

Meeting Preparation Guide

There is a lot of information needed to develop a comprehensive financial plan. Expect to have a "quantitative" and "qualitative" conversation to start the planning process.

Here is a checklist for what you'll need to provide for the quantitative, or numbers, side of the equation. Statements are ideal, but any format with this information will be enough to get started.

Personal Investment accounts such as:

- Banking – checking, savings, CD accounts
- Brokerage – investment accounts with mutual funds, stocks, etc
- Retirement accounts – IRAs and other retirement/pension accounts
- Other investment holdings such as annuities, private notes, partnerships
- Documents of any other valuable assets not mentioned above

Real Estate holdings including

- Primary home valuation (if applicable, include mortgage balance, interest rate, maturity date)
- Investment or rental properties (if applicable, include mortgage balance, interest rate, maturity date; rental income and expenses)

Workplace Finances

- Savings – 401(k) 403(b), 401(a)
- Deferred compensation (401) and annuities
- Stocks options and employee stock purchase plans
- Paycheck stub
- Employer booklets describing employer-provided:
 - Health care information
 - Benefits (reimbursements)

Insurance (either through employer or self-insured)

- Life Insurance
- Accidental Death & Dismemberment
- Disability
- Long-Term Care

Debts, including interest rate and amount owed, for such debts as:

- Credit Cards
- Auto Loans
- School Loans
- Other

Other

- Last year's tax return – first 2 pages
- Your most recent Social Security Statement, if available
- Will/trust information



Consider these qualitative questions as you think about your objectives and goals. We will discuss at our meeting.

What are your most important financial concerns or objectives? (List as many objectives as you'd like.)

- _____
- _____
- _____
- _____
- _____

What are your most important non-financial concerns or objectives? (Again, list as many objectives as you'd like.)

- _____
- _____
- _____
- _____
- _____

What are the best and worst financial decisions you have ever made (that you are willing to share!)?

How do you make your financial and investment decisions?

Do you feel optimistic or pessimistic about your future finances?

What do you want to accomplish with financial planning?

What are the keys to making the advisory relationship successful for you?

