# Checklist of Items Required to Begin Financial Planning Process

________ Complete the **Personal Data Summary**

________ Complete the **Employment Information form**

________ Complete the **Cash Flow Summary**

________ Complete the **Pension/Retirement Plan Summary**

________ Complete the **Financial Asset Inventory**

________ Complete the **Net Worth Summary** (Please include the purchase price, current basis and market value of your home. Include date of purchase, original mortgage balance, monthly payment and rate) Include this information for any other properties you might own.

________ Complete the **Real Property Information Sheet**

________ Complete the **Risk Management Data Form**

________ Provide copies of latest Federal & State Income Tax Returns as well as current pay stubs and year end pay stubs

________ Provide copies of most recent premium notices and declaration pages from Homeowners, Automobile, and Umbrella Liability Insurance policies (Dwelling, Property, Earthquake, etc.)

________ Do you have Wills, Codicils to Wills, and Trusts? If so list what documents and dates executed and updated.

________ Provide copies of current Company Benefit Statements (401(k), ESOP, ISO's/NQSO's Employee Stock Purchase Plans, Deferred Compensation Plans, etc.)

________ Provide copies of most recent pay stubs for each employed person

________ Provide copies of latest brokerage statements for all your investments

________ Complete **Client Goal Profile**

________ Complete **Investment Guidelines Questionniare**

________ Provide a copy of each of your Social Security benefits and/or your benefits based on your spouse's work record.