



Information to bring to your 1st Financial Planning Appointment

This first financial planning appointment is meant to be a conversation to let us know what we can help you with, for us to be able to determine what you have in terms of dollars towards your financial goal (retirement, college planning, etc). By having this information we can accurately determine a starting point.

- 1 - The latest statement regarding any retirement plans that you have at your current place of work: 401(k), 403(b), 457, SEP-IRA, SIMPLE, profit sharing, etc including a list of current investment options to review what is available
- 2 - The latest statements regarding any retirement plans that you have left with previous employers
- 3 - If you have a pension at work, either with your current or a previous employer please bring whatever information you have regarding that pension – benefit amounts at various ages, criteria to be able to collect, etc. Most employers will provide you with a book regarding this benefit and possibly an annual statement regarding what you have available
- 4 - The latest statements you have regarding any IRA accounts you have – both traditional and Roth IRAs. This could be a brokerage statement, a statement from a mutual fund family, a statement from a bank, or an annuity statement depending on what you are invested in
- 5 - Social Security statement – the statement showing what you can collect at various ages. If you do not have one, go to ssa.gov/mystatement and you can print one to bring with you.
- 6 - The latest statement and, if available, the policy information for any annuities that you own. We are looking for what they are currently invested in, what the fees are, what the guarantees are, etc.
- 7 - For any life insurance: a copy of the policy. We are looking for the type of insurance, death benefits, current premiums and other specifics related to all policies that you have.
- 8 - The latest statements you have for any non-retirement brokerage accounts, mutual funds, individual stocks, limited partnerships, ETFs or other investments that you may hold.
- 9 - The latest statements you have for any college 529 set up for your children or grandchildren.
- 10 - If you have a substantial amount tied up in savings bonds, we want a total face value and a total amount of interest earned to date. You can go to treasurydirect.com/indiv to help calculate current value if you are not sure.
- 11 – Bring trust documents for any trusts that have been created.
- 12 - Any statements, investments, etc that you have a concern about not listed above

If you are unsure or cannot find something, we can always gather information later