

## Financial Planning Document Checklist

Below are lists of documents that can help in the creation of your financial plan. Please provide all documents that have been indicated by a check mark. For ease, you may consider adding outside accounts to your Morgan Stanley Online account through Total Wealth View and/or uploading relevant documents to Digital Vault. If you have had a financial plan completed in the past, please provide a copy to your Financial Advisor.

### ☐ Investment Assets and Budget

- ☐ Bank Statements: Savings, Checking, Money Markets and CDs
- ☐ Investment Statements
  - Taxable Investments (e.g., Brokerage/Self-Directed, Managed, 529s, etc.)
  - Retirement Statements (e.g., 401(k), 401(a), 403(b), SEP, SIMPLE, IRAs, Roth IRAs, etc.)
  - Private Investment Statements (e.g., Private Equity, etc.)
- ☐ Retirement Income Statements (e.g., Pension, Social Security, etc.)
- ☐ Balance Sheet and/or Net Worth Statement
- ☐ Charitable Investment Statements (i.e., Donor-Advised Funds)
- ☐ Other Personal Assets and Investments: \_\_\_\_\_

### ☐ Insurance and Annuity Statements

- ☐ Life Insurance Policies (e.g., Inforce Illustration, Statement, etc.)
- ☐ Long-Term Disability Policies (i.e., Statement)
- ☐ Long-Term Care Policies (i.e., Statement)
- ☐ Annuity Statements
- ☐ Property/Casualty Insurance Policies
- ☐ Umbrella Policy Statement
- ☐ Homeowner Policy Statement (if not utilizing Escrow Account)
- ☐ Homeowner Declaration Page
- ☐ Other Policies: \_\_\_\_\_

### ☐ Executive Compensation Statements

- ☐ Stock Options (i.e., NQSO, ISO)
- ☐ Restricted Stock (i.e., RSU, RSA, PSU)
- ☐ Employee Stock Purchase Plan
- ☐ Stock Option Agreements
- ☐ Employee Stock Ownership Plan Statement
- ☐ Private Company Statement (i.e., 409(a) valuation)

### ☐ Liability Statements

- ☐ Mortgage Statements
- ☐ Home Equity Loan Statements
- ☐ Security Based Loan Statements
- ☐ Student Loan Statements
- ☐ Other Loan Statements (e.g., Margin, Auto, Personal, etc.)

### ☐ Estate Planning Documents

- ☐ Last Will and Testament
- ☐ Living Will
- ☐ Durable Powers of Attorney
- ☐ Health Care Proxies
- ☐ Revocable Living Trusts
- ☐ Irrevocable Trusts

### ☐ Tax Documents

- ☐ Most recent Tax Return
- ☐ Year-to-Date Pay Stub for prior and current years
- ☐ Gift Tax Return for latest year
- ☐ Irrevocable Trust Income Tax Return

### ☐ Business Ownership Documents

- ☐ Agreements (e.g., Operating, Partnership, Articles of Incorporation, etc.)
- ☐ Business Tax Returns for prior year(s)
- ☐ Business Income Statement and Balance Sheet
- ☐ Business Account Statements
- ☐ Business Buy-Sell Agreement and applicable Insurance Statement

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