CUE Financial Group, Inc.©

A registered Broker Dealer Member FINRA and SIPC

Important Financial Document Checklist

When you meet with a financial planner, they will probably ask you to bring the following types of documents. These documents, along with the Personal Data Organizer will be used to tailor a financial plan to meet your life goals.

Retirement Planning Documents

- ❒ Recent IRA, 401(k), 403(b), TSA, Keogh statements
- ❒ Employee benefits program
- ❒ Deferred compensation and stock option agreements
- ❒ Pension and profit sharing statements

Tax Planning Documents

- ❒ Tax returns for the last year
- ❒ W-2 and recent pay stub
- ❒ Estimated taxes

Financial Documents

- ❒ Savings account statements
- ❒ Mutual fund statements
- ❒ Brokerage account statements
- ❒ Investment documents
- ❒ Loan documents
- ❒ List of stocks held outside of brokerages
- ❒ Partnership agreements

Asset Protection Documents

- ❒ Life insurance policies and statements
- ❒ Medical, homeowners and auto insurance policies and statements
- ❒ Disability, umbrella, and long term care insurance policies
- ❒ Annuity policies and statements

Estate Planning Documents

- ❒ Summary of your will, living will, durable powers of attorney and health powers
- ❒ Living trusts