

ROOTED

PLANNING GROUP

Growing Your Future ... Today

www.rootedpg.com



Why do we need all this information?

In order for us to our best work, we need as much specific detail as possible:

General Information

Date of birth, residency, dependents, occupation, etc. - this helps us understand the timeline, longevity, goals, and risks in your life.

Debt and Cash Flow Statements

If we have the actual statements we can pull things like interest rates, payment schedule and initial issue date in order to analyze these holdings as part of your net worth and plan strategy.

If you do not have a cash flow statement, we will provide you with a tool. Our goal here is not to add to your busy life, but to understand your values in spending your money. We would prefer to create a “reverse budget” with you, but we have to know where your money is going in order to know how to fund the goals you have shared with us.

Employment Benefit Handbook and Current Elections

So that we can see what options you have elected and what options are available.

Homeowners, Auto and Liability Declaration Pages

So we can see where risk might exist and discuss proper liability coverage.

Disability, Life Insurance, and Long-Term Care Declaration Statements (if outside your company)

So we can analyze what emergency funds you might need if you want to self-insure or discuss risk transfer.

Social Security Statements / Estimates, Pension Estimates and Any Other Projected Income You Might Receive in the Future.

This helps us see what income gaps you may have in the future that your investments will need to fulfill.

Why do we need all this information? (continued)

Bank and Investment Statements

This includes bank statements (savings especially), 401k statements, annuity statements, and any brokerage statements (including taxable and IRA/Roth IRA accounts). We ask for the statements because often this shows us detail on cost basis (what you put into the holdings), beneficiaries, and registration. It also tells us what share class any mutual funds are in, which is important in analyzing overall cost.

Building a portfolio strategy can help you get to your goals, but we want to make sure that you are aware of any “side-effects” of the recommendations we are providing. That is why the investment meeting is later in the schedule, because the recommendations are based on what we discover when we look at your overall risk and protection that needs to be built, your current and future tax circumstances, and retirement risk/return needs.

Current Pay Stubs

These tell us a big story. What is coming out of your paycheck helps us estimate your future tax liability, any benefits you are receiving, how much you are saving and your net take home pay for planning purposes.

Tax Returns

This is another document that tells us a major story. We can pull the impact of capital gains distributions, tax credits, interest income, and so much more. We use this as a baseline to make sure you are minimizing your tax liability as permitted by regulations. Additionally, if you are doing college planning, this document is at the core of that plan. We feel many missed opportunities happen when this document is not reviewed.

Estate Planning Documents and Beneficiary Designations

We want to make sure your money goes where you want it to go in the event of a disability or death. We are not attorneys and cannot give you legal advice, but we can make sure your beneficiaries match your wishes based on the estate planning and beneficiary designations are in place.

Basic Client Intake Information

| Personal Information | | |
|--|--------------------------------|---------------|
| Who are you? | Client 1 | Client 2 |
| First name | | |
| Last name | | |
| Date of Birth | | |
| Address | | |
| Phone | | |
| Client Email Addresses | | |
| Current employer(s) | | |
| Job | | |
| Number of years at employer | | |
| If married, when were you married? | | |
| Name of dependents that have over 50% of their living expenses provided by you | Type of dependent (i.e. child) | Date of Birth |
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

Basic Client Intake Information (continued)

| Personal Information | |
|--|--|
| Are you planning on having/adopting (additional) children? (yes/no) | |
| If applicable, when would you expect the next birth/adoption? (in years) | |
| How did you hear about us? | |
| What is the primary reason that prompted you to seek financial advice? | |

Planning Document Gathering Checklist

| | |
|-------------------------|---|
| ASSETS | <ul style="list-style-type: none"> <input type="checkbox"/> Checking/Savings/CD Account Information <input type="checkbox"/> Investment statements <input type="checkbox"/> Retirement account statements <input type="checkbox"/> IRA/ Roth IRA statements <input type="checkbox"/> 529 Account Statements <input type="checkbox"/> Stock options, deferred compensation or restricted stock accounts <input type="checkbox"/> List of any other assets including real estate and estimated fair market value <input type="checkbox"/> List of Savings Bonds <input type="checkbox"/> Annuity Statement/Information |
| LIABILITIES | <ul style="list-style-type: none"> <input type="checkbox"/> Credit Card Statement (or balance, interest rate, minimum and actual payment amounts) <input type="checkbox"/> Auto loan statements <input type="checkbox"/> Mortgage and home equity loan statements <input type="checkbox"/> Student loan statements <input type="checkbox"/> Other debt including family or business <input type="checkbox"/> Credit Report and Score (whole credit report is helpful for us to review) |
| CASH FLOW | <ul style="list-style-type: none"> <input type="checkbox"/> If you have been tracking cash flow, provide summary for up to last three years <input type="checkbox"/> Last two pay stubs |
| EMPLOYEE BENEFITS | <ul style="list-style-type: none"> <input type="checkbox"/> Employee benefit description booklets or temporary website access <input type="checkbox"/> Employee benefit elections for current year <input type="checkbox"/> Pension Statements (if applicable) |
| INVESTMENT & RETIREMENT | <ul style="list-style-type: none"> <input type="checkbox"/> Social Security statements <input type="checkbox"/> See list from Assets, please provide the account detail so we can see what you hold in the accounts |
| TAX DOCUMENTS | <ul style="list-style-type: none"> <input type="checkbox"/> Last year's tax returns including W2s and all schedules of federal and state taxes <input type="checkbox"/> Business returns <input type="checkbox"/> Real property tax statements |

Planning Document Gathering Checklist

| | |
|---|--|
| <p>LEGAL & ESTATE DOCUMENTS</p> | <ul style="list-style-type: none"> <input type="checkbox"/> Screenshots of beneficiaries on accounts <input type="checkbox"/> Wills, trusts, powers of attorney & health care directives <input type="checkbox"/> Legal documents such as divorce decrees, potential liabilities, contingent liabilities or contracts that may impact your financial situation <input type="checkbox"/> Partnership agreements, if applicable (and any agreements associated such as Buy/Sell Agreements) |
| <p>RISK MANAGEMENT</p> | <p>Non-employer policies:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Health insurance contracts/descriptions <input type="checkbox"/> List of Medications <input type="checkbox"/> Disability insurance contracts and statements <input type="checkbox"/> Life insurance statements and contracts <input type="checkbox"/> Long term care insurance statements and contracts <input type="checkbox"/> Homeowners/Renters Declaration page <input type="checkbox"/> Auto Declaration Page <input type="checkbox"/> Umbrella and/or professional Liability Declaration Pages |

All of your information is kept confidential. It is important that you do your best to provide accurate details, as it will be used to create your initial assessment report.

Who's Who at RPG

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