

Types of Tax Forms From Your Investment Accounts

1099 Tax Form (Individual & Consolidated)

When: End of February

What for:

- Individual Includes: individual funds, stocks, or alternative investments you own for holdings in custodial/brokerage/advisory accounts. (REIT's, annuities, etc.)
- Consolidated Includes: 1099-DIV, 1099-INT, 1099-MISC, and any other information your tax preparer needs. (Schwab, etc.)

How to access: Sometimes are mailed, but always can be downloaded using your client login to the various custodians or brokerages.

1099-R Tax Form

When: End of February

What for: Distributions out of an IRA or ROTH, including IRA to ROTH conversions.

How to access: Sometimes are mailed, but always can be downloaded using your client login to the various custodians or brokerages.

8606 Tax Form

When: Not sent out or provided by a custodian.

What for: If you performed a 'Backdoor ROTH Conversion', your tax preparer needs to file an 8606.

How to access: Prepared and filed by your CPA/tax preparer (and will appear in your filed tax return).

Please keep in mind that each situation is unique. If you need extra support regarding any of these forms or have further questions, please feel free to email us. If you have questions that are tax specific, we encourage you to contact your CPA/tax preparer.



K-1 Tax Form

When: Deadline for the partnership or LLC is 3/15, but can be extended to 9/15 of each year.

What for: These are issued by partnerships, LLCs, and S Corporation investments.

How to access: K-1 forms are issued by the partnership/LLC/S Corporation investment.

5498 IRA (and ROTH) Contribution Information Form

When: Mid to late May

What for: Confirmation of your contributions. Does NOT need to be filed with IRS, but keep with tax files. Used only for verification.

How to access: Sometimes are mailed, but always can be downloaded using your client login to the various custodians or brokerages.

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