Financial Avenues LLC

Simple directions to where you want to be.

Document Checklist

In anticipation of our next planning engagement, we need an update on your progress. Please provide the below documents and/or information so that we can be fully prepared. We are excited to see you moving steadily in the direction of your goals, plans, and dreams!

Statements should be most recent available. Provide documents in PDF or Excel format if at all possible.

Provided	Not Available	N/A	
			GENERAL
____	____	____	Confidential Questionnaire
____	____	____	Client Service Agreement
____	____	____	Deposit (new clients only)
____	____	____	Goal Importance Scale
			CASH FLOW/DEBT
____	____	____	Pay Stub
____	____	____	Cash Flow Worksheet (Personal or Provided by Financial Avenues)
____	____	____	Bank Statements and 6 Months of Transaction History
____	____	____	Mortgage Statement
____	____	____	Auto Loan Statement(s)
____	____	____	Student Loan Statement(s)
____	____	____	Home Equity Line of Credit Statement
____	____	____	Personal Loan Statement(s)
____	____	____	Credit Card Statements and 6 Months of Transaction History
____	____	____	Annual Credit Report (www.annualcreditreport.com)
			INVESTMENTS
____	____	____	Risk Tolerance Questionnaire
____	____	____	Stock Option Report
____	____	____	Brokerage Account Statement(s)
____	____	____	Annuity Statement(s) and Investment Options (Variable Annuities)
____	____	____	Closely Held Business Owners: Company Balance Sheet
____	____	____	Health Savings Account Statement(s)
____	____	____	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
____	____	____	Homeowners Insurance Declarations Page
____	____	____	Auto Insurance Declarations Page
____	____	____	Excess or Umbrella Insurance Declarations Page
____	____	____	Other Insurance - Declarations Page or Policy
			EMPLOYEE BENEFITS
____	____	____	Employee Benefits Summary (Personal Statement)
____	____	____	Employee Benefits Booklet (General Information)

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
_____ _____ _____ 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
_____ _____ _____ Gift Tax Return if applicable
_____ _____ _____ Prior Year W2

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