan statements
  - ☐ IRA statements
  - ☐ 401k/403b/Keogh/TSA
  - ☐ Pension and profit sharing plan statements
  - ☐ Social security statements
  - ☐ Annuity statements and policies

- ☐ Employee benefit programs
  - ☐ Deferred compensation
  - ☐ Stock options plans

- ☐ Insurance policies and statements
  - ☐ Life- Term, Whole, Universal
  - ☐ Homeowners/umbrella
  - ☐ Long term care

- ☐ Mortgage and home equity loan statements/homestead

- ☐ Credit care balances and statements

- ☐ Wills, trusts, powers of attorney, health care proxies

- ☐ Tax planning documents
  - ☐ Tax returns
  - ☐ W-2 and recent pay stub
  - ☐ Estimated taxes

In addition, please complete the following Household Expense Form as completely and accurately as possible and take the time to think through your goals and objectives.