



General Tax Organizer - Individuals 1040

Thank you for choosing our firm to assist you with your 2020 tax returns. We are committed to providing you with convenient, reliable, and efficient tax preparation services. To get started, schedule an appointment then complete this tax organizer in its entirety. Please note, fees for tax preparation services are situation-specific. This will be disclosed only after we've reviewed your documents and discussed your situation in detail. However, there is no cost for an in-person estimate and it's offered under no obligation.

Schedule an Appointment:

Office appointments must be scheduled at least 24 hours in advance. This can be done online, where you'll see our availability in real-time, and have the opportunity to choose a time slot that works best for you. You can also make an appointment by calling (949) 625-4271. Please note, that we do not accept walk-ins.

Make an Appointment Online

Complete Tax Organizer:

Table with 3 columns: Section, Pg., Instructions. Rows include Personal Information, Questionnaire, Document Checklist, and Letter of Engagement.

We strongly recommend completing this tax organizer in advance and bringing it, along with all your other documents (pg. 7) and worksheets, to your appointment. Being thorough and well-prepared is appreciated.

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Fillable PDF
This organizer can be printed and completed by-hand or as a fillable PDF. For technical advice, we recommend visiting the Adobe Help Center and reading; How to fill in PDF forms.



MAILING ADDRESS

Street  Unit/Apt. #   
 City  State   
 County  Zip Code   
 Other than CA, list any state requiring a tax return:

Outside U.S. Only  Foreign Province/State   
 Foreign Country  Postal Code

YOUR INFORMATION

Name (First, Mi, Last)   
 Social Security No. (or ITIN)  -  -  Date of birth   
 Email  Cell Phone # (  ) -   
 Occupation

SPOUSE'S INFORMATION

Name (First, Mi, Last)   
 Social Security No. (or ITIN)  -  -  Date of birth   
 Email  Cell Phone # (  ) -   
 Occupation

DEPENDENT'S INFORMATION More than 2 dependents? Provide details in Additional Information section on page 6.

1 **Name** (First, Mi, Last)   
**Social Security No.** (or ITIN)  -  -  **Date of birth**   
**Relationship**  **Months in Home**   
 If dependent was over 18, provide the following:  
**Total Annual Income \$**  **Permanently & totally disabled?**   
**College or school attended?**

2 **Name** (First, Mi, Last)   
**Social Security No.** (or ITIN)  -  -  **Date of birth**   
**Relationship**  **Months in Home**   
 If dependent was over 18, provide the following:  
**Total Annual Income \$**  **Permanently & totally disabled?**   
**College or school attended?**



FILING STATUS (Married)	Y	N	U
Were there any changes to your filing status from the prior year?			
Were you considered legally married on or after the first day of the year (Jan. 1)?			
Were either you or your spouse, considered a nonresident alien for any part of the year?			
Did you reside with your spouse for the entire tax year?			
Was your main home, and the home of your spouse, in the U.S for more than half the year?			
Were you divorced or legally separated on or before the last day of the year (Dec. 31)?			
Could you, or your spouse, be a qualifying child of another person?			
Were you or your spouse eligible to be claimed as a dependent on anyone else's federal income tax return for the year?			

DEPENDENT INFORMATION	Y	N	U
Were there any changes in dependents from the prior year?			
Do you have any children under age 19 or a full-time student under age 24 with unearned income in excess of \$1,100?			
Do you have dependents who must file a tax return?			
Did you provide over half the support for any other person(s) other than your dependent children during the year? (Provide details in Additional Information section)			
Did you pay for childcare while you worked or looked for work?			
Did you pay any expenses related to the adoption of a child during the year?			
If you are divorced or separated with child(ren), do you have a divorce decree or separation agreement which establishes custodial responsibilities?			
Was any child, dependent, or earned income tax credit claimed in a previous year disallowed or reduced?			

HEALTH CARE INFORMATION	Y	N	U
For every month of the year, did you have qualifying health care coverage [such as employer, government, or self-sponsored coverage] for you and your family?			
Are you or any members of your family covered under Medicare or Medicaid?			
Did you or anyone in your family qualify for an exemption from the health care coverage mandate?			
Did you enroll in lower cost Marketplace Coverage through healthcare.gov under the Affordable Care Act?			
Did you make any contributions to a Health Savings Account or Archer MSA?			
Did you receive any distributions from a Health Savings Account (HSA), Archer MSA, or Medicare Advantage MSA?			
Did you pay long-term care premiums for yourself or your family?			



PURCHASES, SALES, AND DEBT INFORMATION	Y	N	U
Did you start a new business or purchase rental property during the year?			
Did you acquire a new or additional interest in a partnership or s corporation?			
Did you sell, exchange, or purchase any real estate during the year?			
Did you foreclose or abandon a principal residence or real property during the year?			
Did you acquire stock, dispose of stock, or maintain one or more non-retirement (taxable) brokerage accounts during the year?			
Did you take out a home equity loan this year for the purpose of buying, bulding, or substantially improving your main home or second home?			
Did you refinance a principal residence or second home this year?			
Did you sell an existing business, rental, or other property this year?			
Did you lend money with the understanding of repayment this year and it became totally uncollectable?			
Did you have any debts canceled or forgiven this year?			
Did you purchase a qualified plug-in electric vehicle or qualified fuel cell vehicle this year?			
Did you make energy efficient improvements to your main home this year?			

INCOME INFORMATION	Y	N	U
Did you have any foreign income or pay any foreign taxes during the year directly or indirectly, such as from investment accounts, partnerships, or a foreign employer?			
Did you receive any income from property sold prior to this year?			
Did you receive any unemployment benefits during the year?			
Did you receive any disability income during the year?			
Did you receive any tip income not reported to your employer this year?			
Did any of your life insurance policies mature or did you surrender any policies?			
Did you receive any awards, prizes, hobby income, gambling income, or lottery winnings?			
Did you engage in any bartering transactions?			

RETIREMENT INFORMATION	Y	N	U
Are you an active participant in a pension or retirement plan?			
Did you receive any Social Security benefits during the year?			
Did you make any withdrawals from an IRA, Roth, Keogh, SIMPLE, SEP, 401(k), or other qualified retirement plan?			
Did you receive any lump-sum payments from an IRA, Roth, Keogh, SIMPLE, SEP, 401(k), or other qualified reirement plan?			
Did you contribute to an IRA, Roth, Keogh, SIMPLE, SEP, 401(k), or other plan?			



EDUCATION INFORMATION	Y	N	U
Did you, your spouse, or your dependents attend a post-secondary school (such as a college institution or technical, trade, or mechanical school) during the year?			
Did you have any educational expenses during the year on behalf of yourself, your spouse, or your dependent(s)?			
Did anyone in your family receive a scholarship of any kind during the year?			
Did you make any withdrawals from an education savings or 529 Plan account?			
Did you make any contributions to an education savings or 529 Plan?			
Did you or your spouse pay any student loan interest this year?			
Did you cash any Series EE or U.S. Savings bonds issued after 1989?			

FOREIGN ACCOUNTS AND VIRTUAL CURRENCY	Y	N	U
Did you have a financial interest in or signature authority over a financial account (such as a bank account, securities account, or brokerage account) located in a foreign country? If yes, provide name of country where foreign financial account(s) is located:			
1) Name of foreign country:			
2) Name of foreign country:			
3) Name of foreign country:			
Did you receive a distribution from or was the grantor of, or transferor to, a foreign trust?			
Did you receive, sell, send, exchange, or otherwise acquire any financial interest in any digital, crypto, or virtual currencies (Bitcoin, Ethereum, etc.)?			

ITEMIZED DEDUCTIONS	Y	N	U
Did you pay out-of-pocket medical expenses (co-pays, prescription drugs, etc.)?			
Did you pay any state or local tax on real estate or other personal property?			
Did you pay mortgage interest, points, or mortgage insurance premiums to buy, build, or improve your home?			
Did you make any cash contributions (cash donations) during the year?			
Did you make any noncash contributions (property donations) during the year?			
Did you incur a casualty or theft loss or any condemnation awards?			

STATE ONLY DEDUCTIONS	Y	N	U
Other than commuting to work, did you have any unreimbursed vehicle expenses?			
Did you have unreimbursed travel expenses related to your employment?			
Did you maintain a home office at your employer's benefit?			
Did you incur moving costs because of a job change?			
Did you have any expenses related to seeking a new job during the year?			
Do you owe sales or use tax on any out-of-state purchases?			



TAX CORRESPONDENCE & PAYMENTS						Y	N	U
Did you receive correspondence from the IRS or any state tax authority?								
Did you pay "Estimated Taxes" this year?								
Payee:	Q1	Q2	Q3	Q4	Other	Total		
Federal								
State								

DIRECT DEPOSIT INFORMATION

Name of Bank

Routing Number  Account Number

Type of Account:  Checking  Savings  IRA/Other

FEDERAL & STATE TAXES	IRS	CA	N/A
If your tax return results in a balance due, indicate which return should include the banking details provided above (Direct Deposit Information) so that balance due is paid via direct debit?			
	For most, this option is not recommended.		

ADDITIONAL INFORMATION

Tax Planning (Next 12-months)	Y	N	U
Do you expect your filing status or number of dependents to change?			
Did you retire, change jobs, or are you planning on doing so?			
Do you expect a large fluctuation in income, deductions, or withholding next year?			
Are you and your spouse withholding, or paying quarterly, the amount of federal and state income tax owed evenly throughout the year?			
Have you, or will you, gift \$15,000 or more to any individual?			



**DOCUMENT CHECKLIST**

This checklist includes many but not all of the documents you may need to collect and provide us:

Income Documents			
Copy of last filed federal & state tax return - New clients only:		When did you last file?	
Form W-2 (Employee Wages)	SSA-1099 (Social Security Benefits)	1099-INT (Interest)	
1099-MISC (Nonemployee Comp.)	1099-G (Government Payments)	1099-DIV (Dividends)	
1099-R (Retirement Distributions)	1099-MISC (Other Miscellaneous)	1099-C (Cancellation of Debt)	
Partner Sch. K-1 (1065)	Beneficiary Sch. K-1 (1041)	W-G (Gambling Winnings)	
Shareholder Sch. K-1 (1120-S)	1099-B (Proceeds from Broker/Barter)	1099-S (Real Estate Sale)	
Other Questionnaire Documents			
Filing Status (Married)		Dependent Information	
Marriage Certificate (Courthouse)		Dependent's Income Tax Returns	
Divorce Decree or Legal Separation (Court/Legal)		Care provider details/amounts paid	
IRS CP565 Notice - Spouse's ITIN		Custodial/Adoption paperwork (Legal)	
Health Care Information		Retirement Information	
1095-A: Health Insurance Marketplace		5498: Contribution Information	
1095-B: Minimum Essential Health Coverage		Education Information	
1095-C: Employer-Provided Health Coverage		1098-T: Tuition Statement	
5498-SA: Health Savings - Contributions		Payments for qualified education expenses	
1099-SA: Health Savings - Distributions		1098-E: Student Loan Interest	
1099-LTC: Long Term Care Benefits		1099-Q: Payments - Qualified Edu. Programs	
Purchases, Sales, & Debt Information		Itemized Deductions	
P&L: Business Income Statement		Medical co-pays, prescriptions, etc. payments	
Buyer's/Seller's Final Settlement Statement		Real estate & personal property tax payments	
1098: Mortgage Interest Statement		1098: Mortgage Interest Statement	
Certification of qualified plug-in vehicle		Statement or evidence of cash donations	
Installation of solar or residential energy		Receipt or detail list of noncash donations	
Real Estate Withholding Statement (CA Form 593)		Statement of gambling losses	
Buyer/Seller Final Escrow Statement		Evidence of casualty and theft losses	
Correspondence & Payments		State Only Deductions	
IRS correspondence, notices, or tax bills		Unreimbursed vehicle expenses (mileage log)	
State correspondence, notices, or tax bills		Unreimbursed travel expense receipts	
Federal estimated tax payment confirmations		Other unreimbursed employee expenses	
State estimated tax payment confirmations		Qualified moving expense receipts	
		Expenses incurred in new job search	
Foreign Accounts & Virtual Currency			
Foreign bank account statement showing highest annual balance and/or annual transaction history of any virtual currency accounts			
Supplemental Worksheets			
Profit or Loss from Business (Self-employed, contractors, gigs)		Business Income (Worksheet)	
Rental Income or Loss (Real estate rental income)		Rental Income (Worksheet)	
Noncash Donations Itemized List (Donations exceeding \$500)		Noncash Donations (Worksheet)	



## LETTER OF ENGAGEMENT - INDIVIDUAL TAX RETURN

This letter is to inform you, the taxpayer, of the services we, the Firm (Yorktown Main – Tax & Accounting), will provide you, and the responsibilities you have for preparation of your tax return(s).

### GENERAL FIRM RESPONSIBILITIES

We will prepare your 2020 federal and state income tax returns based on information you furnish. We will process the returns and provide you with copies for your records. We will electronically file your returns or provide you with paper copies for you to file with the required jurisdictions. We will not audit or otherwise verify the data you submit but will rely on the information you provide. We will keep copies of your return as required by law.

### GENERAL CLIENT RESPONSIBILITIES

You are responsible for providing, in a timely manner, the complete information needed to prepare your returns. For purposes of this agreement, “timely manner” is defined as the greater of either the first of any month in which a return is due or 60 calendar days after our services are engaged. The date this agreement is executed will be the engagement’s start date for purposes of determining if complete information was timely provided.

You agree to report all your taxable income, including any bartering, partnership interests, sales of business or personal assets, and all investment income from all sources. You also agree to provide information about any person working in your household. If you are unable to provide all required information by the first of any month in which a return is due, you understand that a filing extension may be required and that the return may not be completed by the filing date.

### CLIENT SUBSTANTIATION REQUIREMENTS

You agree that if you claim a deduction, you will keep timely and appropriate records and receipts. If you use any asset for both business and personal purposes, you are required to substantiate the deduction by adequate records or evidence. If you claim any such deduction, you represent that you have the required evidence. You are solely responsible for retaining the supporting documents and other substantiation to present to the taxing authorities in the case of an examination (“tax audit”). Should you have any questions on what will satisfy these requirements, we will be happy to advise you.

### CONFLICTS OF INTEREST

You agree to inform us if you are aware of any possible or actual conflict of interest between you and any other client of the Firm, including your spouse or Registered Domestic Partner.

### DUE DILIGENCE & FAVORABLE INTERPRETATION

We will exercise due diligence in interpreting all tax rules and regulations that may affect the preparation of your return and will resolve questions of interpretation in your favor if there is reasonable justification to do so. We require that aggressive positions be disclosed as appropriate on Form 8275.

### REMINDER OF CLIENT SIGNATURE

When you sign the return, or the electronic substitute, you declare that you have examined the return, including all the accompanying schedules and statements, and that they are true, correct, and complete, to the best of your knowledge and belief.





### FIRM FEE POLICY

Our minimum fee for tax preparation is \$200. In most cases, fees for the preparation of tax returns are based on the federal and state tax forms we must prepare. Form-based fees will be itemized on the invoice provided to you before any preparation services begin. In the event no form-based fee is available, or the preparation services required exceed that of most cases, our standard hourly rate of \$250 will be applied. You will be provided a copy of any invoice, either in-person or electronically, and the payment of that invoice is due upon receipt. In addition to signing this agreement, the invoice payment is required to confirm our engagement.

If your return is audited and we have made an error, we will refund your fees up to the amount of penalty our error may have cost you, provided that you have furnished the relevant information as shown in our files. We do not reimburse additional tax or interest due.

### ELECTRONIC FILING

You are aware that the Firm is required to electronically file all federal and most state returns, including California, that qualify for e-filing. You agree for us to electronically file your return so long as it qualifies.

### ADDITIONAL CHARGES

We will be available to answer your inquiries and to consult with you on tax matters throughout the year. To encourage you to consult us regarding the tax consequences of any major action you are considering, we do not charge an additional fee for routine consultations. We reserve the right to bill at our regular hourly rate of \$250 for matters requiring substantial research but will not begin work for additional charges without your prior consent.

### REQUIRING CLIENT TO NOTIFY OF AUDIT OR CORRESPONDENCE

Your returns are, of course, subject to review by tax authorities. You agree to inform us immediately of any notices from the Internal Revenue Service, Franchise Tax Board, or other state tax authorities. In many cases, the issues can be resolved quickly and simply if prompt action is taken. Therefore, we ask that you send a copy of any correspondence you receive as soon as possible. In the event of a tax audit, we are available to represent you, with billing at our standard rates.

**SIGNATURES.** By signing below, you acknowledge that have read, understand, and accept your obligations and responsibilities and that you understand our responsibilities in preparing your tax return as explained above. For a joint return, both taxpayers must sign.

-----  
Print Name

-----  
Signature

-----  
Date

-----  
Spouse - Print Name

-----  
Signature

-----  
Date

**PRIVACY POLICY.** The Firm will maintain the privacy of your information as required by law. While in general we are not permitted to disclose tax information to third parties without your consent, under some circumstances we may share information between related parties without specific authorization—for example, between spouses, parents and children, or grandparents and grandchildren. If you are a member of one of those groups and do not want your information shared, please advise us. However, you agree to allow the Firm to share your name, address, telephone number, and e-mail address with other firms only if needed for our administrative purposes. The Firm will never sell or share your information for outside commercial purposes.

**CONFIDENTIAL:** The information contained in these documents is confidential, privileged and only for the information of the intended recipient and may not be used, published, or redistributed without the prior written consent of Yorktown Main - Tax & Accounting. 9