SHAW & ASSOCIATES
CPAs & FINANCIAL ADVISORS

# *2011 Tax Questionnaire*

**INSTRUCTIONS:**

Complete this form and save a copy in your files. Submit along with any additional tax information one of the following three ways:

- ☐ Upload your information electronically through our secure system, Sharefile. This is the safest way to submit private information. If you do not already have a link, please e-mail cassy@KevinShawCPA.com and request a link to upload files.
- ☐ Fax to 970-223-6509
- ☐ Mail/Deliver to 1044 West Drake Road, Suite 201, Fort Collins, CO 80526.

**CONTACT INFORMATION (Please complete even if you have provided us the same information in the past):**

TAXPAYER NAME:______________________________DATE OF BIRTH (New Clients Only)__________
E-MAIL:________________________________________________________________
CELL PHONE:__________________________________WORK PHONE:____________________
SPOUSE NAME:________________________________DATE OF BIRTH (New Clients Only)__________
E-MAIL:________________________________________________________________
CELL PHONE:__________________________________WORK PHONE:____________________
ADDRESS:________________________________________________________________
CITY/STATE/ZIP: ______________________________________FAX:____________________
DEPENDENTS & DATE OF BIRTH (For New Clients or New Dependants Only):____________________
Name:____________________________________DOB:______________SS#__________________
Name:____________________________________DOB:______________SS#__________________
Name:____________________________________DOB:______________SS#__________________
Name:____________________________________DOB:______________SS#__________________

Please indicate your preferred method of contact:________________________________________

Please provide the e-mail address for your paperless bill:__________________________________
- ☐ Check here to OPT OUT of paperless billing

Please indicate how you would like to receive your tax return:
- ☐ **Secure Website** (if you choose this option, you can access, print or e-mail your tax return any time in the future.)
- ☐ **Printed Copy**
- ☐ **Both Secure Website & Printed Copy**

**TURNAROUND TIMES:**

We will make every effort to prepare your tax return as quickly as possible. The following chart shows our approximate turnaround times after we receive your complete tax information.

| Client Document Submission Date | Turnaround Time |
|---|---|
| **Prior to February 10, 2012** | **Approximately 2 weeks** |
| **February 10, 2012 to March 23, 2012** | **Approximately 3-4 weeks** |
| **After March 23, 2012** | **An extension may be necessary** |

**Please answer each question. If a question is not answered, we will assume it is not applicable to your current situation. If you are unsure, please note your questions in the comments.**

| | | YES | NO | COMMENTS |
|---|---|---|---|---|
| 1 | Did you include your prior year tax return? **(New clients only)** | | | |
| 2 | Do you have a filing deadline with FAFSA or other regulatory agencies that requires us to accelerate the completion of the tax return? If yes, please indicate deadline date. | | | |
| 3 | Did you receive any notices from the IRS or the State during the past year regarding your taxes that you have not already given us? If so, include a copy if you have not yet provided it to us. | | | |
| 4 | Did you get married or divorced during 2011? | | | |
| 5 | Do you need to add or remove any dependents? If so, provide details. | | | |
| 6 | For any dependent between the ages of 19 and 24 in 2011, were they a full-time student (more than 1/2 time) for a part of at least 5 months during the year? | | | |
| 7 | Was the custody of any of your dependents shared with someone other than your spouse? If so, indicate the amount of time during 2011 each of these dependents lived with you. | | | |
| 8 | Do you have dependents that must file a tax return? Generally, if any dependent received W-2's totaling $5,800 or more in income, **or** had any federal or state withholding, **or** had unearned income (interest, dividends, or capital gains) in excess of $950, **or** any self-employment income, provide this documentation and we will determine whether they need to file. | | | |
| 9 | -If a dependent's return is necessary, do you want us to file the return? | | | |
| 10 | Did anyone attend college during 2011? If so, include Form 1098-T from each University. Also include out-of-pocket expenses for books not listed on the 1098-T. Please note certain education credits are not available for any student who has been convicted of a Federal or State felony class drug offense for possession or distribution; we will assume this does not apply to the student on your tax return unless you tell us otherwise. | | | |
| 11 | - If the school reported "amounts billed for tuition" in Box 2 of Form 1098-T, does this amount agree to what you actually paid for tuition, fees, and books in 2011? Paid means cash, check, credit card or funds borrowed that will need to be repaid. It does not mean scholarships. If the amount does not agree to what you paid, provide actual amount you paid during 2011. Note the tax credits are for amounts PAID in 2011, not BILLED in 2011. | | | |
| 12 | Did you pay for child care so both you and your spouse could be employed? If so, provide name, address, and tax ID number of provider as well as amount paid per child. | | | |
| 13 | Did you include all W-2's? | | | |
| 14 | Did you have any interest or dividend income? If so, include all 1099-Int's, 1099-Div's, and 1099-Combined's. | | | |

**Please answer each question. If a question is not answered, we will assume it is not applicable to your current situation. If you are unsure, please note your questions in the comments.**

| | | YES | NO | COMMENTS |
|---|---|---|---|---|
| 15 | Did you buy or sell any stocks, bonds or mutual funds (do not include any activity within a 401k, IRA's, or any other tax protected account as this is not taxable income)? If so, include all 1099-B's and 1099-Combined's. Also, we will need to determine cost basis for the investments sold, so we will need purchase dates and purchase price for all sales if not provided on the broker statement, as well as other adjustments to basis (stock splits, historical dividends, etc). | | | |
| 16 | Did you receive any retirement plan distributions or (401k, IRA, annuity, etc)? If so, include all 1099-R's. We will need to determine whether the full amount of these distributions are taxable, so please indicate if any of the funds distributed were originally contributed post-tax (ex: non-deductible IRA or Traditional IRA which you did not deduct when the contribution was made). **If none, we will assume the full distribution is taxable in 2011.** | | | |
| 17 | Did you convert a retirement account to a Roth IRA in 2011? If so, include all 1099-R's. We will need to determine whether the full amount of these conversions are taxable, so please indicate if any of the funds distributed were originally contributed post-tax (ex: non-deductible IRA or Traditional IRA which you did not deduct when the contribution was made). | | | |
| 18 | Did you own any rental property? If so, provide all income and expense details (including, but not limited to: utilities, repairs, HOA, insurance, security deposits received or returned, etc), as well as 1098's for any mortgages and any settlement statements for purchases/refinances/sales that occurred in 2011. | | | |
| 19 | Did you own a business or were you self-employed? If so, include all income and expense details, or provide us a copy of your books. **Please complete the business addendum at the end of this questionnaire.** | | | |
| 20 | Did you use space in your home solely for any business or for your job in 2011? If so, please include office and total home square footage (if we don't already have this from prior years) as well as total 2011 costs for home expenses such as utilities, insurance, HOA dues, repairs & maintenance, renovations, etc. **Please complete the business addendum at the end of this questionnaire.** | | | |
| 21 | Did you receive any disability payments? Include any documentation or details. | | | |
| 22 | Did you pay or receive any alimony in 2011 (do NOT include child support)? If so, how much? | | | |
| 23 | Did you receive any unemployment compensation? If so, include Form 1099-G. | | | |
| 24 | Did you receive any social security benefits? If so, include all 1099-SSA's. | | | |
| 25 | Did you make payments for health insurance that were **not** through an employer **pre-tax** group plan? If yes, provide total premium payments, including those for dental, vision, Medigap, and COBRA coverage. | | | |

**Please answer each question. If a question is not answered, we will assume it is not applicable to your current situation. If you are unsure, please note your questions in the comments.**

| | | YES | NO | COMMENTS |
|---|---|---|---|---|
| 26 | Did you pay premiums for a long-term care insurance policy? If so, how much for each person covered? | | | |
| 27 | Did you contribute to a Health Savings Account (HSA)? (Do not include contributions made by your employer on your behalf.) If so, include Form 5498-SA or provide the contribution amount. Also, if you intend to make additional 2011 contributions before 4/16/12, what additional amounts will you fund? | | | |
| 28 | - If you did make HSA contributions, was the health insurance policy an individual or a family plan? | | | |
| 29 | Did you withdraw money from an HSA? If so, include all 1099-SA's. | | | |
| 30 | - Were all funds withdrawn used for qualified medical expenses? | | | |
| 31 | Did you incur any out of pocket medical costs? If so, provide at least an estimate of the total amount paid in 2011. Medical costs are limited as to deductiblity, so we can determine from your estimate if we think the medical costs are in excess of IRS limits. If it appears that medical costs can be deductible, we will request more specific information. | | | |
| 32 | Did you incur any mileage on your vehicle for medical purposes? If so, how many? | | | |
| 33 | Did you pay any student loan interest? If so, include all 1098-E's. | | | |
| 34 | Did you make any contributions to a Traditional IRA? If so, include Form 5498 or provide the contribution amount. | | | |
| 35 | - Do you want to make a contribution prior to filing the 2011 tax return (can be made until 4/16/12 for 2011 tax year)? | | | |
| 36 | Did you make contributions to a Roth IRA? If so, include Form 5498 or provide the contribution amount. | | | |
| 37 | - Do you want to make a contribution prior to filing the 2011 tax return (can be made until 4/16/12 for 2011 tax year)? | | | |
| 38 | Did you make contributions to any Colorado 529 tuition savings plan? If so, provide amount contributed. If you are not a Colorado resident, did you contribute to a 529 plan for your state of residence? | | | |
| 39 | Did you work in grades K-12 in any of the following roles: teacher, counselor, aide, or principal? If so, how much did you pay out of pocket for classroom expenses in 2011 that were not reimbursed? | | | |
| 40 | Did you buy any real estate in 2011, including a principal residence? If so, include the settlement statement. | | | |
| 41 | Did you sell any real estate in 2011, including a principal residence? If so, include the settlement statement and any additional selling costs not on the settlement statement. Also provide original purchase date and cost, if we would not have this from prior years. For any rental property or residence that was used partially for business, also provide amounts of capital improvements made since purchase. | | | |
| 42 | Did you refinance any real estate in 2011? If so, include the settlement statement. | | | |
| 43 | Did you incur mortgage interest on your principal residence, second home, or rental? If so, include all 1098 Mortgage Interest statements. | | | |

**Please answer each question. If a question is not answered, we will assume it is not applicable to your current situation. If you are unsure, please note your questions in the comments.**

| | | YES | NO | COMMENTS |
|---|---|---|---|---|
| 44 | Do you have a first mortgage on your primary residence with a principal balance greater than $1 million or a home equity loan with a balance greater than $100,000? | | | |
| 45 | Do you pay mortgage insurance? If so, and if your mortgage was taken out in 2007 or later, provide the amount paid in 2011. Note this is insurance on your mortgage required by your lender, which is not the same as homeowner's insurance. | | | |
| 46 | Did you receive a First-Time Homebuyer credit on your 2008 tax return? If so, part of that credit may need to be repaid in the current year and future years. **If we do not already have a copy of your 2008 tax return, please include a copy of the 2008 tax return.** Also include Notice CP03A that you should have received from the IRS regarding repayment of the credit. | | | |
| 47 | If you received a First-Time Homebuyer credit in 2008, 2009, or 2010, it is possible that you may be subject to some recapture of that credit (separate from the recapture noted above in #46). If you sold your home or converted your entire home to rental or business use within 36 months of purchasing your home, you may have to repay a portion of your homebuyer credit. If this situation exists, please provide us with a copy of your tax return on which you claimed the First-Time Homebuyer credit (if not previously provided), and the details of the subsequent sale or conversion of your home. | | | |
| 48 | Did you pay property taxes on any real estate? If so, provide amount paid in 2011, or include statement from County Assessor. | | | |
| 49 | Did you purchase a vehicle, boat or any other large item, other than real estate? If so, include the purchase statement or indicate the amount of sales tax you paid. | | | |
| 50 | Did you include your auto registrations? Please note the deductible portion is not equal to the total registration expense that you paid. Please provide us with the actual registration form (probably in your auto's glove box) or the tax paid amount only. | | | |
| 51 | Did you make any charitable contributions by cash, check, or credit card? If so, the IRS requires you to keep all receipts or cancelled checks. Provide us with a summary of these contributions. | | | |
| 52 | Did you make any noncash charitable contributions (property, clothing, etc)? Provide us with receipts or a list showing each contribution date, charity name & address, total dollar amount, and description of the donated items. | | | |
| 53 | Did you incur any mileage on your vehicle for charitable purposes? If so, how much? | | | |
| 54 | Did you incur any unreimbursed expenses for your job (including, but not limited to: mileage, travel, home office, cell phone, etc)? If so, provide details of type of expense and total dollar amount. | | | |
| 55 | Did you have any foreign bank accounts at the end of the year? If so, what was the balance of these accounts at the end of the year? | | | |
| 56 | Did you make any estimated tax payments to IRS or State for 2011? List dates and amounts. | | | |

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**Please answer each question. If a question is not answered, we will assume it is not applicable to your current situation. If you are unsure, please note your questions in the comments.**

| | | YES | NO | COMMENTS |
|---|---|---|---|---|
| 57 | Did you make any of the following improvements on your home in 2011 (must have been installed by 12/31/11): high-efficiency heating & air conditioning system; high-efficiency water heater; stove that burns biomass; energy-efficient windows, skylights, or doors; qualifying insulation or roof; solar electric system; solar water heater; fuel cell; small wind energy; or geothermal heat pump? If so, include details. Please note: total cost for purposes of determining the credit does include installation, but you must deduct any rebates you received (utility, government, etc). | | | |
| 58 | Will you be 70 ½ or older in 2012? If so, have you calculated your required minimum distributions for your IRAs? Please let us know if you require help with this. | | | |
| 59 | Do you want to contribute $3 per tax payer to the Presidential Campaign Fund? | | | |
| 60 | Do you want to review your tax return before we E-file? | | | |
| | **How would you like to receive your refund, if applicable?** | | | |
| | **- Direct Deposit (quickest method)** | | | |
| | **-Mailed check** | | | |
| | **- Applied to 2012 estimated taxes** | | | |
| 61 | If direct deposit, provide the following (even if we have it) | | | |
| | - Bank Routing Number: | | | |
| | - Bank Account Number: | | | |
| 62 | If you owe money, would you like to have it automatically withdrawn from your bank account? If so, provide the details above. | | | |

***SHAW & ASSOCIATES PROVIDES A FULL RANGE OF SERVICES TO OUR CLIENTS. PLEASE INDICATE BELOW IF YOU NEED ASSISTANCE IN ANY AREAS IN THE COMING YEAR.***

| | YES | NO | COMMENTS |
|---|---|---|---|
| **TAX SERVICES** | | | |
| Tax Planning and Consultation –Minimize tax liability and make the most of available tax deductions throughout the year. | | | |
| IRS Representation –Assistance with IRS, and State Tax Notices. Settle past IRS debt, often at a lower negotiated amount. | | | |
| Estate, Trust, or Gift Tax Returns | | | |
| **FINANCIAL SERVICES** | | | |
| Personal Retirement Plans – IRAs, SEP IRAs, Roth IRAs, 401(k) | | | |
| Investment Reviews and Analysis – Develop strategies to accomplish long-term goals, address volatility and any other concerns you might have. | | | |
| Insurance Review - Life, Health, Long Term Care | | | |
| College Planning | | | |
| Estate Planning | | | |
| Gift Planning | | | |
| General Consulting: Budgeting, Mortgage Refinance, Will Preparation, Overall Financial Planning, Other (if other, please specify). | | | |

# Business Addendum to Tax Questionnaire

*If you are a corporation, S-corp, partnership, or LLC and we prepare a separate tax return for your business, you **DO NOT** need to complete this addendum.*

| | |
|---|---|
| **Business Vehicle Information:** The IRS is beginning to enforce more stringently requirements for detailed mileage records that support business use of vehicles. It is the responsibility of the business to have these records available upon the request of the IRS. While we do not require that you provide us with these detailed records, please summarize business vehicle use below: | |
| - Vehicle 1: | |
| Year, Make, Model | |
| Total Business Miles for January 1, 2011 – June 30, 2011 | |
| Total Business Miles for July 1, 2011 – December 31, 2011 | |
| Total 2011 Miles (Business and Personal Combined) | |
| Additional 2011 expenses for vehicle not already in books (unless the standard mileage deduction will be used for this vehicle) If information does not fit in the box, please submit separately. | |
| If you have more than one vehicle, please provide the information above for each vehicle | |

| | |
|---|---|
| **Home Office Information** If the business owner works out of the home, please complete the following: | |
| 2011 Total Mortgage Interest | |
| 2011 Property Taxes | |
| 2011 Total Utility Costs (Electric, Gas, Water, Sewer, Trash) | |
| 2011 Total Property Insurance Costs | |
| 2011 Maintenance Expenses | |
| 2011 Repairs | |
| 2011 HOA Fees | |
| Other expenses for 2011: | |
| Other expenses for 2011: | |
| **If home office is new in 2011 or if you have changed home office square footage:** | |
| -Date home office first used. | |
| -Square footage of the space used solely for business. | |
| -Total finished square footage of the home, not including unfinished basements and garages. | |
| -If home newly purchased, purchase price of home plus cost of major improvements. | |

***SHAW & ASSOCIATES PROVIDES A FULL RANGE OF BUSINESS SERVICES TO OUR CLIENTS. PLEASE INDICATE BELOW IF YOU NEED ASSISTANCE IN ANY AREAS IN THE COMING YEAR.***

| ACCOUNTING & BOOKKEEPING SERVICES | YES | NO | COMMENTS |
|---|---|---|---|
| Business Consulting – Profitability Analysis, Business Growth Management | | | |
| Financial Statement Preparation | | | |
| Assistance Obtaining Business Financing, Loan Presentation Preparation | | | |
| Training – QuickBooks, Payroll, or other Bookkeeping Training | | | |
| As a QuickBooks ProAdvisor, we can offer you a discount on your software. Would you like to purchase QuickBooks or upgrade your version? | | | |
| Payroll Assistance – Quarterly payroll tax filings or ongoing payroll assistance | | | |
| W-2 Preparation or 1099 Preparation (please specify in comments) | | | |
| Sales Tax Filing | | | |
| QuickBooks File Review/Clean Up | | | |
| Other – please specify in comments | | | |