Financial Review Documents Required

All information is strictly confidential

FORTIS LUX FINANCIAL

NAME: DATE:

DOCUMENTS NEEDED *Please provide photocopies of the following documents rather than originals if possible.*

Complete Income Tax Returns (Past Two Years)

- ☐ Client ☐ Co-client

Liability Statements

- ☐ Mortgage Statements
- ☐ Auto Loan Statements
- ☐ Credit Card Statements
- ☐ Student Loan Statements

Investments and Retirement Statements and/or plan descriptions

- ☐ Bank Statements
- ☐ Securities Accounts
- ☐ IRA / Roth IRA / SEP IRA / SIMPLE IRA
- ☐ 401(k) / TSA / PEDC
- ☐ Pension / Profit Sharing Plan
- ☐ Dividend / Interest Statements
- ☐ 529 College Savings Plan
- ☐ Annuities

Employment Benefit Information

- ☐ 2 Most Recent Payroll Stubs
- ☐ Most Recent Social Security Statements
- ☐ Employee Benefit Statements/Booklets
- ☐ Employee Retirement Plan Booklets
- ☐ Employee Stock Ownership

Insurance Policies and/or Statements

- ☐ Life
- ☐ Medical
- ☐ Disability
- ☐ Long-term Care
- ☐ Auto and Home
- ☐ Liability
- ☐ Group Insurance

Estate Planning Documents

- ☐ Tax Returns - Gift, Trust, Estate Tax
- ☐ Wills/Codicils
- ☐ Trust Agreements
- ☐ Power of Attorney
- ☐ Health Care Directive

Business Documents

- ☐ Business Tax Returns *(S-Corp, C-Corp, LLC)*
- ☐ Buy-Sell Agreements
- ☐ Deferred Compensation Agreements
- ☐ Split Dollar Agreements
- ☐ Wage Continuation Agreements
- ☐ Employment / Consulting Agreements
- ☐ Other Employer Paid Benefits

PLANNING FOCUS: *What areas are most important for you to address in your financial plan?*

- ☐ Help with setting goals
- ☐ Analyzing cash flow (taxes, debt, giving, etc.)
- ☐ Organization and analysis of assets and liabilities
- ☐ Investment asset allocation
- ☐ Retirement Planning
- ☐ Protection Planning
- ☐ Estate planning (wills, trusts, etc.)
- ☐ Others

All information provided by the client and not verified by the representative.
Securities and investment advisory services offered through qualified registered representatives of MML Investors Services, LLC.
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