NEWFOCUS
FINANCIAL GROUP
YOUR FUTURE. IN VIEW.

Pre-Appointment Document Checklist

THIS COPY IS FOR YOU TO KEEP. PLEASE MAKE SURE THAT YOU BRING OR MAIL EVERYTHING!

Use these boxes
for checking off:

- ☐ The Personal Financial Planning Questionnaire (if we gave one to you).
- ☐ Existing (written) financial and estate plans, including wills, trusts and POAs.
- ☐ Last two year's tax returns (including W-2, 1099 forms, gift, partnership, corporate, & trust data).
- ☐ Pay stubs for each spouse.
- ☐ Real estate holdings, including purchase price, current value, mortgage, debt information and P& L sheet.
- ☐ Bank statement info: CD amounts, due dates, interest rates, and penalties.
  - ☐ Checking account amounts and interest rates.
  - ☐ Savings account amounts and interest rates.
  - ☐ Savings bonds amounts.
- ☐ Retirement plan statements (IRA, SEP, Keogh, 401(k), TSA, etc.).
- ☐ Brokerage and annuity statements (current monthly and last quarter's statements).
- ☐ Employer-provided pension pension plan statements and plan summary information.
- ☐ Employer-provided ESOP and/or stock option statements.
- ☐ Employer-provided statements, employment/Key Person/Buy-Sell agreements.
- ☐ Personally owned & employer provided life, health, dental, and disability policies.
  You can also provide your employer provided benefit booklet if you wish.
- ☐ Auto, home, and personal liability insurance policies.
- ☐ Current social security statements.
- ☐ Wills, trusts, codicils, and other pertinent legal documents.
- ☐ Separation agreements, divorce decrees, guardianship, prenuptial, etc.
- ☐ Your top 3 financial concerns.
- ☐ Anything else you may wish to discuss.

We can make copies of documents in our office if you are unable to do so beforehand. In addition, we are pleased to return any documents that we may need to keep for any part of the planning process by certified or express mail.