New Client Document Checklist

The documents, statements, and information requested on the following pages are crucial to understand your full financial picture. When providing documents, please provide all pages of your most recent statement.

The items listed will be used to establish management and service of your accounts, analyze your situation, and tailor a financial plan to meet your goals. Not every item will apply to you. Please feel free to contact us with questions.

Person 1: ______________________________

Person 2: ______________________________

OFFICE USE

ONBOARDING DOCUMENTS

These documents will be used to establish management and service of your accounts.

1	2	N/A	
☐	☐	☐	Investment account statements
☐	☐	☐	Retirement account statements *(IRA, Roth, 401(k), 403(b), INPRS, etc.)*
☐	☐	☐	Trust documents *(if applicable)*
☐	☐	☐	Voided check

FINANCIAL DOCUMENTS

- ☐ ☐ ☐ Bank/credit union statements *(checking, savings, CD, etc.)*
- ☐ ☐ ☐ Credit and charge card statement(s) (Even if you do not carry a balance.)
- ☐ ☐ ☐ Mortgage statement(s) (If your mortgage has an ARM, please provide original contract.)
- ☐ ☐ ☐ Auto loan or lease statement(s)
- ☐ ☐ ☐ HSA, FSA, & medical reimbursement account statement(s)
- ☐ ☐ ☐ Educational savings account statement(s) *(529, savings, etc.)*
- ☐ ☐ ☐ Annuity policies & statement(s)
- ☐ ☐ ☐ Pension & profit-sharing statement(s)
- ☐ ☐ ☐ Home equity and/or personal line of credit statement(s)

Annual Cashflow Analysis (to be completed prior to Alignment)
Download the worksheet: https://www.hffinancial.com/materials/

BANK/CU ACCT

BANK/CREDIT UNION	TYPE	AVG BALANCE

CREDIT CARDS

CREDIT CARD	APR	AVG BALANCE

**Additional bank, CU, and CC lines on last page.*

RETIREMENT & ESTATE PLANNING DOCUMENTS

- ☐ ☐ Social Security statement. Benefit Verification Letter if retired *(available at ssa.gov)*
- ☐ ☐ ☐ Employee benefits handbook
- ☐ ☐ ☐ Employee benefits election summary
- ☐ ☐ ☐ Summary of will, living will, trust, and powers of attorney

ESTATE DOCS: ☐ CURRENT ☐ NEED TO BE UPDATED ☐ NONE

ESTATE ATTORNEY (IF APPLICABLE) : ______________________________

Employer benefits handbooks are often found online as a PDF. If a download is not available, screenshots are a great way to share this information.

TAX DOCUMENTS

- ☐ ☐ Most recent, full federal and state tax return
- ☐ ☐ ☐ W-2s
- ☐ ☐ ☐ Recent paystub(s)

MY TAX RETURN IS PREPARED BY:
☐ CPA/ACCOUNTANT ☐ TURBO TAX/APP
☐ H&R BLOCK or SIMILAR ☐ SELF-PREPARED

CPA/ACCOUNTANT (IF APPLICABLE:) ______________________________

INSURANCE DOCUMENTS

1	2	N/A	
☐	☐	☐	Disability insurance policies & statements
☐	☐	☐	Life insurance policies & statements
☐	☐	☐	Long-term care insurance policies & statements
☐	☐	☐	Home & auto insurance policies & statements
☐	☐	☐	Boutique/other insurance policies & statements

INSURANCE AGENTS/PROVIDERS:

PHYSICAL ASSETS: VEHICLES

	DRIVER	YEAR	MAKE & MODEL	LOAN OR LEASE
☐ Vehicle # 1				
☐ Vehicle # 2				
☐ Vehicle # 3				
☐ Vehicle # 4				

If additional vehicles exist, please provide details below.

PHYSICAL ASSETS: REAL ESTATE

- ☐ Primary Residence
- ☐ Second Home/Vacation Home
- ☐ Land or Rental Property

REAL ESTATE DETAILS:

ADDITIONAL DOCUMENTS FOR SMALL BUSINESS OWNERS

☐ N/A

- ☐ List of business assets & liabilities
- ☐ Tax return, profit & loss statement
- ☐ Business agreements (buy/sell agreement)
- ☐ Business liability, director & officer insurance policies

BUISNESS OVERVIEW:

ADDITIONAL INFORMATION

BANK/CREDIT UNION/CREDIT CARD ACCTS

BANK/CU/CC	TYPE/APR	AVG BALANCE