

Sather Financial Group, Inc.
Private Wealth Managers

**Checklist of Documents Needed for
Financial Planning**

The following documents are necessary for us to get a complete picture of our financial situation and to better serve you in the financial planning process. Not all items on the checklist will be applicable to your particular situation. There may be other items that are not listed but that we need to be aware of. All information will be kept confidential. Please contact our office if you have any questions.

I. Cash and Equivalents

Please provide the latest statement on each of the following:

- Checking Account
- Saving Account
- Credit Union
- Money Market Account
- Certificates of Deposit

II. Notes Receivable

Please provide a copy of the note, record of payments received, and the current balance, if available, for any loans you have made to others:

- Notes Receivable

III. Securities

Please provide the latest statement for all investment accounts; include copies of securities if held personally, and a purchase/confirmation showing how the securities were acquired and the cost (or other basis if gift or inheritance) for each of the following:

- Bonds
- Stocks
- Mutual Funds
- Unit Investment Trusts
- Variable Annuities
- Variable Life Insurance

IV. Limited Partnerships

Please provide a prospectus, documentation of purchase price, number of units, and current value if known:

- Real Estate
- Oil and Gas
- Equipment Leasing
- Venture Capital
- Other

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V. Insurance Contracts

Please provide policies and any current policy statements/reports for each of the following, if applicable:

- Single Premium Annuities
- Flexible Premium Annuities
- Single Premium Life Insurance
- Universal Life Insurance
- Whole Life Insurance
- Term Life Insurance
- Medical Insurance
- Disability Insurance
- Homeowner's or Renter's Insurance
- Automobile Insurance
- Umbrella Liability
- Professional Liability

VI. Personal Assets

Please provide documentation showing the original purchase price, closing papers (if applicable), and current market value for each of the following:

- Primary Residence
- Second Residence
- Rental Real Estate
- Automobile (copy of auto title)
- Boats (copy of boat title)
- Personal Property such as Home Furnishings, Jewelry, Art, etc.

VII. Liabilities

Please provide the original document setting forth the liability, as well as statements showing the most recent balance, for each of the following:

- Mortgages
- Personal Notes
- Credit Cards and Lines of Credit

VIII. Retirement Plans

Please provide the most recent statement and beneficiary information from the following retirement plans, if applicable:

- IRA
- IRA/Rollovers
- Keogh
- SEP
- Thrift Plan
- Profit Sharing Plan
- ESOP or PAYSOP
- Stock Purchase Plan
- Pension Plan

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ADVISERS

Names, addresses and telephone numbers (work & home):

1. Attorney: _____

2. Accountant: _____

3. Life insurance adviser: _____

4. Banker and trust officers: _____

5. Stockbrokers: _____

6. Executor: _____

7. Trustee: _____

8. Designated guardian for children: _____

9. Investment adviser: _____

10. Financial planner: _____

11. Physician: _____

12. Clergyman: _____

13. Casualty insurance agent: _____

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Location of Assets and Documents

1. Safe deposit box (location of box, who has access, who has keys, in whose name is box registered):

2. Original current wills: _____
3. Life, health and accident insurance policies: _____

4. Passbooks (location): _____

5. Securities: _____

6. Trust agreements: _____

7. Tax returns; years covered: _____

8. Contracts and business agreements: _____

9. Real estate and condominiums: _____
 - a. Location and how owned: _____
 - b. Deed and title policy: _____
 - c. Mortgages: _____
 - d. Leases: _____
10. Car titles: _____

11. Custody and other Managed accounts: _____

12. Jewelry and other valuable tangibles: _____

13. Cancelled checks and stubs; period covered: _____
14. Cemetery plot(location of plot and deed; care arrangements): _____

15. Birth Certificates: _____

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- 16. Death Certificates: _____
- 17. Marriage Certificates: _____
- 18. Divorce papers: _____
- 19. Employee benefit statements: _____

- 20. Employee benefit plan copies: _____
- 21. Military discharge papers: _____
- 22. Naturalization papers: _____
- 23. Passports: _____
- 24. Adoption papers: _____
- 25. General insurance policies: _____
- 26. Private safe: _____
- 27. Firearms and registration requirements: _____
- 28. Funeral directions: _____
- 29. Living wills: _____
- 30. Entitlements (Social Security, veterans, etc.): _____

POWER OF ATTORNEY outstanding, including bank accounts and safe deposit access and health care decisions. Give dates and names (obtain copies; show: attorney in fact; address; description of power; date):

