Locker Financial Services, LLC

Checklist of Documents Needed for Financial Planning

The following documents are necessary for us to get a complete picture of your financial situation and to better serve you in the financial planning process. Not all items on the checklist will be applicable to your particular situation. There may be other items that are not listed but that we need to be aware of. All information will be kept confidential. We will make the necessary copies. Please contact our office if you have any questions.

I. Investments/Securities

Please provide the latest statement on each of the following:

- ❑ Checking Account
- ❑ Savings Account
- ❑ Credit Union
- ❑ Money Market Account
- ❑ Certificates of Deposit
- ❑ Bonds
- ❑ Stocks
- ❑ Mutual Funds
- ❑ Unit Investment Trust
- ❑ Variable Annuities
- ❑ Variable Life Insurance

II. Insurance Contracts

Please provide policy information and current policy statements/reports for each of the following, if applicable:

- ❑ Annuities
- ❑ Universal Life Insurance
- ❑ Whole Life Insurance
- ❑ Term Life Insurance
- ❑ Medical Insurance
- ❑ Disability Insurance
- ❑ Homeowner's or Renter's Insurance
- ❑ Automobile Insurance
- ❑ Umbrella Liability
- ❑ Professional Liability

III. Personal Assets

Please provide documentation showing the original purchase price and current market value for each of the following:

- ❑ Primary Residence
- ❑ Second Residence
- ❑ Rental Real Estate
- ❑ Automobiles
- ❑ Boats
- ❑ Personal Property such as Home Furnishing, Jewelry, Art, etc.

IV. Liabilities

Please provide statements showing the most recent balance, for each of the following (please be sure the percentage rate and length of loan is listed):

- ❑ Mortgages
- ❑ Personal Notes
- ❑ Credit cards
- ❑ Lines of Credit/Home Equity Loans

V. Retirement Plans

Please provide the most recent statement, beneficiary information and what investment options your plan offers from the following retirement plans, if applicable:

- ❑ IRA
- ❑ IRA Rollovers
- ❑ 401(k)/403(b)
- ❑ SEP
- ❑ Thrift Plan
- ❑ Profit Sharing Plan
- ❑ Employee Stock Option Plan
- ❑ Stock Purchase Plan
- ❑ Pension Plan
- ❑ Social Security Statement

VI. Tax, Personal, and Business Documents

- ❑ Federal Personal Tax Returns for the past two years
- ❑ Federal Business Tax Returns for the past two years
- ❑ Payroll stubs showing current earnings
- ❑ Current Will(s)
- ❑ Current Trust Agreement(s)
- ❑ Divorce Decree(s)
- ❑ Prenuptial Agreement(s)
- ❑ Business Interests
- ❑ Buy/Sell Agreements
- ❑ Deferred Compensation
- ❑ Stock Option/Bonus Plan
- ❑ Employer Benefits Booklet

VII. Questionnaires and Other Items

- ❑ Completed Spending Plan
- ❑ Completed Questionnaire

Miscellaneous Items, Notes, and/or Questions

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