Information Request Checklist

Please submit *copies* of the following items with your completed client questionnaire and any other pertinent financial information.

Personal Information

1. Insurance coverage (declaration and premium pages only).
    a. Auto, homeowners and personal umbrella policies
    b. Disability and life insurance policies
    c. Long term care
2. Investment account information (ie 401(k), brokerage statements, etc)
3. College education savings account statements
4. Bank account statements (checking, savings, money market, etc)
5. Wills and estate planning
6. Divorce decrees or separation agreements, if applicable
7. Loan documents (mortgages, auto notes, credit cards, other)
8. Pay-stubs
    a. Most recent year to date stub
    b. Prior year's December 31 stub.
9. Personal income tax returns (federal and state returns for prior two years)
10. Prior financial planning transcripts (3 years)

Business Information

1. Fee Schedule
2. Buy-Sell agreements
3. Business production reports by provider for year to date and last year
4. Current year to date payroll summary for all employees
5. Prior year procedure count by ADA code
6. Accounts receivable detail – credits only
7. Accounts receivable detail – debits only
8. Number of new patients year to date and last year
9. Employee Manual
10. Insurance coverage (declaration and premium pages only).
    a. Business, liability, and workers compensation policies
    b. Malpractice insurance policies
    c. Business overhead insurance policies
    d. Buy-sell insurance polices
    e. Health care policies
11. Partnership or shareholder agreements

Tax/Financial Information

1. Business profit & loss and balance sheets (year-to-date & previous two years)
2. Business tax returns for the previous two years
3. Current year to date general ledger
4. Prior year general ledger
5. Previous year W2's for all employees
6. Lease/Rental documentation
7. Loan documents
    a. Real estate
    b. Equipment
    c. Working capital
    d. Credit card
8. Pension plan administrations for the past two years
9. Pension plan documents, and amendments