

**NOTE:** *The following may require compliance approval. Put this list on your firm's letterhead and anchor it with your name and the names of your team members if you are on a team. Then gain your firm's compliance approval before using. DO NOT include my logo or the information in the footer.*

## Planning Documents Needed

1. Recent investment statements
  - 401(k)
  - IRAs
  - Taxable accounts
2. A copy of your most recent tax return
  - Include Schedule A and C if applicable
3. Insurance coverages
  - Term, Universal, or Whole Life
  - Disability
  - Employer provided life insurance if applicable
  - Long Term Care
4. Copies of your estate documents
  - Will
  - Financial Power of Attorney
  - Medical Advance Directive
5. If you have a pension benefit, a recent statement and pension projections
6. Your most current Social Security statement
  - If not enrolled, go to [www.ssa.gov](http://www.ssa.gov) and enroll or print out a statement.
7. Statement of your vested and non-vested stock options if applicable
8. The estimated value of your home
  - A current mortgage statement that shows the terms
  - Any ongoing additional principle you are paying on the note. How much? Do you plan to continue doing that?
9. Other indebtedness you may have
  - Car loan(s)
  - Credit card
  - Student loan(s)

These documents can be mailed, scanned and emailed, or dropped by the branch.

Your name  
Firm  
Title  
Email / Phone number