DOCUMENTATION CHECKLIST

Please provide the following information in either electronic or paper/hard-copy format.

<u>All documents and statements[1] must be complete, including all pages.</u>

- ☐ Completed Financial Information Questionnaire
- ☐ Tax Returns, with amendments – Last three years
  - Personal Tax Returns
  - W-2s and 1099s – Last 3 Years
  - Partnership/Corporate Tax Returns
- ☐ Partnership/Corporate Financial Statements
- ☐ Payroll Stubs (3 most recent)
- ☐ Monthly Expenses (Use attached data sheets)
- ☐ Social Security estimates (from www.ssa.gov "Estimate your retirement benefits")
- ☐ Life Insurance Policies and Most Current Statements (Personal and Work)
- ☐ Pension Plans (Defined Benefit and Defined Contribution) including:
  - Summary Plan Descriptions
  - Benefits Booklets
  - Most Recent Statements
  - Benefit Estimates:
    - At Earliest Retirement Age
    - At Normal Retirement Age
    - At Current Age (If Eligible)
    - Early Retirement Option Elections
- ☐ Stock Options and Restricted Stock Grants
  - Stock Plan Agreement(s)/Award Letter(s)
  - Most Recent Statements

Please send paper documents by Registered Mail or other secure method to:
William H. Keffer, CFP®, CDFA™
Keffer Financial Planning
511 West Wesley Street
Wheaton, IL 60187

PDF documents may also be securely uploaded *to Egnyte.com. If this is your preference, let me know and I will send you a link.*

[1] Statements mean the most recent <u>statement provided by the financial institution</u>. Screen prints, excerpts, selected pages, or your own spreadsheets or Quicken reports will not suffice.

Keffer Financial Planning

- ☐ IRA, Roth IRA, Keogh, SEP, 401(k), 403(b), 457, & Non-Qualified Deferred Compensation Statements
- ☐ Primary Residence and Other Real Estate
    - Appraisal
    - Date of Purchase
    - Purchase Price
    - Current Tax Basis (if different)
    - Original Mortgage Amount
- ☐ Bank Checking Statements- Individual, Joint, Business, Partnership and Corporate Accounts
- ☐ Savings/Passbook Account Statements- Individual, Joint, Business, Partnership, and Corporate Accounts
- ☐ Investment Account Statements Including
    - Investment
    - Brokerage
    - Mutual Fund
    - Annuity
    - Individual Stocks and Bonds
    - Cash Value Life Insurance
- ☐ All Employee Benefit, Forgivable Loan and Executive Compensation Plan Documents, Booklets and Statements
- ☐ Wills, Trusts and Amendments or Codicils
- ☐ Business or Partnership Agreements
- ☐ Children's Bank, Savings, Insurance and Investment Account Statements
- ☐ Loan and Credit Card Statements-Individual, Joint, Business, Partnership & Corporate
- ☐ Up-to-Date Credit Report -visit www.ftc.gov/freereports for FTC-sanctioned resource
- ☐ Information on Any Cash or In-Kind Transactions
- ☐ Other: ____

Submitted by: ________________________________ Date: __________________