BSG Advisers

Financial Guidance for Families and Business Owners

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INVESTMENTS • INSURANCE • INSIGHT

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
  - 401(K), 403B, SEP, SIMPLE
  - IRA, Roth IRA
  - Pension Plans
- ☐ Custodial Accounts
  - 529, Coverdell
  - 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

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
  - Split Dollar, Section 162
  - Qualified and NQ Stock Options
  - SARs, Phantom Stock, etc.
  - Deferred Compensation Agreements
  - Key-person Plans
  - 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

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