PARKHURST FINANCIAL MANAGEMENT, LLC

Information Request Checklist

Please submit ***copies*** of the following items with your completed client questionnaire and any other pertinent financial information.

Personal Information

1. Insurance coverage
    a. Homeowners Insurance Policies
    b. Auto Insurance Policies
    c. Liability Insurance Policies (Umbrella)
    d. Personal disability policies (include entire contract)
    e. Life Insurance Policies
    f. Long-Term Care

2. Investment Asset information
    a. Annuity Statements
    b. Brokerage Account Statements
    c. CD, Money Market Statements
    d. Company Benefit Statements (stock options, restricted stock, other)
    e. Individual Retirement Account (IRAs, SIMPLE, SEP)
    f. Mutual Fund Statements
    g. Partnership Statements
    h. Pension Plan Statements (401(k), Profit Sharing, Defined Benefit etc. as well as information related to available investment options.

3. Legal Documents
    a. Estate Planning:
        i. Last will and testament
        ii. Financial power of attorney
        iii. Healthcare power of attorney
        iv. Living Will
        v. HIPAA Authorization
        vi. Any other Estate documents
    b. Divorce or Separation Decrees

4. Loan documents (mortgages, auto notes, credit cards, other)

5. Pay stubs
    a. Most recent year-to-date stub
    b. Prior year's December 31 stub

6. Personal income tax returns (federal and state returns for prior 3 ye

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Business Information

1. Business financial statements (year-to-date (latest month-end), & previous 2 years)
2. Business production reports by provider
3. Business tax returns for the previous 2 years
4. Buy-Sell agreements
5. Current fee schedule
6. Employee census (See enclosed form)
7. Employee manual
8. Insurance Coverage
    a. Business insurance policies (include entire package)
    b. Malpractice insurance policies
    c. Business overhead insurance policies (include entire contract)
    d. Liability (umbrella) insurance policies
    e. Buy-Sell insurance policies
    f. Health Insurance policies
    g. Workers compensation policies
9. Lease/Rental information
10. Business Loan documents
    a. Practice note
    b. Real estate
    c. Equipment
    d. Working capital
    e. Credit card
11. Partnership agreements
12. Practice appraisal
13. Pension plan administration
14. Pension plan documents and amendments