

Goals-Based Analysis – Document Checklist

To help you develop a thoughtful wealth management plan, it's important for us to understand your financial history. Please provide copies of the following documents, if available.

Place a check mark to denote the documents you are enclosing.

DATE _____

NAME _____

EMAIL _____

PHONE _____

☐ Brokerage/investment account statements

☐ Checking and savings account statements

☐ Retirement savings account statements

- 401(k) plans

- Traditional/Roth IRAs

- Other accounts

Other helpful documents/information may include:

☐ Benefit summaries for all retirement plans

☐ Employee stock option account statements

☐ Private business ownership interests

☐ Estate planning documents

- Last will and testament for you and your spouse

- Living trust agreements

- Trust agreements in which you are named as a beneficiary

☐ Life insurance policies

☐ Most recent tax returns (federal and state)

☐ Social Security benefit statement

☐ Annuity contract documents

The Goals-Based Analysis referenced is a tool that provides an additional resource in the evaluation of the potential risks and returns of investment choices.

IMPORTANT: The projections or other information generated by the Goals-Based Analysis regarding the likelihood of various investment outcomes are hypothetical in nature, do not reflect actual investment results and are not guarantees of future results. Goals Based Analysis results may vary with each use and over time.

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