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Please provide us with the following forms and documents to help us in preparation of your financial plan:

1. Completed **questionnaire** downloaded from our website ([www.sasadvisors.com](http://www.sasadvisors.com))
2. **Assets**
  - a. Current bank statement
  - b. Current brokerage/mutual fund statements with original cost basis of securities if known for:
    - i. after-tax accounts
    - ii. retirement accounts from previous employers (including rollover IRA, 401(k), 403(b), SEP-IRA) and traditional and Roth IRAs
    - iii. trust accounts for benefit of your family
3. **Debt, other than mortgage**
  - a. Current credit card statements including balances carried forward
  - b. Loan statements - car, boat, 2<sup>nd</sup> home, with monthly payment, interest rate, type of loan, principal balance remaining, purpose of loan
4. **Personal Residence**
  - a. Cost basis
  - b. Current appraisal or estimated market value
  - c. Mortgage statement with monthly payment, interest rate, type of loan, principal balance remaining, purpose of loan
5. **Commercial/Rental Property**
  - a. Property Type (Single Family Home/Vacation Home, Multifamily, Office, Industrial, Storage etc.)
  - b. Income
  - c. Expenses (mortgage, insurance, property taxes, improvement, home owner's dues, property management fees, etc.)
  - d. Depreciation

## **6. Dependents**

- a. Any special needs for parents, children?
- b. Educational savings accounts – 529, Coverdell, UTMA (Uniform Transfer to Minors Act)

## **7. Employment**

- a. Pay stub
- b. Employment contract, if you have one
- c. Retirement plan
  - i. Current statement
  - ii. Choice of investment funds and plan details, including employer match
  - iii. % allocated and amount contributed/paycheck to retirement
  - iv. Summary plan document
- d. Health plan option selected (HMO, PPO, Health Savings Account)
- e. Life and disability coverage
- f. Flexible spending plan, contributions and rules
- g. Opt-in benefits such as long-term care insurance, legal aid, alternative medicine
- h. Statement of Employee Stock Purchase Plan Accounts
- i. Stock compensation – details of grants, vesting schedule, type (incentive stock options, non-qualified stock options, restricted stock units)

## **8. Small business**

- a. Profit and loss statement
- b. Balance sheet
- c. Valuation of business
- d. Buy-sell agreements

## **9. Taxes**

- a. 1099 income or schedule C
- b. Tax return for last year, K-1, corporate tax return
- c. Children's tax return, if claimed as dependents
- d. Details of non-wage outside income for past year and projections for next year

## **10. Insurance coverage**

- a. Coverage for car, home, renter's, life, disability, long-term care insurance
- b. Umbrella liability

## **11. Estate planning**

- a. Will
- b. Trusts
- c. Advanced health care directive
- d. Power of attorney for health and financial affairs
- e. Titling of assets