summit FINANCIAL STRATEGIES
Now to Next™

Data Gathering Checklist

WEALTH MANAGEMENT

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
- ☐ HSA (Health Savings Account) Statement

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 and SEP-IRA Plan 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)
- ☐ Social Security Benefits statements

Insurance information

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

- ☐ Homeowner's or renter's
- ☐ Automobile
- ☐ Marine or aircraft
- ☐ Umbrella
- ☐ Rental property
- ☐ Office
- ☐ Professional liability
- ☐ Fidelity bond (retirement)
- ☐ Life
- ☐ Disability
- ☐ Business overhead
- ☐ Hospitalization/major medical
- ☐ Nursing home/long-term care
- ☐ Dental plan
- ☐ Vision plan
- ☐ Workers' compensation certificate
- ☐ Other ______________________

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
- ☐ Most recent gift tax return filed
- ☐ 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

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.
- ☐ 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.)