DOCUMENT CHECKLIST

FOR

WEALTH PLANNING REPORT

DOCUMENT CHECKLIST

The following documents are requested in order to conduct your Wealth Planning review. Please provide copies of the applicable documents to your Private Client Manager.

GENERAL DOCUMENTS

Check if applicable

☐ **Personal Income Tax Returns**

- the complete tax returns (including all supporting schedules) for the two most recently completed years

☐ **Notices of Assessment (or re-assessment)**

- that correspond to the tax returns noted above

☐ **CPP/QPP Statement of Contributions**

- if unavailable these can be requested from SDC by calling 1 (877) 454-4051, or by requesting them on-line at https://srv260.hrdc-drhc.gc.ca/socrs/request_en.asp

☐ **Pension Benefit statements or booklets**

- the most recent documents will allow us to understand the pension benefits you will be entitled to upon retirement

☐ **Statements of Investments**

- this would include recent statements from brokerage firms, trust companies, banks and investments companies with respect to all investments, including RRSPs or RRIFs

☐ **Life Insurance Information**

- the most recent annual policy summary and copies of policy illustrations indicating projected growth of cash surrender value / investment fund components of permanent and universal life policies

☐ **Group Insurance Booklet**

☐ **Beneficiary Designations**

- for registered plans and life insurance

☐ **Disability Insurance Information**

- the most recent annual policy summary

☐ **Will**

- including any codicils

☐ **Powers of Attorney**

- this would include:
  - ☐ Power of Attorney for property or financial affairs
  - ☐ Representation Agreement – **applicable in British Columbia**
  - ☐ Mandate – **applicable in Quebec**
  - ☐ Power of Attorney for personal care
  - ☐ Health Care Directive
  - ☐ Living Will

☐ **Separation Agreement**

- any separation agreement or court order relating to a previous or current marriage

☐ **Pre-Nuptial or Pre-Marital Agreement**

☐ **Marriage Contract**

☐ **Renunciation Deed**

- if resident in the province of Quebec

☐ **Stock Option Documentation**

- details of all stock option plans including documentation provided by your employer as to the terms of the plan as well as the most recent annual reporting of your current position within the plan

☐ **Statements of Liabilities**

- this would include a mortgage, investment loan, line of credit

BUSINESS DOCUMENTS

If you are involved in a private business venture, please provide the following documents, as applicable:

☐ **Financial Statements**

- complete financial statements for all business entities whether they are carrying on an active business or are holding investments, for the two most recently completed years. This would apply to any corporations, partnerships, or sole proprietorships

☐ **Income Tax Returns**

- complete tax returns (including all supporting schedules) for the two most recently completed years, for your corporate business entities

☐ **Shareholders Agreements**

- any agreement among the shareholders of your corporation(s)

☐ **Partnership Agreements**

- any agreement among the partners of your partnership(s)

☐ **Corporate Structure Charts**

- any diagram that illustrates the ownership of the corporation(s) and/or partnership(s)

☐ **Articles of Incorporation/Amendment**

- the most recent corporate documents indicating the terms and conditions of the authorized share capital

TRUST DOCUMENTS

If you are involved in a family trust or testamentary trust, please provide the following documents, as applicable:

☐ **Trust Agreement**

- the document which governs the family trust

☐ **Will**

- this would be the governing document for the testamentary trust

☐ **Financial Statements**

- complete financial statements for the trust for the two most recently completed years

☐ **Information Returns**

- the tax returns for the trust for the two most recently completed years