

DATA GATHERING CHECKLIST



Most of the information we need for planning can be extracted from the data below (in lieu of long fact finding forms). Please don't spend too much time making copies. We will be happy to provide a receipt for originals, make copies and return the originals promptly.

Property

- Real Estate:** Property Deeds, Contracts, Titles, Title Insurance Policy, Warranties, Liens, etc.
- Personal Property:** Titles, Valuations, etc.

Bank Accounts and Investments

- Personal Balance Sheet** (if available)
- Bank Statements:** Checking, Savings, CDs, Treasuries
- Investment Statements:** Banks, Brokerage, Mutual Funds, Bonds, Stocks, Stock Purchase Plans, Stock Options, Annuities, IRAs, Retirement Plans, Pension Plans, etc.
- Children Investment Statements:** 529 Plans, Trusts, UTMAs, Other investments
- Company Retirement Plans:** Summary of Benefits, Investment Choices, etc. (Self and Spouse)
- Other Company Investment Plans:** Stock Purchase Plans, Stock Option Plans, Deferred Compensation Plans - Statements, Summary of Benefits
- Obtain User ID and Passwords** for all Banking/Investment Accounts

Business Interests

- Business Financial Statements** and Tax Returns
- Shareholder/Partnership Agreements,** Employment Contracts, etc.
- Business Debt Instruments,** Insurance Policies, B of D Resolutions

Insurance

- Life Insurance and Annuities:** Policy Contracts, Statements, Projections, In-force Illustrations
- Long Term Care Insurance:** Policies, Bills
- Disability Insurance:** Policies, Bills
- Medical, Dental, Vision, 125 Plan etc.:** Benefit Summary
- Homeowners and Auto Insurance:** Coverage and Premium Info
- Umbrella Liability Insurance:** Coverage and Premium Info

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Liabilities

- Mortgages:** (Statements, Origination Forms)
- Loans, Credit Cards and Other Liabilities:** Statements, Loan Origination Forms, Contingent Liabilities (Co-signee, personal guarantees or pending Lawsuits)

Income

- Income:** Most Recent Payroll Stubs, Employment Contracts
- Tax Returns:** Previous Three Years
- Pensions:** Social Security Statements, Pensions, Annuities, Contracts, etc.

Legal and Estate Planning

- Estate Planning Documents:** Wills, Trusts, Powers of Attorney, Living Wills/ Healthcare Directives, Funeral Plans, Correspondence, etc.
- Beneficiary Designations:** Life Insurance, Annuities, IRAs, Retirement Plans, Pensions, TOD accounts
- Previously filed IRS Gift Tax Returns /** Schedule of Prior Gifts

Other Information

- Birth Certificates** (for Vault)
- Drivers License** (for Vault)
- Passports** (for Vault)
- Marriage Certificate** (for Vault)
- Safety Deposit Box** - Contents Ledger (for Vault)
- Detailed Expense Budget** (Optional)
- Medical Records** (for Vault)
- Miscellaneous Memberships** (for Vault)
- Frequent Flyer / Awards Membership Information**
- Master Dream List** (for Vault)