



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 insurance policies
 - b. Disability insurance policies
 - c. Homeowners insurance policies
 - d. Liability (umbrella) insurance policies
 - e. Life insurance policies
 - f. Long term care
2. Investment assets information
 - a. Annuity statements
 - b. Brokerage accounts statements
 - c. CD, Money Market Statements
 - d. Company benefit statements (stock options, restricted stock, other)
 - e. Individual Retirement Account (IRAs, SIMPLE, SEP)
 - f. Mutual Fund statements
 - g. Partnership statements
 - h. Pension Plan statements (401k, Profit Sharing, DB, etc) and information related to available investment choices.
3. Legal documents
 - a. Wills and estate planning
4. Loan documents (mortgages, auto notes, credit cards, other)
5. Pay-stubs
 - a. Most recent year to date stub
 - b. Prior year's December 31 stub.
6. Personal income tax returns (federal and state returns for prior two years)
7. Prior financial planning transcripts (3 years)



Business Information

1. Business financial statements (year-to-date & previous two years)
2. Business tax returns for the previous two years
3. Business production reports by provider
4. Buy-Sell agreements
5. Current fee schedule
6. Employee census (enclosed form)
7. Employee manual
8. Insurance coverage (declaration and premium pages only).
 - a. Business insurance policies
 - b. Malpractice insurance policies
 - c. Business overhead insurance polices
 - d. Liability (umbrella) insurance policies
 - e. Buy-sell insurance polices
 - f. Health care policies
 - g. Workers compensation insurance polices
9. Lease/Rental information
10. Loan documents
 - a. Real estate
 - b. Equipment
 - c. Working capital
 - d. Credit card
11. Partnership agreements
12. Pension plan administration
13. Pension plan documents, and amendments