



P L A N N I N G . A D V I C E . W E A L T H M A N A G E M E N T .

Document Checklist

StoneBridge Forms

- Risk Tolerance Questionnaire
- Living Expense Worksheet

Employment Information

- Employee Handbook & Benefit Statements or Website Access Information
- Most Recent Pay Stubs
- Employee Stock Options, Restricted Stock Awards, etc.

Legal Documents

- Wills
- Trusts (Revocable, Irrevocable, Life Insurance, Grantor, etc.)
- Financial Powers of Attorney
- Advance Medical Directives: Living Wills, Health Care Powers of Attorney, etc.
- Separation Agreements, Divorce Decrees, Pre/Post Nuptial Agreements, etc.

Tax Information

- Prior Year Personal Income Tax Return (Federal & State; including supporting schedules)
- Gift and Estate Tax Returns

Investments / Bank Accounts

- Bank Account & Credit Union Statements: Checking, Savings, Money Market, CD, etc.
- US Savings Bonds (list or copies)
- Investment Account Statements: Brokerage, Mutual Fund, Non-Qualified Annuity, etc.
- Stock Certificates (copies)
- Retirement Plan Statements (IRA, Roth IRA, SEP IRA, 401(k), 403(b), 457(b), Defined Benefit Pension, etc.)
- Education Account Statements (529 Investment & Prepaid Plans, Coverdell, UTMA/UGMA, etc.)

Insurance

- Life, Disability, Medical, Dental, Vision, and Long Term Care Insurance information
- Property & Casualty Declaration Pages (Homeowner's, Automobile, Excess Liability, Commercial, etc.)

Liabilities

- Mortgage Statement
- Other Loan Statements Including Interest Rate & Terms (Home Equity, Auto, Student Loans, Credit Cards, etc.)

Miscellaneous

- Social Security Statement Showing Estimated Benefits (www.ssa.gov) or Award Letter
- Pension Stubs
- List of Real Estate Holdings & Information
- List of Business Holdings & Information

NOTE: All items may not be applicable.

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