Morgan Stanley

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

Notes

Morgan Stanley and its Financial Advisors do not provide tax or legal service. Consult your personal tax advisor or attorney for matters involving taxation and tax planning and your attorney for matters involving personal trusts and estate planning.