

Succession Document Request Checklist

You should bring the following documents to the meeting with your professional advisors to discuss succession. As you gather the applicable information, check it off your list. Ignore documents that do not apply to you. This list represents a partial list of important documents you should have at your disposal, your advisors may have additional requests.

Personal Information

- _____ Current Wills (living, etc.)
- _____ 5 years of income tax returns
- _____ Gift tax returns
- _____ Health insurance policies
- _____ Automobile insurance policies
- _____ Homeowners insurance policies
- _____ Other insurance policies, (please specify)
- _____ Current insurance, disability, life, long-term health care, etc.
- _____ Current investments
- _____ Deeds, mortgages, land contracts
- _____ Leases
- _____ Power of attorney or appointment, health care directive, etc.
- _____ Appraisal for high value items, i.e. jewelry, real estate, etc.
- _____ Notes or other debt you owe
- _____ Personal financial statements for last 5 years
- _____ Any previous written personal objectives or goals
- _____ Sale or purchase contracts
- _____ Documents regarding employee benefit plans, i.e. stock options, medical, etc.
- _____ Most recent report of any vested interest, i.e. pension, profit-sharing plans, etc.
- _____ Trust agreements
- _____ Investment reports, i.e., stocks, mutual funds, cash balance, etc.
- _____ Investment reports in ventures like partnerships, joint ventures, etc.
- _____ Divorce settlements, decrees
- _____ Family inventory, names, ages, location of parents, siblings, children, grandchildren, etc.

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Business Information

- _____ Tax Returns for 5 years
- _____ Financial Statements for 5 years
- _____ Deferred compensation plans
- _____ Keogh Plans, Sep Plans, etc.
- _____ Pension or profit sharing plans
- _____ Buy-sell agreements
- _____ Employment agreements
- _____ Non-compete agreements
- _____ Employee benefit booklets
- _____ Articles of Incorporation, Partnership Agreements, Operating Agreements, etc.
- _____ Insurance Policies
- _____ Loan documentation(s)
- _____ Recent appraisals on equipment, etc.
- _____ Stock option purchase plans
- _____ Organization chart, key employee profiles, resumes
- _____ Special licensing information
- _____ Business location listing with contact information
- _____ List of current or pending lawsuits, litigation
- _____ Property leases
- _____ Patents, trademarks, copyrights, etc.
- _____ Supplier agreements, contracts
- _____ Current equipment / fixed asset list
- _____ Current product/service marketing literature, brochures, etc.
- _____ Product warranty information