Schaefer Financial
MANAGEMENT

Document Checklist

Please use the list below as a guide to gather your statements and documents. Be sure to include any other statements specific to you that are not listed below and upload them to your Client Portal. The ability to analyze the most recent statements or documents of your assets and liabilities will give us an accurate snapshot of your current financial situation.

Confidentiality and protection of your personal information is of the highest importance to Schaefer Financial Management, Inc. We will not disclose any information about you to anyone-including your employer, accountant, attorney, or family members – without your permission.

Cash and Equivalents

Latest statements on each of the following:

- ☐ Checking Account
- ☐ Savings Account
- ☐ Credit Union
- ☐ Money Market Account
- ☐ Certificate of Deposit

Investments

Latest statements for all investment accounts:

- ☐ Bonds
- ☐ Stocks
- ☐ Employer Stock Options / Restricted Share Unites (RSUs) / Performance Shares
- ☐ Mutual Funds
- ☐ 529 Plans
- ☐ Variable Annuities
- ☐ Variable Life Insurance

Retirement Plans

Most recent statements and beneficiary information from the following retirement plans:

- ☐ Roth IRAs, including cost basis
- ☐ IRA/Simple IRA
- ☐ 401(k)
- ☐ SEP
- ☐ Thrift Plan / 403(b) / TSA / 401(k) / 457
- ☐ Profit Sharing Plan
- ☐ ESOP
- ☐ Stock Purchase Plan
- ☐ Pension Plan
- ☐ Non-Qualified Plan

Real Estate / Personal Assets

Documents 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
- ☐ Other (Autos, boats, home furnishings, jewelry, art etc.)

Limited Partnerships
Prospectus, documentation of purchase price, number of unites, and current value (if known):

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

Liabilities
Documents setting forth the liability, as well as statements showing the most recent balance for each of the following:

- ☐ Mortgages and Lines of Credit
- ☐ Credit Cards

Notes Receivable
Details on loans you have made to others

- ☐ Copy of Note(s)
- ☐ Record of payments received
- ☐ Current balance

Tax, Personal, and Business Documents

- ☐ Personal Tax Returns from the past two years
- ☐ Business Tax Returns from the past two years

Insurance Contracts
Policy Declaration page and any current policy statements / reports for each of the following:

- ☐ Life Insurance
- ☐ Medical Insurance
- ☐ Disability Insurance
- ☐ Homeowner’s or Renter’s Insurance
- ☐ Automotive Insurance
- ☐ Umbrella Liability
- ☐ Professional Liability

Employment Information / Benefit Statement
Copy of your employment contract, compensation arrangement, including summary plan descriptions, and employer benefits

- ☐ Payroll Statements showing current earnings
- ☐ Business Interests
- ☐ Buy/Sell Agreements
- ☐ Deferred Compensation
- ☐ Stock Options / Bonus Plan

Legal / Estate Planning Documents

- ☐ Estate Planning Documents (Will, Trusts, Healthcare and/or Durable POAs, Living Wills)
- ☐ Divorce Decree(s) / Separation Agreement(s)
- ☐ Prenuptial Agreement(s) / Postnuptial Agreement(s)