Executive Document Request List

A guided, fillable checklist for gathering the financial and equity-linked compensation records we need to build your plan.

This form has interactive fields — type directly into the blanks and click the checkboxes.
Please return completed items via secure upload or in person at your next meeting.

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ABOUT THIS REQUEST

The following documents and information regarding your current financial state and equity-linked compensation will help us develop strategies for you and your family to achieve your wealth goals.

Check off each item as you gather it, and use the field provided to note where each document is located or any relevant details. A Personal Data Sheet is included near the end of this packet for you to complete.

HOW TO RETURN THESE ITEMS

Please upload documents through the secure client portal.

> **COMPLETING THIS FORM ON SCREEN**
>
> Type directly into the fields and click the checkboxes as you go, using a PDF reader such as Adobe Acrobat Reader or Preview. Use Tab to move between fields.
>
> Save your file periodically (Ctrl/Cmd+S) so your entries aren't lost. When finished, upload the saved PDF through the secure client portal, or bring it to your next meeting.

FINANCIAL ACCOUNT STATEMENTS

Please provide copies of most recent month-end statements for the following:

- ☐ 401(k)
- ☐ Roth 401(k)
- ☐ 403(b)
- ☐ IRA (Traditional and/or Roth)
- ☐ Deferred compensation or pension
- ☐ DAF / charitable entities
- ☐ Children's accounts
- ☐ Family trusts

ACCOUNT BALANCES

ACCOUNT TYPE (CHECKING, SAVINGS, CD)	ACCOUNT HOLDER	INSTITUTION	BALANCE ($)

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INCOME

	SPOUSE 1	SPOUSE 2
Salary		
Bonus		
Equity-Linked Compensation		
Other		
Other		
Other		

EMPLOYER PLANS

Please provide current copies of the following from your employer, if applicable:

- ☐ Stock Plan Agreement
- ☐ Offer Letter
- ☐ Summary Plan Description (SPD)
- ☐ Employment Contract / Executive Compensation Agreement
- ☐ Equity Award Grant Notice(s)
- ☐ Employee Benefits Guide / Enrollment Summary
- ☐ Non-Qualified Deferred Compensation Plan Document
- ☐ Most recent Form W-2 or pay stub

RECURRING EXPENSES

Please provide your typical monthly spending in the categories below.

Utilities (electricity / gas / water)		Travel	
Gasoline / fuel		Clothing	
Telephone		Groceries	
TV / streaming		Entertainment	
Internet		Dining out	
Maintenance		Life insurance premiums	
Security system		Disability insurance premiums	
Cleaning service		Auto insurance premiums	
Landscape service		Subscriptions / memberships	
HOA dues			

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OUTSTANDING LOANS

Please list all outstanding loans (mortgage, auto loans/leases, student loans, medical debt, etc.), including principal, term, and rate.

DESCRIPTION	PRINCIPAL ($)	TERM	RATE (%)	MONTHLY PAYMENT ($)

CREDIT CARDS

Please list all credit cards with outstanding balances.

CARD / ISSUER	CARDHOLDER	BALANCE ($)	RATE (%)	MONTHLY PAYMENT ($)

REAL ESTATE

List all personal and investment real estate.

ADDRESS	DESCRIPTION	OWNERSHIP	COST BASIS ($)	FMV ($)	AMOUNT OWED ($)

INSURANCE

Please provide current copies of the following:

- ☐ Life insurance policies
- ☐ Personal & casualty insurance policies
- ☐ Disability insurance policies
- ☐ D&O insurance policies

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TAX RETURNS

Please provide most recent year:

- ☐ Income tax returns
- ☐ Gift tax returns

TRUST & ESTATE DOCUMENTS

Please provide current copies of the following:

- ☐ Wills
- ☐ Revocable trusts
- ☐ Powers of attorney
- ☐ Living wills
- ☐ Healthcare proxies
- ☐ Family LLC / LP operating or partnership agreement
- ☐ Existing pre- and post-nuptial agreements

CLIENT PROFILE

Personal data sheet

Please complete the information below for each spouse/partner. This information helps us build a complete picture of your household and coordinate with your broader team of advisors.

	SPOUSE 1	SPOUSE 2
Name		
Date of birth		
Citizenship		
Occupation / title		
Employer		
Business address		
Business phone		
Business email		
Home address		
Home phone		
Cell phone		
Home email		

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CHILDREN

NAME	DATE OF BIRTH	PARTNER / SPOUSE NAME

Thank you

We appreciate you taking the time to gather this information. It allows us to build a complete and accurate picture of your financial life so we can develop strategies tailored to you and your family's goals.

LAST STEP: SAVE YOUR COMPLETED FORM

Save this PDF with your entries (Ctrl/Cmd+S, or File > Save As).

Return the saved PDF through the secure client portal, along with the documents checked off above. Please do not send it by unencrypted email.