

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
- Most recent statement for mutual fund accounts
- 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

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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 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

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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
- 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	___ Louisiana	___ Texas
___ California	___ Nevada	___ Washington
___ Idaho	___ New Mexico	___ Wisconsin

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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.)

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