

Documents Needed for Planning Services

Please provide what you have and ignore what is not applicable.

Personal Documents

Personal Financial Statements

- Net Worth Statement
- Cash Flow Statement
- Recent Paystubs

Income Tax Returns

- Personal tax return
- Schedules C and K-1 return
- W-2s

Current Account Statements

- Checking, Money Market, Savings and Certificates of Deposit
- Brokerage and Investment Accounts
- Annuity Statements
- Retirement Accounts
 - o 401(K), 403B, SEP, SIMPLE
 - o IRA, Roth
 - o Pension Plans
- Custodial Accounts
 - o 529, Coverdell
 - o UTMA/UGMA
- Social Security Benefit Estimate
- Mortgage Loan Statements
- Credit Card Statements

Personal Insurance

- Life, Disability, and LTC
- Health Insurance
- Property and Casualty Insurance
- Legal and Identity Protection

Estate Planning Documents

- Wills, Living Wills, and Letters of Instruction
- Powers of Attorney
- Trust Documents
- Gift Tax Returns

Employee Benefits

- Benefits Booklet
- Group Life, Disability and LTC
- Health Insurance
- Other

Business-owner Documents

Accounting and Tax Statements

- Balance Sheet
- Profit and Loss Statement
- Statement of Cash Flows
- Real Estate and Equipment Leases
- Corporate Tax Returns

Business Continuation

- Operating Agreement
- Buy/Sell Agreement
- Buy/Sell Life and Disability Insurance
- Key Man Policies
- Schedule of Owners (and Percent)

Benefit Plan Documents

- Executive Benefits
 - o Split Dollar, Section 162
 - o Qualified and NQ Stock Options
 - o SARs, Phantom Stock, etc.
 - o Deferred Compensation Agreements
 - o Key-person Plans
 - o Carve-outs
- Profit-Sharing Plan Documents
- Schedule of plan assets
- Recent Form 5500
- Group life, disability and health benefits
- Other Defined Benefit Plans
- Other employee benefits

Employee Information

- Employee Census
- Hire Dates
- Dates of Birth
- Total Annual Compensation