Tax Questionnaire

Taxpayer Name (please print):_____________________________ Spouse Name (please print):_____________________________

Please complete this questionnaire to provide details about the 2019 tax year. In addition, please provide your supporting source documents. A 'Tax Form Reference Guide' is included at the end of this questionnaire to assist you in gathering applicable forms.

Personal Information

*Yes**	*No*	***If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.***
❑	❑	Did your marital status change during the year?
❑	❑	Did your address change during the year?
❑	❑	Did you or your spouse retire or change jobs?
❑	❑	Have you or your spouse been a victim of identity theft and have you or your spouse contacted the IRS?

Dependents

*Yes**	*No*	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Could you or your spouse be claimed as a dependent on another person's tax return?
❑	❑	Were there any changes in dependents from the prior year?
❑	❑	Are any of your dependents non-U.S. citizens or non-U.S. residents?
❑	❑	Are any of your dependents required to file a tax return?
❑	❑	Do you have any children under age 18 (or student children aged 18 to 23 who do not provide more than half their cost of support) that have unearned income?
❑	❑	Did you or your spouse pay for childcare while you or your spouse worked or looked for work?
❑	❑	Did you or your spouse provide support or housing for relatives other than your children?

Education

*Yes**	*No*	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Did you, your spouse, or a dependent incur any higher education/tuition expenses?
❑	❑	Did you, your spouse, or a dependent withdraw funds from a Coverdell Education Savings account or a Section 529 Plan?
❑	❑	Did you or your spouse make any contributions to a Coverdell Education Savings account or a Section 529 Plan?
❑	❑	Did you or your spouse pay any student loan interest?

Healthcare

*Yes**	*No*	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Did you or your spouse purchase health insurance through the Marketplace?
❑	❑	Did you or your spouse have any transactions pertaining to health savings accounts (HSA) or medical savings accounts (MSA)?
❑	❑	Did you or your spouse receive any distributions from long-term care insurance contracts?

Income

Yes*	No	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Did you or your spouse receive any interest and/or dividend income?
❑	❑	Did you or your spouse have any U.S. Savings Bonds mature during the tax year that have not been redeemed?
❑	❑	Did you or your spouse receive any Social Security or disability income?
❑	❑	Did you or your spouse pay or receive any alimony made under a divorce or separation agreement executed before Dec. 31, 2018?
❑	❑	Are you or your spouse self-employed?
❑	❑	Did you or your spouse materially participate in the operation of this business?
❑	❑	Did you or your spouse start or acquire this business during the tax year?
❑	❑	Have you or your spouse prepared (or will prepare) all required Form 1099s?
❑	❑	Did you or your spouse receive any income from rental properties?
❑	❑	Was the property rented or available for rent the entire year?
❑	❑	Have you or your spouse prepared (or will prepare) all required Form 1099s?
❑	❑	Did you or your spouse receive any unemployment compensation?
❑	❑	Did you or your spouse have any debts canceled, forgiven or refinanced?
❑	❑	Did you or your spouse have any gambling winnings?

Investments

Yes*	No	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Did you or your spouse dispose of any investments in a qualified opportunity fund?
❑	❑	Did you or your spouse receive, sell, send, exchange, or otherwise acquire any financial interest in any virtual currency?
❑	❑	Did you or your spouse sell any securities, investment property, or inherited property?
❑	❑	Did you or your spouse receive any grants of stock options, exercise any stock options, or dispose of any stock acquired under a qualified employee stock purchase plan?
❑	❑	Did you or your spouse own any securities which became worthless during the tax year?
❑	❑	Did you or your spouse purchase, sell, or exchange any real estate?
❑	❑	Did you or your spouse start, purchase, or sell any business, rental property, farm, or any interest in any partnership or S Corporations?
❑	❑	Did you or your spouse purchase or dispose of any business assets (furniture, equipment, vehicles, etc.) or convert any personal assets to business use?

Retirement

Yes*	No	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Did you or your spouse contribute to a Traditional, Roth or any other type of IRA?
❑	❑	Did you or your spouse receive a distribution from a retirement plan (401(k), IRA, etc.)?
❑	❑	Did you or your spouse transfer or rollover any amount from one retirement plan to another?
❑	❑	Did you or your spouse convert part or all your Traditional/SEP/SIMPLE IRA to a Roth IRA?
❑	❑	If you or your spouse are age 70 ½, did you take your Required Minimum Distribution (RMD)?
❑	❑	If you or your spouse are age 70 ½, did you donate any part of your IRA directly to charity?

Itemized Deductions and Credits

Yes*	No	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Did you or your spouse incur any out of pocket medical expenses not reimbursed by your insurance carrier (prescriptions, doctor, dentist, hospitalization, etc.)?
❑	❑	Did you or your spouse make any large purchases (i.e. motor vehicles, boats, etc.)?
❑	❑	Did you or your spouse incur any mortgage interest or real estate taxes?
❑	❑	Is the total mortgage balance on your first and/or second home less than $1,000,000 (if incurred on or before December 15, 2017) or $750,000 (if incurred after December 15, 2017)?
❑	❑	Did you or your spouse use funds from a Home Equity Line of Credit (HELOC) for anything other than to purchase, build, or substantially improve your residence?
❑	❑	Did you or your spouse make any charitable donations worth $250 or more?
❑	❑	Did you or your spouse contribute property (other than cash or publicly traded securities) with a fair market value of more than $5,000 to a charity?
❑	❑	Did you or your spouse incur any non-reimbursed employee expenses, union dues, or qualified teacher's expenses?
❑	❑	Did you or your spouse work out of town for part of the year?
❑	❑	Did you or your spouse use gasoline or special fuels for business or farm purposes (other than for a highway vehicle)?
❑	❑	Did you or your spouse install any alternative energy equipment in your residence such as solar water heaters, solar electricity equipment (photovoltaic) or fuel cells?

Miscellaneous

Yes*	No	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	Was your home rented out for more than 14 days or used for business during the tax year?
❑	❑	Did you or your spouse generate funds from any type of web-based activity?
❑	❑	Did you or your spouse pay in excess of $1,000 in any quarter or $2,100 during the year for domestic services performed in or around your home to individuals who could be considered household employees?
❑	❑	Did you or your spouse claim a homebuyer credit for a home purchased in 2008?
❑	❑	Did you or your spouse make purchases which are subject to sales tax, but the tax was not paid at the time of purchase? (Typically, through online or catalog purchases)
❑	❑	Did you or your spouse have any financial interest in or signature authority over a bank account, security account, or other financial account in a foreign country?
❑	❑	Did you or your spouse receive a distribution from, or were you the grantor of, or transferor to, a foreign trust?
❑	❑	Did you or your spouse make any gifts to an individual that totaled more than $15,000 or any denomination of a gift to a trust?
❑	❑	Were you or your spouse notified or audited by either the Internal Revenue Service or State taxing agency?
❑	❑	Did you or your spouse make any estimated tax payments to Federal, State and/or Local tax agencies?
❑	❑	If you are due a refund, would you prefer it to be directly deposited into your bank account?

Tax Planning Information for Next Year – do you expect any of the following to occur in 2020?

Yes*	No	**If Yes, please provide related tax forms and/or additional details. Refer to the 'Additional Information' and 'Tax Form Reference Guide' sections at the end of this questionnaire.*
❑	❑	A change in your marital status?
❑	❑	A change in the number of your dependents?
❑	❑	A substantial change in your income?
❑	❑	A substantial change in your withholding?
❑	❑	A substantial change in deductions?

Additional Information – please provide information related to "YES" answers from above

Please indicate how you will deliver your tax documents to our office

❑	Tax documents delivered via mail
❑	Tax documents dropped off at office
❑	Tax documents delivered digitally (uploaded to eVault Client Portal**)

Please indicate delivery preference for your tax return

❑	Tax return delivered via mail
❑	Tax return picked-up at the office
❑	Tax return delivered digitally (uploaded to eVault Client Portal**)

Taxpayer Signature ____ ***Date*** ___________________

The above information is true, correct, and complete to the best of my knowledge.

Spouse Signature ____ ***Date*** ___________________

(if you file a joint return, we need both of your signatures)

****PRIVACY AND SECURITY NOTICE FOR DIGITAL DELIVERY**

In order to protect your personal information, Valley National Financial Advisors will not e-mail electronic copies of your tax returns. Instead, for digital delivery Valley National Financial Advisors will upload your tax return and other related documents to your secure personal eVault Client Portal.

If you do not already have an eVault Client Portal login and would like to have one created for you, contact our office.

Tax Form Reference Guide

Provide all supporting tax documents you receive using the below checklist as a reference.

Income/Deduction	**Tax Form**
Wages, Salaries, Tips, etc.	Form W-2
Interest Income	Form 1099-INT & Form 1099-OID
Dividend Income	Form 1099-DIV
Distributions from Pensions, Annuities and Retirement Accounts	Form 1099-R
IRA Contributions	Form 5498
Social Security Income	Form SSA-1099
Sale of Stocks, Securities, Capital Assets	Form 1099-B
Sale of Real Estate (including your home)	Settlement Sheet & Form 1099-S
State or Local Tax Refunds	Form 1099-G
Miscellaneous Income	Form 1099-MISC
Pass-thru Income (LLC, S-Corp, Partnership, Trust, Estate)	Schedule K-1
Unemployment Compensation	Form 1099-G
Gambling Winnings	Form W-2G
Long-Term Care Distributions	Form 1099-LTC
Cancellation of Debt	Form 1099-C
Health Savings Account (HSA or MSA)	Form 1099-SA and 5498-SA
Student Loan Interest	Form 1098-E
Mortgage Interest Statement	Form 1098
Tuition Statement	Form 1098-T
Payments from Qualified Education Programs	Form 1099-Q
Health Insurance Coverage	Forms 1095-A, 1095-B, or 1095-C
Estimated Tax Payments Made	Form 1040-ES
IRS Identity Theft Protection PIN	IRS issued PIN letter