PROVIDE COPIES OF APPLICABLE DOCUMENTS

The following documents are necessary for us to get a complete picture of your financial situation and to better serve you in the planning process.

Use the link provided in your welcome email to securely upload your documents. Not all items will be applicable to your situation.

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1. **Personal Information:** Please provide copies of the following:

   - ☐ Photocopy of driver's license/government-issued ID
   - ☐ Voided Check from primary checking account (sets up electronic link to easily transfer funds between checking and Schwab brokerage account)

2. **Investments:** Please provide the latest statement for all investment accounts.

   - ☐ Stock, bond, or mutual fund accounts
   - ☐ Restricted Stock Units (RSUs), Employee Stock Purchase Plan or Stock Options
   - ☐ Annuities

3. **Retirement Plans:** Please provide the most recent statement and beneficiary information from the following retirement accounts, if applicable:

   - ☐ IRAs (all types)
   - ☐ Employer-sponsored plans (401k, 403b, Thrift Savings Plan, etc.)
   - ☐ Profit Sharing Plan
   - ☐ ESOP
   - ☐ Deferred Compensation Plan
   - ☐ Defined Benefit Pension Plan

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4. **Tax**: Please provide copies of the following:

- ☐ Personal Tax Returns (last tax year filed)
- ☐ Payroll stub showing year-to-date earnings
- ☐ Business Tax Returns, if applicable (last tax year filed)
- ☐ K-1s received for all business entities, if applicable

5. **Estate**: Please provide copies of the following:

- ☐ Trusts
- ☐ Wills
- ☐ Powers of Attorney
- ☐ Healthcare Powers of Attorney
- ☐ Living Wills

6. **Personal Assets:** Please provide a list showing the current market value for each of the following:

- ☐ Primary residence and/or other real estate
- ☐ Automobiles, boats, etc.
- ☐ Personal property of significant value (furniture, jewelry, art, etc.)

7. **Insurance**: Please provide policies and any current policy statements/reports for each of the following, if applicable:

- ☐ Life insurance
- ☐ Healthcare/Disability Insurance
- ☐ Property/Casualty Insurance
- ☐ Long-Term Care Insurance
- ☐ Excess Liability/Umbrella Insurance

8. **Other Items:**

- ☐ Monthly expense records/budget/cash flow information. (If you do not currently have a method of tracking your expenses, we can provide a spreadsheet for you to use.)
- ☐ Employer benefit statements/benefit booklets or other information
- ☐ Social Security benefit estimate statement – Create an account on the Social Security Administration website to obtain a statement. www.ssa.gov/myaccount
- ☐ Credit report – Request a free copy of your credit report at www.annualcreditreport.com

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9. **Liabilities:** Please provide the original document setting forth the liability, as well as statements showing the most recent balance for each of the following:

- ☐ Mortgages
- ☐ Car and boat loans
- ☐ Personal notes, credit cards, and lines of credit

10. **Cash and Equivalents:** Please provide the latest statement for each of the following:

- ☐ Checking, savings, or money market accounts
- ☐ Certificates of Deposit

11. **Private Businesses:** Please provide copies of the following for private businesses of which you are an active member:

- ☐ Market value, if known
- ☐ Buy/Sell Agreements
- ☐ Bylaws
- ☐ Operating Agreements
- ☐ Current year Profit & Loss Statement and Balance Sheet
- ☐ Prior year Profit & Loss Statement and Balance Sheet if tax returns not yet filed
- ☐ Business Plans, if available

12. **Private Investments:** Please provide cost basis and current value of any private passive investment you own:

- ☐ Real Estate
- ☐ Oil and Gas
- ☐ Venture Capital
- ☐ Private Equity
- ☐ Other Private Corporate Ownership

13. **Notes Receivable:** Please provide a copy of the note, record of payments received, and the current balance, if available, for any loans you have made to others:

- ☐ Notes Receivable

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