

The Document Checklist

Document Checklist for Building a Financial Model

The documents listed below are a critical part of building a Financial Model for you. While you may not have every document listed below, the process is much easier if you assemble those that you do have before we start working on your Model. Please gather these documents and bring them with you to our next meeting.

Investment Statements

- Stocks
- Bonds
- Mutual Funds
- Real Estate
- Limited Partnerships
- Dividend / Interest Statements
- Bank Statements
- Annuities
- Other _____

Insurance Statements

- Disability
- Medical & Hospitalization
- Automobile
- Homeowners
- Long-Term Care
- Umbrella
- Board of Director's Insurance
- Other _____

Income Tax Return

- Current Year Tax Projections
- Last Year
- Two Years Ago
- Three Year Ago
- Other _____

Loan Statements

- Mortgage Statement
- Auto Loan
- Personal Loans
- Credit Card Statements
- Notes Payable
- Other _____

Employee Benefits

- Pension / Profit-Sharing Plan (Illustrations)
- Employee Stock Ownership Statements
- Stock Option Summaries and Agreements
- Deferred Compensation Summaries and Agreement
- Insurance Benefits
- Employee Benefit Book
- Supplemental Employees Retirement Plans (SERPs)
- Other _____

Retirement Plans

- IRA/Keogh
- 401(k)
- Company Plans
- Annual Benefits Statements
- Social Security Statements

Expenses *(optional)*

- Checkbook & Cash Receipts
- Credit Card Statements
- Personal/Family Budget
- Other _____

Estate Items

- Wills/Codicils
- Trust Agreements
- Trust Tax Return
- Copies of Trusts where you are the beneficiary
- Gift/Estate Tax Return
- Power of Attorney Agreements
- Summary of expected gifts to family
- Other _____

Business Documents

- Valuations
- Buy-Sell Agreement and Tax Return
- Partnership Agreement and Tax Return
- Employment Agreement
- Deferred Comp. Agreement
- Financial Statements
- Incorporation Papers
- By-Laws
- Corporate Tax Returns
- (S-corp, C-corp, LLC)
- Other _____

Miscellaneous Documents

- Divorce Settlements or Decrees
- Alimony & Child Support Documents
- Prenuptial Agreements
- Appraisals of Personal Property
- Notes Receivable
- Purchase/Sale/Lease
- Pay Stubs
- Advisors
- Location of Documents
- Other _____