

# Solvency Opinion

## Information and Document Request Checklist



Client \_\_\_\_\_

*The information requested below is essential to the Solvency Review Engagement and must be in ATI's possession prior to commencement of the project.*

1. Personal Financial statements for the year-end preceding the review date and the month-end immediately preceding the review date. Audited financial statements should be provided if available. Supporting documentation should clearly specify:
  - i. The amounts and description of bank accounts and money market investment accounts.
  - ii. Stock (whether publicly-traded or closely-held), bond and mutual fund investments
  - iii. Futures and options positions
  - iv. Mortgages owned
  - v. Depreciation and amortization schedules
  - vi. List of accounts receivable
  - vii. List of notes, bonds, and mortgages payable, with payment schedules
  - viii. Description of any leases, employee compensation agreements or other long-term commitments, with payment schedules
  - ix. Total taxes due in accordance with AICPA Statement of Position 82-1
2. Income tax returns for the year preceding the review date.
3. List, showing valuations, of assets transferred to the Family Limited Partnership.
4. Appraisals as of the review date of all tangible assets, including real estate, mineral rights, buildings and improvements, machinery and equipment, art, jewelry and collectibles.
5. List, showing valuations, of all patents, copyrights, and other intangible assets.
6. List of all contingent assets and contingent liabilities, including insurance contracts and loan guarantees. Include description of any pending legal actions.
7. Statement from life insurance carriers attesting to the balance of any cash or surrender value of accounts.
8. Description of business interests and other sources of earned income, including any prior appraisals of businesses owned and any offers received from prospective purchasers.

9. Name, address and phone number of banker

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10. Name, address and phone number of attorney

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11. Name, address and phone number of CPA

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12. Name, address and phone number of Trustees

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13. Name, address and phone number of  
Stockbrokers/Investment Advisors

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