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Financial Planning Checklist Initial Consultation

Please tell us about yourself:

Client Name:

Home Address:

Home Phone:

E-mail Address:

Employer:

Spouse Name:

Spouse Employer:

Client and Spouse Birthdays:

Dependent(s) and Birthdays:

Checklist of information for initial consultation

- A. Latest investment statements, including all retirement accounts. Statements should show value and list individual investments
- B. Listing of monthly income and expenses. This can be approximate, and would focus on larger items such as rent, taxes, debt payments, etc. A sample format is included; other formats are also acceptable.
- C. Approximate current value of home
- D. Value of any other real estate properties
- E. List and estimated value of personal valuables such as jewelry, furs, antiques, collectibles or art.
- F. Cars: model and year, year purchased and approximate purchase price.
- G. Mortgage balances and home equity line of credit balances. Need payoff date and current interest rate.
- H. Car loan and consumer loan balances. Need payoff date and current interest rates.
- I. Credit card balances. Need minimum monthly payment amounts and interest rates
- J. Copy of latest federal income tax return with supporting schedules
- K. Life insurance policies, including death benefit and the beneficiary(s). If the policies have a cash value, we also need to know that amount. Summary page is generally sufficient. Please also include any employer-provided life insurance.
- L. Copies of homeowners and auto insurance. Generally, summary page of coverages from latest statement is adequate.
- M. Copy of any other liability or professional liability insurance.
- N. Any annuities, with latest statements.
- O. Wills and/or trust documents relating to estate planning.
- P. Latest pay stub for you and spouse.
- Q. Employee benefits handbook.

Checklist for Financial Review
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Please tell us your goals:

What are your financial goals for the next year?

What are your financial goals for the next five years?

What are your financial goals relating to retirement? When? Where? Changes in lifestyle?

What other long-term goals do you have? Examples: college funding; change in career, second home, start a business, increase giving to family and/or charity.

What are your financial goals for your estate? Gifting to family? Charity?

Budgeting Worksheet			
Monthly			
Inflows		Amounts	
	Salary		
	Dividends/Interest		
	Capital Gains		
	Other		
	Total Inflows		
Outflows			
Savings			
	Transfer to Savings		
	401(k) or other retirement plan		
	Other		
	Total Savings		
Fixed Expenses			
	Federal Income Tax		
	State Tax		
	Local Tax		
	Mortgage P&I and Escrow		
	Auto Loan		
	Auto Insurance		
	Student Loans		
	Other Fixed Loans		
	Health Insurance		
	Life Insurance		
	Other		
	Total Fixed Expenses		
Variable Expenses			
	Automobile		
	Cash Withdrawals		
	Charitable Donations		
	Clothing		
	Credit Cards		
	Dining		
	Food		
	Gifts		
	Home Repair		
	Household		
	Medical		
	Personal Care		
	Recreation		
	Subscriptions		
	Utilities		
	Other		
	Total Variable Expenses		
Total Expenses			
Income Less Expenses			