

Document Inventory
 Mote Wealth Management, LLC
 Confidential

Client Name _____ **Date** _____

Documents that may pertain to your areas of interest and reasons for meeting with us. Examples include:

General Financial Planning – including documents from prior financial planning engagements

- 1. Yes No Financial Planning Agreement _____
- 2. Yes No Investment Survey Results, risk/reward profile
- 3. Yes No Limited Power of Attorney (LPOA)
- 4. Yes No Financial Planning Questionnaire
- 5. Yes No Cash-flow worksheet (budget), income and expense details
- 6. Yes No Comprehensive Planning/Retirement Projection Report

Investment/Savings Account statements

- 7. Yes No Employer plan (401k, 403b, 457...) _____
- 8. Yes No Employer plan (401k, 403b, 457...) _____
- 9. Yes No IRA _____
- 10. Yes No IRA _____
- 11. Yes No Roth IRA _____
- 12. Yes No Roth IRA _____
- 13. Yes No Brokerage/taxable _____
- 14. Yes No Brokerage/taxable _____
- 15. Yes No Brokerage/taxable _____
- 16. Yes No CD/Bank _____
- 17. Yes No CD/Bank _____
- 18. Yes No Other _____

Retirement

- 19. Yes No Social Security estimate form _____
- 20. Yes No Social Security estimate form _____
- 21. Yes No Pension estimate form _____
- 22. Yes No Pension estimate form _____
- 23. Yes No Pension estimate form _____
- 24. Yes No Employer Benefits summary _____
- 25. Yes No Employer Benefits summary _____



Tax

- 26. Yes No Tax returns for last year, 200____. (personal and business when applicable)
- 27. Yes No Tax return for year, before last 200____. (personal and business when applicable)

Insurance Policies

- 28. Yes No Life _____
- 29. Yes No Life _____
- 30. Yes No Life _____
- 31. Yes No Life _____
- 32. Yes No Auto _____
- 33. Yes No Homeowners _____
- 34. Yes No Long-term Care _____
- 35. Yes No Long-term Care _____

Estate Planning

- 36. Yes No Will _____
- 37. Yes No Will _____
- 38. Yes No Living Wills/Advanced Directives _____
- 39. Yes No Trust _____
- 40. Yes No Trust _____
- 41. Yes No Trust _____

Educational Funding

- 42. Yes No 529 plan, UTMA, UGMA _____
- 43. Yes No 529 plan, UTMA, UGMA _____
- 44. Yes No Loan _____
- 45. Yes No Loan _____
- 46. Yes No Loan _____

Other Documents of interest

- 47. Contracts, divorce, limited partnerships, buy/sell, etc.
- 48. Employer stock Option agreements
- 49. _____
- 50. _____
- 51. _____
- 52. _____