Planning Engagement Checklist

COMPASS FINANCIAL SERVICES

Please bring the following items to your appointment on:____________________ at:______________

❑ Federal/State Income Tax Returns (prior year)

❑ Recent Paycheck Stubs (covering full calendar month)

❑ Social Security Benefit Estimate Statement(s)

❑ Private or Public Pension Benefit Statement(s)

❑ Debt Account Statements:
- Mortgage Home Equity Loan Auto Loan(s)
- Credit Cards Charge Accounts Student Loans
- All Other Debt Documentation

❑ Investment or Retirement Account Statements:
- Profit Sharing Plan IRA's TSA
- Thrift Savings Plan (TSP) 457 Keogh
- 529 or College Savings Plans SARSEP IPERS
- ESOP Employee Stock Plan DRIPs 401(k)
- Mutual Fund Accounts SIMPLE SEP
- Brokerage Accounts 403(b) Pension
- Money Market Accounts

❑ Listing of Stocks Held Outside of Brokerage Accounts
- Certificates (list number of shares owned)
- Direct Registration Shares (most recent statement)

❑ Listing of CD's Including:
- Name of Bank Date Opened MaturityDate
- Face Amount Interest Rate

❑ Annuity Statements and Contracts

❑ Insurance Policies:
- Life Insurance
- Disability Income Insurance
- Long Term Care Insurance

❑ Miscellaneous Statements:
- Deferred Compensation Plan
- Stock Option Vesting
- Non-Traded REIT / Limited Partnership

ADVISOR NOTES:

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