Financial Avenues, LLC
*Simple Directions To Where You Want To Be*

## DOCUMENT CHECKLIST

The following documents are required in order to accurately complete your Financial Plan. Please provide us only with those documents that are applicable to your financial situation. Strict confidentiality will be maintained.

| Provided | Not Available | N/A | |
|---|---|---|---|
| | | | **GENERAL** |
| ☐ | ☐ | ☐ | Completed Confidential Questionnaire |
| ☐ | ☐ | ☐ | Client Service Agreement |
| ☐ | ☐ | ☐ | Deposit |
| ☐ | ☐ | ☐ | Roadmap Questionnaire |
| | | | **CASH FLOW/DEBT** |
| ☐ | ☐ | ☐ | Most recent credit card statement(s) |
| ☐ | ☐ | ☐ | Cash Flow Worksheet / Income, Expenses, Discretionary |
| ☐ | ☐ | ☐ | Student Loan Statement(s) |
| ☐ | ☐ | ☐ | Annual Credit Report |
| | | | **INVESTMENTS** (*Most Recent*) |
| ☐ | ☐ | ☐ | Risk Tolerance Questionnaire |
| ☐ | ☐ | ☐ | Bank Statement(s) |
| ☐ | ☐ | ☐ | Brokerage and mutual fund statement(s) |
| ☐ | ☐ | ☐ | Annuity Statement(s) |
| ☐ | ☐ | ☐ | Annual statement(s) from partnership interests |
| ☐ | ☐ | ☐ | List of investment options for company retirement plan(s) |
| ☐ | ☐ | ☐ | Loan and mortgage statement(s) |
| ☐ | ☐ | ☐ | Balance sheet from closely held business you own |
| | | | **Risk Management** (*Most Recent*) |
| ☐ | ☐ | ☐ | Life insurance policies and annual statements |
| ☐ | ☐ | ☐ | Disability insurance declarations page |
| ☐ | ☐ | ☐ | Health insurance declarations page |
| ☐ | ☐ | ☐ | Auto insurance declarations page |
| ☐ | ☐ | ☐ | Homeowners insurance declarations page |
| ☐ | ☐ | ☐ | Excess or umbrella insurance declarations page |

**RETIREMENT PLANNING**

☐ ☐ ☐ IRA, Keogh, TSA, 401(k), Profit Sharing, company savings plan statement(s)
☐ ☐ ☐ Employee benefit summary
☐ ☐ ☐ Employee benefit booklet
☐ ☐ ☐ Deferred compensation and stock option agreement
☐ ☐ ☐ Pension statements and/or estimates
☐ ☐ ☐ Social Security Benefit Statement(s) (www.ssa.gov – to obtain statements)

**TAX PLANNING**

☐ ☐ ☐ State and Federal returns for the last two years
☐ ☐ ☐ Gift Tax Return, if applicable
☐ ☐ ☐ Most recent two paycheck stubs

**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 of which you are custodian for
☐ ☐ ☐ Trust statement(s) of which you are a beneficiary
☐ ☐ ☐ Pre-marital /