LUCIEN, STIRLING & GRAY
ADVISORY GROUP

Financial Planning Checklist

In order to provide you with careful, measured, and personalized advice, we will need to make a thorough examination of your current financial situation and have discussions concerning your most important needs, goals, and expectations. One of the most important steps in this process is to gather all documentation pertaining to your financial affairs. This checklist is provided to assist you in gathering information necessary to make your financial planning as accurate and coordinated as possible. Please take the time to assemble as much of this information as applies to your personal situation.

Names ____ **Date** ___________________

General Information and Other Forms

- ☐ Financial Attitudes questionnaire
- ☐ Personal Information Sheet
- ☐ Assets & Liabilities Worksheet
- ☐ Copy of driver's license (client and joint client)
- ☐ Credit reports
- ☐ Other ______________________________

Retirement Planning & Employment Benefits Documents

- ☐ Recent 401(k), 403(b), IRA, etc. statements
- ☐ Retirement account Summary Plan Descriptions
- ☐ Retirement account investment options
- ☐ Employee benefits summaries
- ☐ IRA statements, Form 5498
- ☐ Social Security benefits statements
- ☐ Deferred compensation and profit sharing
- ☐ Stock options and restricted stock
- ☐ Pension statements
- ☐ Flexible spending accounts
- ☐ Other ______________________________

Financial Documents

- ☐ Bank statements – checking, savings, CDs
- ☐ Brokerage account statements
- ☐ Mutual fund statements
- ☐ Stocks and other investments outside brokerages
- ☐ Other investment documents
- ☐ Loan documents
- ☐ Partnership agreements
- ☐ Other ______________________________

Cash Flow & Tax Planning Documents

- ☐ Cash Flow Worksheet
- ☐ Tax returns for last three years
- ☐ Recent pay stub and W-2
- ☐ Estimated taxes
- ☐ Documentation of other income
- ☐ Other ______________________________

Asset Protection & Insurance Documents

- ☐ Life insurance policies and statements
- ☐ Annuity policies and statements
- ☐ Medical, disability and long term care policies
- ☐ Property & casualty - homeowners, auto, etc.
- ☐ Personal and professional liability policies
- ☐ Current insurance proposals? Yes ____ No ____
- ☐ Other ______________________________

Estate Planning Documents

- ☐ Will(s) Date of wills ___________________
- ☐ Beneficiaries of non-probate assets (e.g., IRA's)
- ☐ Powers of attorney
- ☐ Medical directives
- ☐ Trust documents, family limited partnerships
- ☐ Guardianship documents
- ☐ Charitable planning documents
- ☐ Other ______________________________