FINANCIAL STEWARD ASSOCIATES, LLC
planning, to enjoy the journey

List of Information Needed

1. List of your top 10 Goals (financial and/or personal)
2. Pay stubs for 1 full month or last year's and YTD profit and loss statement for self-employed individuals
3. Most recent investment and retirement account statements (Mutual Funds, Annuities, Brokerage Accounts, IRA's, 403(b), 401(k), etc. NOTE: You do not need to provide information for any accounts held at LPL.)
4. Recent mortgage statement(s)
5. Most recent Social Security Benefits statement (available online at www.ssa.gov)
6. Personal Spending Plan (Current expenses and any anticipated additional retirement expenses (travel, weddings, expensive hobbies, etc.)

If you have already provided these items at an initial meeting, you do not need to repeat your efforts. However, you may need to expand the information provided on the Personal Spending Plan.

INVESTMENTS/RETIREMENT: To prepare these sections of your financial plan, we need this additional information:

1. Employee benefits information (insurance, pension formula, stock options, deferred compensation, etc.)
2. Description of investments available within the pension and profit sharing plans.
3. Federal and state tax returns for the last two years. (The most recent year is sufficient if the previous year was similar.)
4. Most recent bank, credit union, and/or money market statements.
5. Annuity and/or life insurance policies/statements. (We need to know about the premiums, the amount of coverage, and the term of the coverage. NOTE: You do not need to provide information for policies purchased through Financial Steward Associates.)
6. Current information on any student loans, auto loans, HELOCs, etc. (We need to know the balances on the loans, annual percentage, time remaining, payment etc.)

Securities offered through LPL Financial, member FINRA/SIPC.

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Boulder, CO 80301
303 444 5440
303 444 6049 fax

INSURANCE: To prepare this section of your financial plan, we need this additional information:

1. Declaration pages for all insurance policies: life, disability, medical, auto, homeowners, umbrella, long-term care. NOTE: We do not need information on insurance coverage purchased through Financial Steward Associates.

2. What we are looking for: premiums, total amount of coverage, term of coverage, etc.

ESTATE: To prepare this section of your financial plan, we need this additional information:

1. Copies of Wills, Trusts, and Powers of Attorney documents
2. Beneficiary designations on all insurance, retirement, and other financial accounts.
3. Although we cannot provide legal advice, we can review to see if there are any areas we feel need to be addressed with your attorney.

EDUCATION: To prepare this section of your financial plan, we need this additional information:

1. Names and birthdates of child(ren)
2. Most recent statements of children's assets (529 plans, UTMA, UGMA, etc.), if any
3. Information regarding where the children may attend school (can be generic statement such as state school in Colorado, private school in California, etc.)
4. What percentage of the cost of education do you plan to provide?

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We know that this amount of information can seem overwhelming. You may provide it to us in manageable sections. We request that you prioritize the information listed in the first section and under Investments/Retirement.

Once you've signed your engagement letter, we will send you a link to log into our Wealth Vision financial planning software. The program will automatically take you through the onboarding process. You may link your accounts directly to Wealth Vision. If you link your accounts to Wealth Vision we request that you still provide the account statements.

To get your documents to our office, you have three options:

1. Upload them to the Wealth Vision Vault
2. Email them to financial.steward@lpl.com
3. Mail or drop off physical copies (we will return these to you)

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