

Financial Planning Checklist

Please use this checklist as a guide to collect and organize your financial information.

Personal

- Estimate of annual household expenses (excluding taxes)
- Federal and State Income Tax Returns (most recent filed, including K-1's)
- Personal property appraisals, if relevant
- Business valuation appraisals, if relevant

Employer information

- Current paycheck stub
- Summary of company benefit plans and annual benefits summary—if available
- Deferred compensation and/or bonus deferral plans
- Stock option and/or restricted share statements
- Other company benefit plans
- Group life and disability summary

Savings and investments

- Bank statements (checking, savings, CDs)
- Investment statements (stocks, brokerage, mutual funds)
- Annuity statements
- Summary of real estate investments
- Education savings accounts (529 Plans, UGMA/UTMA, Coverdell Savings, Trusts)

Retirement funding

- Retirement savings accounts (traditional IRA, Roth IRA)
- Retirement plan statements (401(k), 403(b)/TSA, Keogh)
- Employer-sponsored pension plan (statement indicating expected benefit)
- Social security benefit statements, if available

Loans and liabilities

- Mortgage, Home Equity Loan and other loan statements

Insurance information

- Life Insurance statements
- Disability Insurance statements
- Long-term Care Insurance statements

Estate Plan

- Wills, Power of Attorney documents, advanced health care directives
- Revocable and irrevocable trust documents
- Gift Tax Returns (most recent filed)

Important information about our financial planning services

As a firm providing wealth management services to clients, UBS Financial Services Inc. offers both investment advisory services and brokerage services, which are separate and distinct, differ in material ways and are governed by different laws and separate arrangements. It is important that clients understand the ways in which we conduct business and that they carefully read the agreements and disclosures that we provide to them about the products or services we offer. For more information visit our website at ubs.com/workingwithus. In providing financial planning services, we may act as a broker-dealer or investment adviser, depending on whether we charge a fee for the service. The nature and scope of the services are detailed in the documents and reports provided to clients as part of the service. Financial planning does not alter or modify in any way a client's existing account(s) or the terms and conditions of any account agreements they may have with UBS.

UBS Financial Services Inc., its affiliates, and its employees do not provide tax or legal advice. Clients should speak with their independent legal or tax advisor regarding their particular circumstances.