

Confidential Financial Planning Documents Checklist



**COASTAL
VIRGINIA**
WEALTH GROUP

Documents needed for a comprehensive financial planning engagement

Please review the list of documents carefully and provide us with copies of all the documents that are applicable to your situation.

Bank and Investment Statements:		Tax Documents:	
☐	Checking Account Statements	☐	Past 2 years of personal federal/state tax returns (1040)
☐	Savings/CDs/MoneyMarket Statements	☐	Past 2 years of trust tax returns (1041)
☐	Brokerage/Advisory Account Statements	☐	Gift Tax Returns Filed (Form 709)
☐	Annuity Statements	☐	Business Interest Distributions (K-1)
☐	Credit Card Statements		
☐	IRA/Roth IRA Statements	Insurance Statements:	
		☐	Life Insurance policy declaration/in-force illustration
Property and Liabilities:		☐	Disability Policy
☐	Schedule of Real Estate (Title, location, acquisition date and cost, income, market value)	☐	Long Term Care
☐	Values of personal property	☐	Property/Casualty
☐	Loan Statements (Primary Residence, homeEquity/Other Mortgage, Rental Real Estate, Investment/Margin, automobile)	☐	Limited liability Insurance (Umbrella)
☐	Credit Card Statements		
☐	Student Loans	Estate Documents:	
☐	Family Loans	☐	Last Will and Testament
		☐	Trust Documents (Revocable, Irrevocable, QTIPs, ILITs, FLPs, etc)
Income & Employment Benefits:		☐	Settlement Agreements
☐	Payroll Statements (W2)	☐	Pre and Post-Nuptial Agreements
☐	Self Employment Statements (1099)	☐	Divorce Settlements (alimony and child support)
☐	Social Security Statements (SSA.GOV)	☐	Durable/Medical Powers of Attorney
☐	Employee Benefit Statement - Group Term Life Insurance - Group Disability Coverage	☐	Health Care Directives, HIPAA release
☐	Retirement Plan Statements (401(k), 403(b), 457)	☐	Guardianship Agreements
☐	Deferred Compensation Arrangements		
☐	Pension Plan Statements	Business Documents:	
☐	Section 125 Plan (Cafeteria, MSA)	☐	Past 2 years of tax returns and company financials: - Business tax returns (1120S, 1120C) - Year-end Balance Sheets - Year-end Income Statements
☐	Stock Option Plan statements	☐	Articles of Incorporation/Articles of Organization
		☐	Operating agreement/ Bylaws
Expenditures:		☐	Buy-Sell Agreement(s)
☐	List of current living expenses (Discretionary & Non-Discretionary)	☐	Insurance (Key Person, liability, operational)
☐	Estimate of retirement living expenses	☐	Deferred Compensation Plans
		☐	Stock Options/Stock Bonus Plan
		☐	Appraisals
		☐	Organizational Chart