FINANCIAL DOCUMENT CHECKLIST

Materials are assembled by the client and provided to the CDFA, this list may include but is not necessarily limited to the following:

- Personal/Partnership/Corporate Financial Statements for Client and Spouse
- Payroll Stubs for Client and Spouse – 3 most recent
- Monthly Expenses for Client and Spouse
- Pension Plan Statements (401k and any other work pensions) for Client and Spouse
    - Summary Plan Description
    - Benefits Booklet
    - Most Recent Statements
    - Benefits Estimate
        - At Earliest Retirement Age
        - At Normal Retirement Age
        - At Current Age (if Eligible)
        - Early Retirement Option Elections
- Social Security Statements for Client and Spouse
- Life Insurance Policies for Client and Spouse (Both personal and available through work)
- Tax Returns – Client, spouse, Joint for the last 3 years. Please include, as applicable:
    - Personal Tax Returns
    - W-2s and 1099s
    - Partnership/Corporate Tax Returns
    - Any amended Tax Returns
- Stock Options for Client and Spouse
    - Benefits Booklet
    - Most Recent Statements
- IRA, Roth IRA, Keogh, SEP, 401K, 403B, 457, & Non-Qualified Deferred Compensation Statements for Client and Spouse
- Primary Resident and Other Real Estate
    - Appraisal
    - Date of Purchase
    - Purchase Price
    - Original Mortgage Amount
    - Current Mortgage Amount (Latest Statement from Lender)
    - Interest Rate and Term
    - Monthly Payment (to include taxes and insurance)
    - Second Mortgage Information
- Checking Account Bank Statements and Cancelled Checks for Client's and Souse's Joint, Business, Partnership, and Corporate Accounts for the last 6 months
- Savings Accounts Statements for Client's and Spouse's Joint. Partnership, and Corporate Accounts for the last 3 years
- Investment, Money Market, Account Statements
- All Employee Benefit and Executive Compensation Books/Statements for Client and Spouse
- Wills, Trusts and Amendments or Codicils for Client, Spouse, Children
- Business or Partnership Agreement for Client or Spouse