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
- ☐ 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

Reliance on Information Provided: Summit shall rely upon information provided by you, and will not verify the accuracy of any such information. Accordingly, in the event that any such information provided is inaccurate or incomplete, the corresponding results or recommendations will be inaccurate or incomplete. It remains your responsibility to notify Summit of any changes in the information provided.

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

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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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