SMITH GROUP FINANCIAL

FINANCIAL PLANNING DOCUMENT CHECKLIST

Personal Financial Statements

☐ Family Budgets
☐ Personal Balance Sheets
☐ Appraisals of Personal Property
☐ Other Appraisals
☐ Notes Receivable
☐ Other_____

Insurance Policies

☐ Life Insurance
☐ Disability Insurance
☐ Health Insurance
☐ Long Term Care Insurance
☐ Auto Insurance
☐ Homeowners Insurance
☐ Umbrella Insurance
☐ Professional Liability Insurance
☐ Other Policies _____

Credit Management

☐ Accounts and Notes Payable
☐ Mortgages
☐ Home Equity Loans or Lines of Credit
☐ Credit Cards and Terms
☐ Other_____

Investments

☐ Latest Statements from each Brokerage/Investment Management Account
☐ Latest statements from Mutual Fund Companies
☐ Latest Bank Statements
☐ Investment Real Estate Documentation
☐ Summary of Stocks, Bonds and Other Investments by Owner
☐ Cost Basis Information on all Investments
☐ Stock Option, Restricted Stock and Stock Purchase Plan Agreements
☐ Financial Statements of Interests in Closely Held Businesses
☐ Other_____

Tax Planning and Tax-Advantaged Investments

☐ Federal and State Income Tax Returns (two years)
☐ W-2 Forms (two years)
☐ Earnings Report or Payroll Check Detail (most recent and prior year)
☐ Limited Partnership Statements
☐ Limited Partnership Tax Returns
☐ Limited Partnership Agreements
☐ Federal Gift Tax Returns
☐ Federal Estate Tax Returns if Beneficiary of any Estate Settlements
☐ Other_____
☐ Other_____

Retirement Planning

☐ Company Pension Plan Agreements and Statements
☐ Individual Retirement Account Statements
☐ 401(k) or 403(b) Plan Documentation and Statements
☐ Keogh Plan Documentation and Statements
☐ Social Security Benefit Estimate Statement
☐ Other_____
☐ Other_____

Estate Planning

☐ Current Will
☐ Current Will for Spouse if applicable
☐ Trust Instruments
☐ Powers of Attorney
☐ Living Wills/Advance Directives/Health Care Powers of Attorney
☐ Prenuptial/Postnuptial Agreements
☐ Cohabitation Agreements
☐ Guardianship Arrangements
☐ Letter of Instructions
☐ Separation/Divorce Agreements
☐ Buy-Sell Agreements
☐ Other_____

Other

☐ Other_____
☐ Other_____