Financial Avenues LLC

Simple directions to where you want to be.

Document Checklist

This checklist is your guide to begin gathering all of the information we need to provide you with the advice you seek. The more detailed the information provided, the less time it will take us to review and the sooner we can schedule your meeting(s). Provide all information on this checklist applicable to your situation and the topics to be addressed.

Actual pdf files of statements are preferred over screenshots, unless we request both from you. Screenshots typically equal more time on our end because of lack of information and the need to contact you. This equals additional time and an increase in your fee.

PLEASE communicate with us if you are not able to locate information requested or do not understand what we need. We are happy to schedule a brief virtual or in person meeting to log in to various websites and determine where to locate the necessary information.

Provided	Not Available	N/A	**GENERAL**
_____	_____	_____	Confidential Questionnaire
_____	_____	_____	Client Service Agreement
_____	_____	_____	Deposit
			CASH FLOW/DEBT
_____	_____	_____	Pay Stub
_____	_____	_____	Cash Flow Worksheet (Personal or Provided by Financial Avenues) **OR** 6 Months of Bank and Credit Card Transactions
_____	_____	_____	Bank Statements, most recent and for each account
_____	_____	_____	Mortgage Statement(s)
_____	_____	_____	Auto Loan Statement(s)
_____	_____	_____	Student Loan Statement(s)
_____	_____	_____	Home Equity Line of Credit Statement
_____	_____	_____	Personal Loan Statement(s)
_____	_____	_____	Credit Card Statements, most recent
_____	_____	_____	Annual Credit Report - obtain via **www.annualcreditreport.com** *(We prefer the report versus just a credit score. Please only complete one report.)*
			INVESTMENTS
_____	_____	_____	Risk Tolerance Questionnaire, provided by Financial Avenues
_____	_____	_____	Stock Option Report
_____	_____	_____	Brokerage Account Statement(s) **AND** cost basis if not recorded on statement
_____	_____	_____	Annuity Statement(s) and Investment Options (Variable Annuities)
_____	_____	_____	Closely Held Business Owners: Company Balance Sheet
_____	_____	_____	Health Savings Account Statement(s) **AND** list of investment options available
_____	_____	_____	Annual Statement(s) from Partnership Interests
_____	_____	_____	College Savings Account Statements (529, Custodial, UTMA, etc.)
_____	_____	_____	Savings Bonds Statement(s) or List
			RISK MANAGEMENT
_____	_____	_____	Life Insurance Statement(s) and Declarations Page
_____	_____	_____	Long Term Care Policy and/or Declarations Page
_____	_____	_____	Disability Income Insurance Declarations Page
_____	_____	_____	Health Insurance Declarations Page
_____	_____	_____	Medicare Information (Provide copy of card, statement or letter with information)
_____	_____	_____	Medicare Supplement Plan or Medicare Advantage: Insurer name, plan & premium
_____	_____	_____	Part D Drug Plan: Insurer, plan name and premium
_____	_____	_____	Dental & Vision: Insurer name, plan name and premium amounts
_____	_____	_____	Out of Pocket Medical expenses: estimated amount you pay *(include on cash flow worksheet)*
_____	_____	_____	Homeowners Insurance Declarations Page
_____	_____	_____	Auto Insurance Declarations Page
_____	_____	_____	Excess or Umbrella Insurance Declarations Page
_____	_____	_____	Other Insurance - Declarations Page or Policy *(rentals, 2nd home, business, etc.)*

			EMPLOYEE BENEFITS
_____	_____	_____	Employee Benefits EnrollmentSummary *(shows your benefit cost versus the employer's cost)*
_____	_____	_____	Employee Benefits Booklet - annual information on benefits available
			RETIREMENT PLANNING
_____	_____	_____	Company Retirement Plan Statement(s) (401(k), 403(b), TSA, 457, Profit Sharing, etc.)
_____	_____	_____	Company Retirement Plan - Investment Options
_____	_____	_____	Company Retirement Plan - Summary Description
_____	_____	_____	Personal Retirement Account Statement(s) (IRA, Roth IRA, Inherited IRA, etc.)
_____	_____	_____	Deferred Compensation and/or Stock Option Agreement or Restricted Stock Agreement
_____	_____	_____	Pension Statement(s) and/or Benefit Estimate
_____	_____	_____	Social Security Benefit Statement(s) **(www.ssa.gov – to obtain statements)**
_____	_____	_____	Social Security Letter - For Those Currently Receiving Benefits
_____	_____	_____	Life Expectancy - www.livingto100.com **(complete if age 65 or older)**
			TAX PLANNING
_____	_____	_____	Federal and State Tax Returns for most recent two years - **please provide ALL pages**
_____	_____	_____	Gift Tax Return if applicable
_____	_____	_____	Prior Year W2(s)
			ESTATE PLANNING
_____	_____	_____	Will and Trust Documents (including Powers of Attorney, Living Wills and Healthcare Directives)
_____	_____	_____	Divorce Settlements, Separation Agreements, Nuptial Agreements
_____	_____	_____	Buy/Sell Agreements
_____	_____	_____	Statement(s) of Assets for Which You Are Custodian
_____	_____	_____	Trust Statement(s) of Which You Are a Beneficiary
_____	_____	_____	Pre-Nuptial Agreement