

## Initial Meeting Guide

### Document Checklist

Please review this checklist as a guideline for documents to have available for your consultation.

#### Personal Documents

- A copy of your personal tax return (1040) for the last 2 years
- A copy of your most recent loan statements (home, auto, credit card, etc.)
- A copy of your most recent personal bank, brokerage, and mutual fund account statements
- A copy of your most recent retirement plan/IRA brokerage and mutual fund account statements
- A copy of the first 3 pages of all insurance policies and your most recent annual statements
- A copy of your latest employee benefit manual / statements
- A copy of wills, trusts, powers of attorney, healthcare powers of attorney, advanced directives (living wills), LLCs and FLPs
- Any other financial documents you want us to review

### Identifying your financial goals and objectives

In preparing for your consultation, please review the following goals and objectives and indicate their importance to you. Some of these will not apply – feel free to leave them blank. Please check the box that most accurately reflects the importance of each category to you at this time in your life.

#### Goals and Objectives

- |   | Very Important           |                          |                          |                          | Not Important            |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| • Having money readily available for emergencies and opportunities.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Providing for college funding for children or grandchildren.  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Avoiding unnecessary taxes.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Ensuring that your investments are properly structured to achieve your required rate of return and avoid taking a major loss. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Ensuring that your investments are in alignment with your moral and social values.  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Providing for adequate income in retirement.  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Ensuring that you are maximizing the efficiency and effectiveness of your charitable giving                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Having financial protection for your family in case of disability or premature death.   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Preparing your affairs to ensure a smooth transition of assets to family and beneficiaries at death.                          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Ensuring that you are able to transfer your business or practice to the next generation or other successors.                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |