

Financial Planning: What to Bring



CHECKLIST OF HELPFUL DOCUMENTS: We prefer actual statements rather than prepared summaries wherever possible. **You may send us your documents a few different ways: drop them off** at our office, **upload** to our Document Vault on FSI Client Center or via **postal mail**.

Latest statements of **ASSET** accounts including:

Investments

- 401(k)s, 403(b)s, IRAs (Roth, SEP, Rollover, SIMPLE)
- Annuities
- Brokerage accounts
- Mutual Fund accounts
- Bank accounts (checking, savings, CDs)
- Health Savings accounts (HSA)
- Education Savings (529, UTMA, Coverdell, ESAs)

Real Estate

- Primary residence estate value
- Secondary residence
- Business interests

Latest statements of **DEBT** accounts, including:

- Credit cards
- Lines of credit (including home equity, even if no current balance)
- Mortgage
- Car loans
- Student loans
- Other debt

Latest **EXPENSE** data

- Mint, Quicken reports or personal spreadsheet
- FSI's Expense worksheet

Latest **INCOME** documents

- Most recent and previous year-end paystubs
- Tax Returns (Form 1040) from last two to three years
- Social Security statement or estimate
- Pension statement or estimate

Latest **ESTATE** documents

- Wills
- Powers of Attorney
- Trust agreements
- Primary and contingent beneficiaries on retirement accounts

Latest **INSURANCE** documents

- Health
- Long term care
- Disability
- Life (term, whole, etc.)

Financial Planning Worksheet



Date: _____

Client Name: _____

Dependents

Birthday: _____ Target Retirement Age: _____

Name: _____ Age: _____

Email: _____

Name: _____ Age: _____

Phone Number: _____

Name: _____ Age: _____

Client Name: _____

Name: _____ Age: _____

Birthday: _____ Target Retirement Age: _____

Name: _____ Age: _____

Email: _____

Phone Number: _____

How much time do you have to dedicate to monitoring your plan's progress?

- One hour/month Several hours/month A few hours/quarter A few hours/year Unsure

Do you have a formal investment strategy?

- Yes No

What do you believe is a reasonable rate of

return on your investments? _____

If yes, how would you summarize your investment strategy?

If yes, how would you describe your investment results?

- Above Average Average Below Average Unsure

SHORT TERM GOALS: WITHIN THE NEXT 2 YEARS

Standard of Living Spending Decrease Maintain Increase

Extraordinary Spending Items

Approximate Value

_____	_____
_____	_____
_____	_____
_____	_____

Financial Planning Worksheet



LONG TERM GOALS

Standard of Living Spending Decrease Maintain Increase

Extraordinary Spending Items	Approximate Value

IMPORTANCE TO ME

Completing this section will give us a little more direction when it comes to working on your plan and may help you decide what are truly the most important aspects of your financial future.

Financial Goals	Priority <small>1=highest</small>				Notes
	1	2	3	4	
General					
Improving current standard of living	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Improving future standard of living	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Peace of mind regarding financial position	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Changing/modifying career activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Target retirement at age ____ (and ____)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Change of residence/new home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Travel, vacation home, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Family Planning					
College planning for self/(grand)children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supporting adult child/parents/other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Starting a family	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other: wedding, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Estate Planning					
Passing wealth to heirs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Supporting charitable causes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

A year from now, what will make this relationship successful, worth your time and money?
