

## DATA GATHERING CHECKLIST

Please provide Summit Financial Strategies, Inc. with the following items and information. Original documents will be returned to you at our next meeting.

### INVESTMENT INFORMATION

- Most recent bank statements for checking, savings, etc.
- Most recent statements for Certificates of Deposit, and purchase information
- Original purchase confirmations for stocks and bonds held personally
- All statements for mutual fund accounts since inception
- All brokerage statements for current year and original purchase information for assets held within the account (if reinvesting dividends, all statements since inception must be provided)
- Confirmations for sale of any investments this calendar year
- The same information as listed above for children's custodial accounts
- Lease agreements for all rental properties
- Prospectuses/offering memoranda and/or subscription agreements for all investments (limited partnerships, etc.)
- Most recent schedule K-1 and financial statements for all partnerships
- Notes for receivables (loans owed to you)
- All annuity contracts and most recent statements
- Information on investment options for variable annuities
- Purchase information for gold, silver, and/or numismatic coins
- Information on Section 529 Qualified State Tuition Plan accounts and most recent statement

**Summit Financial Strategies, Inc.**  
**7965 North High Street, Suite 350**  
**Columbus, Ohio 43235**

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## TAX INFORMATION

- Federal Income Tax returns (Form 1040), State and Local Tax returns, and W-2's for the last two years
- Two most recent paycheck stubs
- Children's tax returns for the most recent year

## RETIREMENT PLAN INFORMATION

- Summary Plan Descriptions for retirement plans (profit sharing, pension, 401(k), 403(b), etc.)
- Retirement Plan Participant Statements or Allocation Statements for the last plan year-end and most recent investment return calculations
- IRA, SEP-IRA and/or Keogh Plans statements
- Websites, passwords, PINs, and/or phone numbers to access 401(k), Executive Stock Option Plans, etc. account information
- Copies of beneficiary designations for all retirement plans
- Deferred Compensation Agreements
- Information on investment options for all retirement plans
- Record of past performance for investment options for all retirement plans
- Section 242(b) Election (to defer mandatory payout past age 70-1/2)
- Grandfather Election (Form 5329 filed with 1988 tax return) for excess accumulations in retirement plans
- Social Security Benefits statements

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## INSURANCE INFORMATION

Insurance policies and most recent premium notices, declaration pages or annual policy statements for the following:

- |                          |                            |                          |                                   |
|--------------------------|----------------------------|--------------------------|-----------------------------------|
| <input type="checkbox"/> | Homeowner's or Renter's    | <input type="checkbox"/> | Disability                        |
| <input type="checkbox"/> | Automobile                 | <input type="checkbox"/> | Business Overhead                 |
| <input type="checkbox"/> | Marine or Aircraft         | <input type="checkbox"/> | Hospitalization/Major Medical     |
| <input type="checkbox"/> | Umbrella                   | <input type="checkbox"/> | Nursing Home/Long-Term Care       |
| <input type="checkbox"/> | Rental Property            | <input type="checkbox"/> | Dental Plan                       |
| <input type="checkbox"/> | Office                     | <input type="checkbox"/> | Vision Plan                       |
| <input type="checkbox"/> | Professional Liability     | <input type="checkbox"/> | Workers' Compensation certificate |
| <input type="checkbox"/> | Fidelity Bond (Retirement) | <input type="checkbox"/> | Other _____                       |
| <input type="checkbox"/> | Life                       |                          |                                   |

## ESTATE PLAN DOCUMENTS

- Last Will & Testaments
- Revocable and/or Irrevocable Trust Agreements
- Durable Powers of Attorney
- Living wills and/or Durable Powers of Attorney for Health Care
- Gift tax returns filed since 1976
- Trust federal income tax return (Form 1041 and K-1) from which you receive income or principal.
- Have you resided in any of the following community property states during marriage?
  - Arizona
  - California
  - Idaho
  - Louisiana
  - Nevada
  - New Mexico
  - Texas
  - Washington
  - Wisconsin

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# DATA GATHERING CHECKLIST

## BUSINESS / EMPLOYER INFORMATION

- Business federal tax returns for last two years (only if you own your own business)
- Most current business financial statement (only if you own your own business)
- Employment Agreements or Contracts
- Buy-Sell Agreements
- Lease agreements for business property
- Employee benefits handbook
- Summary description of cafeteria plan/flexible spending account

## OTHER INFORMATION

- Prenuptial Agreements
- Divorce/Dissolution Agreements
- Deeds for all real estate owned, including residence.
- Closing statements for all real estate owned, including residence.
- IRS Form 2119 if you have sold a prior residence (attached to your federal tax return for the year in which you sold your residence)
- Mortgage notes for all real estate owned, including residence
- Most recent year-end statement of interest and principal paid on mortgage loans
- Home Equity Line of Credit agreement and most recent statement
- Automobile loan and/or lease agreements
- Notes for all other loans and current balances (student loans, unsecured debt, etc.)

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