DATA CHECKLIST

Accurate data is required to produce a good financial plan. To assist us in gathering this data we ask that you provide us with all pertinent financial, legal, business and employment information. Please use the checklist below to assist you in gathering the data that will be needed.

Please bring copies of documents or statements when possible. Any originals will be copied at our office and returned to you at a subsequent meeting.

- ☐ Tax returns - both state and federal (2 years)
- ☐ Individual and group insurance policies (life, disability, long term care, etc)
- ☐ Life insurance statements showing current and future cash values
- ☐ Employee group benefits books - data on all retirement plans: Pension, Profit-Sharing, 401K, etc.
- ☐ List of assets including securities, real estate, and other investments. Please include the market value of your home and any mortgages on it. <u>Include most recent brokerage and mutual fund statements.</u> (provide complete statements, all pages – preferably not web summary printouts)
- ☐ List of debt including car loans, student loans, consumer loans, and credit card debt
- ☐ Most current statements for: Pension, Profit-Sharing, Deferred Compensation, IRA, 401K, 403b, etc (provide complete statements, all pages – preferably not web summary printouts)
- ☐ Two most recent paycheck stubs
- ☐ Social Security statement(s) (These can be found at ssa.gov)
- ☐ If you track your cash flow, please include a copy of Quicken report (or other software) showing average monthly expenditures by category
- ☐ Any other records, documents or agreements which have a bearing on your personal or business finances and taxes. These may include copies of trusts, wills, divorce agreements, partnership agreements, etc.

NAME		DATE	
NAME		DATE	

CONFIDENTIAL QUESTIONNAIRE

At Birchwood, we believe that clarification of a person's goals needs to take place early in the financial planning process. Clearly stated goals help to crystallize the financial objectives you will try to achieve.

This questionnaire covers topics and issues that will begin the process towards realizing your goals. We hope this questionnaire will initiate thought and/or conversation. If you are coming to Birchwood as a couple, we suggest both of you participate in the completion of this questionnaire together. If completing the form is helpful for you, please do so in advance of our meeting.

Your privacy is important to us. All information is confidential.

GOALS

- What are your short-term goals? (1-3 Years)
- What are your long-term goals? (3+ Years)
- What would "financial independence" mean to you?
- If money wasn't an issue, what would you do with your life? What would your life be like?
- Are you happy with your life from a financial perspective?
- What do you feel are your 2 biggest financial struggles?

Cash Flow

- Do you track expenses? If so, how? If not, is this a concern?
- Over the next 5 years, do you anticipate any major alteration of your current standard of living?
- What, if any, major cash outlays do you expect within the next 5 years? Historically how have you handled these expenditures?
- Do you foresee any income changes?
- Do you anticipate the receipt of any substantial sums of money in the next 5 – 10 years?
- What is your debt situation?
- What current change could be made to your spending?
- Do you feel that you have "extra" money after all your expenses have been paid? If yes, how much?

Retirement

- Do you anticipate being in your current home or somewhere else when you retire?
- When do you want to retire?
- Do you anticipate continuing to do some paid work during "retirement"?
- How much do you need/want to live on in retirement per month?

INVESTMENTS

- How have you determined your investment choices in the past?
- What is the best investment you have ever made?
- What is the worst investment you have ever made?
- Some investors feel that particular investments or economic areas are inappropriate for certain reasons (legal, moral, religious, etc.) Accordingly, do you wish to specify particular investment restrictions or prohibitions? If yes, what areas do you wish to avoid?
- Are there any investments that you would be reluctant to sell (due to past performance, family or special reasons)?
- Are you interested and/or motivated by Sustainable, Responsible, Impact Investing?

EDUCATION

- Do you plan to assist your child(ren) or grandchild(ren) with higher education costs? If so, how much? (Per child, per year in today's dollars)

INSURANCE

- Do you have Medical_____Disability______Life______Long term Care ______
- How have you made insurance decisions in the past?
- Where/how did you buy it?

ESTATE

- Do you have a will? If not, why?
- When was it drafted or updated last? Attorney name and number.
- Do you have trusts, health care directives and powers of attorney?
- Is it important to you to end retirement with assets to pass on to family or others?

FINANCIAL PLANNER RELATIONSHIP

- What would you like to accomplish through working with us?
- What are your most important financial concerns?
- What are the keys to making this relationship successful for you?
- What are your expectations of us as your financial planner?
- Three years from now what will need to have happened between now and then for you to feel satisfied with your progress?
- Have you ever worked with a Financial Planner before?
  If so, how was that experience?

Directions from the South

Take 35W north.
Go west onto I-494 W exit 9B to the Penn Ave exit- (exit 6A) go north on Penn which is the right fork in the ramp.
At the next stoplight turn left onto 78th St W and go approximately 9 blocks (this is a frontage road on the north side of 494)
Cross over Xerses and take the first right to enter the parking lot. Once you enter the driveway veer right towards Edinborough Corporate Center.
Enter at the main (east) entrance and take the elevator to the 6th floor, Suite 610.

Directions from the East

Take I-494 west to Penn Ave exit- exit 6A.
) go north on Penn which is the right fork in the ramp.
At the next stoplight turn left onto 78th St W and go approximately 9 blocks (this is a frontage road on the north side of 494)
Cross over Xerses and take the first right to enter the parking lot. Once you enter the driveway veer right towards Edinborough Corporate Center.
Enter at the main (east) entrance and take the elevator to the 6th floor, Suite 610.

Directions from the West

Take I-494 S. and go east to the France Ave exit- exit 6B.
Turn Left or north onto France Ave S, go to Minnesota Drive.
Take a right on Minnesota Drive and follow to the stop sign. Take a right at the stop sign on Edinborough Way.
Follow Edinborough Way and turn left on the second driveway. Once you enter the driveway veer right towards Edinborough Corporate Center.
Enter at the main (east) entrance and take the elevator to the 6th floor, Suite 610.

Directions from the North

Take 35W south
Take the 76th St exit- exit number 9C
Turn right or west onto 76th St W. and go approximately 1 mile.
Take a left on York Ave. and a right at the first driveway. Immediately turn left and come to the back of the building. Look for the entrance to Edinborough Corporate Center.
Enter at the main (east) entrance and take the elevator to the 6th floor, Suite 610.