ROTH FINANCIAL GROUP
Tax Information Questionnaire

The following questions help us understand your current year tax situation. If you are filing jointly, each question also applies to your spouse. Please answer each question by circling yes (Y) or no (N). For every question you answered yes, please provide details in the blank lines at the end of this questionnaire. If a question does not pertain to you, please circle no. If you require help answering any of these questions, please contact us.

Name: ______________________ **Phone:** ______________ **Cell:** ______________

Bdate & SS#: ______________________ **Sp Bdate & SS#:** ______________________

Y N 1. Would you like to have your tax return filed electronically?

Y N 2. Would you like to have an electronic copy of your tax return (PDF file)? If yes, would you like a paper copy also? Y/N **E-Mail:** ______________________

Y N 3. If you receive a refund, do you want it directly deposited? **Collect payment check--If cash Voided check**

Y N 4. If you owe taxes, do you want it to be directly debited? **Collect payment check--If cash get Voided check**

Y N 5. Did your marital status change during the year? **If separated provide spouse's SS#** ______________

Y N 6. Were you a resident of, or did you have income in, more than one state during the year?

Y N 7. Do you have any dependents living with you or are you supporting anyone not living with you? I**f yes, provide details if there were any changes to any dependents in your household (marriages, deaths, etc.). SS#, DOB and income if applicable:**

Y N 8. Are you or any dependents blind and/or disabled? Please provide details including any disability income received.

Y N 9. Did you incur child care or dependent care expenses?

Y N 10. Did you cash any series EE or I U.S. Bonds that were issued after 1989 and paid qualified higher education expenses?

Y N 11. Did you or any member of your household pay educational expenses for post secondary education?

Y N 12. Did you buy, sell, or trade any stocks/bonds/assets?

Y N 13. Outside of W-2 contributions (401k, 403b, etc.) did you contribute to or receive a distribution from any retirement plan or did you convert any retirement funds to Roth funds?

Y N 14. Did you receive or pay any alimony or separate maintenance payments?

Y N 15. Did you have any moving expenses?

Y N 16. Did you contribute to or receive a distribution from a Health Savings Account?

Y N 17. If you are self-employed, did you pay any health or long-term care insurance premiums? **If yes, were either you or your spouse eligible to participate in an employer-sponsored health or long-term care insurance plan?**

Y N 18. Did you make cash or non-cash charitable contributions?

Y N 19. Do you pay property taxes or have mortgage interest?

Y N 20. Did you make any large purchases or home improvements? (e.g. purchase airplane or vehicles). **If yes, provide details of each purchase including the date of purchase, amount of purchase and amount of sales tax paid.**

Y N 21. Did you have any casualty or theft losses?

Y N 22. Did you have purchasing, selling, refinancing, financing, or foreclosing transactions on your personal residence or any other real estate? **If yes, provide the settlement document (HUD-1), Form 1099-S, Form 1099-C or other related documentation if applicable.**

Y N 23. Did you have any debt that was canceled last year? (i.e. debt that you owed to a creditor that you are no longer required to pay). **If yes, provide details and copies of any 1099-C received.**

Y N 24. Did you receive the First-Time Home buyer Credit from purchasing a home prior to 1/1/2009?

Y N 25. Did you dispose of a home for which you received any First-Time Homebuyer Credit?

Y N 26. If you are the recipient of a PBGC or TAA pension, did you pay health insurance premiums?

Y N 27. Did you adopt a child last year?

Y N 28. Do you own a vacation home that was rented to someone else at anytime?

Y N 29. Did you pay wages of more than $1,800 to any one household employee?

Y N 30. Have you provided ALL your income from ALL sources? If not, please use the space at the end to list any other income.

Y N 31. Have you provided ALL your deductions? If you are uncertain about an item then provide details.

Y N 32. For this year, do you expect a significant fluctuation in your income, deductions or withholding?

Y N 33. For this year, do you need or want estimated tax payment vouchers prepared?

Y N 34. Did you make any federal or state estimated tax payments for last year? If yes, provide the date and amount of each payment.

Y N 35. Do you anticipate a 401k or IRA distribution or rollover in the near future and want to understand the possible significant tax consequences?