



Financial Planning Request for Production

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Maycomb Wealth

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Phase 1 – Needed to Prepare Your Investment Policy Statement (“IPS”)

Due to Maycomb Wealth at least 21 days before the IPS Meeting. We will have to re-schedule your IPS Meeting if we do not have them by the deadline. Please do not send us the following information via e-mail or other less secure means. Please upload these documents to your virtual vault we provide you through *eMoney*.

Holdings and Tax Returns

- **Holdings/Positions Information:** We have invited you via e-mail or will be inviting you to set up your financial website (sponsored through one of our strategic partners, *eMoney*). Please complete the brief onboarding process and sync/add your investment accounts (taxable, retirement, etc.) to your personal financial website. This allows us to aggregate your various accounts and analyze them in one report for you. It also enables us to run a variety of helpful reports for you concerning your financial condition.

NOTE: For your peace of mind and security, please know that we only have “view access” to your information through *eMoney*. We do not have access to your username(s) or password(s). Also, we cannot make transactions or transfer funds through *eMoney*.

- **Tax Returns:** Federal and State tax returns for last two years. If you did not file a joint return in both years, and if you have a significant other who would also be a client/Member of Maycomb Wealth if we proceed, please ensure we have your and your significant other’s tax returns for the last two years.

Phase 2 – Needed to Prepare Your Financial Plan

Due to Maycomb Wealth as soon after the IPS Meeting as you can provide them. We cannot begin preparing your Financial Plan until we have all of this information. Please do not send us the following information via e-mail or other less secure means. Please upload these documents to your virtual vault we provide you through *eMoney*.

Other Accounts

- **Employer Retirement Plan Investment Options:** your investment choices offered by your employer’s retirement plan (for example, your entire list of investment options for your 401(k) or 403(b)) along with the fee schedule(s) showing the expense ratios for them.
- **Stock Option Info:** If you have any stock options or restricted stock units (“RSUs”), your grant document(s) along with any vesting schedule(s), statement(s) of current holdings/vested, etc.
- **Annuity Info:** Any annuity statements, contracts, etc.

- **Education Accounts:** Most recent statement(s) for children's, grandchildren's, or others' 529, UTMA, or UGMA plans/accounts.

Debt

- **Mortgage:** Your most recent mortgage statement (showing the unpaid balance, interest rate, etc.).
- **Student Loans:** Most recent student loan information/statements.
- **Lines of Credit, such as Home Equity ("HELOC") and others:** Your most recent statement or other documents showing available balance, any accrued debt, etc.
- **Any Others:** Any other loan statement(s) (auto, personal, etc.)

Insurance

- **Vehicles:** Policies for any cars, motorcycles, watercraft, aircraft, or other vehicles.
- **Homeowners:** Homeowner/renter/condo policies.
- **Umbrella:** Umbrella policies or other excess coverage policies.
- **Life:** Life insurance policies (term, whole, universal, etc.).
- **Employer Benefit Packet:** Employment benefit packet (health, life, disability (short and/or long term), etc. provided by or through one's employer.
- **Earthquake:** Earthquake policies, if applicable.
- Any others.

Estate Planning Documents

- Wills.
- Trusts.
- Powers of attorney.
- Health care directives.

- Letters of Intent.
- Any others.

Cashflow

- **Paystubs:** Your two most recent pay stubs.
- **P&L:** If you are self-employed (sole proprietor, S-Corp, etc.), your most recent profit & loss statement.
- **Social Security info:** Please go to the Social Security website www.socialsecurity.gov for updated Social Security information. Please save the summary of your expected benefits as a PDF.
- **Pension information:** Any pension information, statements, or future benefits.