Toll-Free: (800) 279-6016
Phone: (701) 255-6832

Appointment Checklist

Financial Planning Checklist

In order for us to give you the most accurate financial plan we will need for you to provide us with the following information:

- Last Year's Tax Return (first 2 pages)
- Brokerage/Investment Account Statements
- Social Security Statements
- Bank Account Information (checking, savings, CD's, money market)
- Life Insurance Policies & Statements, including benefits through your employer
- Long-term care and/or disability insurance policies.
- Wills and/or Trust Documents
- Real Estate Holdings
- Annuity Statements
- Health Insurance Information
- 529 Statements and/or other assets for the children
- IRA, Retirement Account and Pension Statements
- Debt Information (mortgages, credit cards, auto loans, lines of credit)
- Accountant and Attorney information
- Any other items you feel would be helpful.

Representatives of a Registered Broker-Dealer ("BD") or Registered Investment Advisor ("IA") may only conduct business in a state if the representatives and the BD or IA they represent (a) satisfy the qualification requirements of, and are approved to do business by, that state; or (b) are excluded or exempted from that state's registration requirements.

Representatives of a BD or IA are deemed to conduct business in a state to the extent that they would provide individualized responses to investor inquiries that involve (a) effecting, or attempting to effect, transactions in securities; or (b) rendering personalized investment advice for compensation.

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