Tax-Intelligent Marketing for Tax Season

Agenda

- Prepare Your Team
- Leverage Tax Engagement Packets
- Market to Tax Clients Via Email & Social
- Follow Up Post-Season

Converting Tax-Only Clients to Financial Planning

- Explain the value of a tax-intelligent approach
- Use tools to identify specific ways to improve their financial situation
- Start your discussion with the problem or opportunity

Prepare Your Team

Explain the Mission & Outline Expectations

Identify Target Clients Prior to Tax Season

Teach Them What to Look For

Triggers for Financial Planning Conversations

- 1040:

  Line 2a & b: Tax exempt/taxable interest income

  Line 3a & b: Qualified/ordinary dividends

  Line 4 & 5: IRA distribution/pension & annuities

  Line 6a & b: Social Security

- Schedule 1:

  Line 3: Schedule C income

  Line 5: Rental, royalties, partnership, S Corp income

- Schedule A:

  Line 8 & 9: Mortgage interest

  Line 11 & 12: Charitable gifts

- Schedule D:

  Line 6 & 14: Capital loss carryover

- 1120/1120S:

  Line 13 & 17: Pension contribution

- Other:

  Dependents

Upload a Tax Return to the 1040 Analyst


1040 Analyst® Report

Avantax®

Prepared by Duncan Gates for Tony Stark

$2,726.54
Tax Savings and More

We understand that taxes play an integral role in all of life's circumstances. I have been able to identify your investment planning opportunities based on the information within your tax return. What follows is a highly personalized view of potential gaps and suggestions that may assist me in aligning your wealth management approach with your future goals.

Top Saving Opportunites for You

Maximizing your Traditional IRA can reduce your tax liability up to $1,142.86.
Contributions you make to a Traditional IRA may be fully or partially deductible, amounts in your Traditional IRA (including earnings and gains) are not taxed until distributed.

As you or your spouse are over 65, it may be beneficial to plan for long-term care to mitigate any financial impact it may have a family.
Long-term care insurance can provide benefits for medical and other services provided to insured individuals who need constant care in their own homes or in a nursing home.

You may benefit from a beneficiary review to ensure that you preserve and pass on your assets to your heirs as you wish.
Time and life events may cause changes in assets and legacy plans, making a periodic review important.

As a business owner, its beneficial to review your retirement plan and ensure your current plan is still appropriate for your financial and business goals.
A periodic review will confirm that the costs, administration, and contributions limits of your current plan are still the most efficient.

Use your taxable interest as an investment vehicle that can mitigate tax consequences up to $2,700
A review of your investments can reveal your options to achieve your financial objectives.

Avantax Wealth Management® is the holding company for the group of companies providing financial services under the Avantax® name. Securities offered through Avantax Investment Services℠, Member FINRA, SIPC. Investment advisory services offered through Avantax Advisory Services℠. Insurance services offered through licensed agents of Avantax Insurance Agency℠ and Avantax Insurance Services℠. 3200 Olympus Blvd., Suite 100, Dallas, TX 75019. 972-870-6000.

TSI Tax-Smart Investing

Pg. 1

Get Comfortable Opening the Conversation

Current Tax-Only Clients Sample:

Thank you for trusting us with preparing your tax return. I've noticed on your most recent return there are some opportunities you might be missing as it relates to X...

Current Tax-Only Clients Sample:

I'd be happy to do a complimentary review of your investment accounts and retirement plan. There's no obligation to act on anything I might find, but I'd love to learn more about your financial goals to see if we can help you get there.

Practice, Practice, Practice

Outline the Referral Process & Next Steps

Celebrate Wins & Share Client Stories

Leverage Tax Engagement Packets

What to Include in Your Engagement Packet

- Annual engagement letter with recent tax law changes
- Data capture form to collect client updates
- Information about their current financial plan/advisor
- Consent to use & disclose forms
- Collateral about financial planning services

Data Capture Forms

Consent to Use & Disclose Forms

NAME OF TAX PRACTICE
TAX PRACTICE MAILING ADDRESS
PHONE #
FAX #
EMAIL

Note: The consent must be in at least 12-pt type (no more than 12 characters per inch) and must be on 8 ½ by 11 inch or larger paper.

Consent for Disclosure of Tax Return Information

Federal law requires this consent form be provided to you. Unless authorized by law, we cannot disclose your tax return information to third parties for purposes other than the preparation and filing of your tax return without your consent. If you consent to the disclosure of your tax return information, Federal law may not protect your tax return information from further use or distribution.

You are not required to complete this form to engage our tax return preparation services. If we obtain your signature on this form by conditioning our tax return preparation services on your consent, your consent will not be valid. If you agree to the disclosure of your tax return information, your consent is valid for the amount of time that you specify. If you do not specify the duration of your consent, your consent is valid for one year from the date of signature.

INSERT TAX/CPA FIRM NAME and its tax preparers (the "Firm") request your consent to disclose your Tax Return Information as described below.

Purpose One: Disclosure for Compliance with Securities Laws & Regulations

Why is my information being disclosed?	***INSERT TAX PREPARER NAMES*** are affiliated with Avantax Wealth Management and its affiliates ("Avantax") as independent contractors for the purpose of providing clients with financial products and services. The securities laws and regulations require Avantax to capture, retain and supervise its financial services professionals' communications related to Avantax's business.
Where is my information being sent?	Avantax Wealth Management ("Avantax") is composed of: (a) Avantax Investment Services℠, a registered broker-dealer; (b) Avantax Advisory Services℠, a registered investment adviser; and (c) Avantax affiliates, all of which are headquartered at 3200 Olympus Blvd, Suite 100, Dallas, TX 75019.
What information will be disclosed, and how?	Avantax captures, retains, and may review all electronic communications between you and the Firm, regardless of sender or recipient. These communications include your emails and attachments which contain Tax Return Information. Avantax will protect the confidential nature of this information by disclosing it only in response to lawful requests made by state or federal securities regulators, or otherwise as required by law.

[ ] I/we **consent** to the disclosure of my/our Tax Return Information for the purpose above.

[ ] I/we **do not consent** to the disclosure of my/our Tax Return Information for the purpose above.

*Due to financial industry email archiving regulations, I understand that any Tax Return Information communicated to the Firm via email may be disclosed for oversight purposes, and **I will avoid emailing Tax Return Information in order to prevent this disclosure.** If I still choose to send information to the Firm via email, I agree to hold the Firm harmless for any disclosure to Avantax that occurs.*

Page 1 of 2

Include a Firm Services Flyer

Marketing to Tax Clients Via Email

Email Frequency During Tax Season

Emails Should Educate & Provide Value

Drip on Various Tax-Intelligent Planning Topics

Leverage Email Templates

What Determines Car Insurance Rates?	Email	Avantax	Details	Use
[For Existing Clients with Assets at Avant...	Email	Avantax	Details	Use
[For Existing Clients with Assets Held Aw...	Email	Avantax	Details	Use
[For Prospects] Worried about the Market...	Email	Avantax	Details	Use
1099 Forms	Email	Avantax	Details	Use
Approaches to Business Valuation	Email	Avantax	Details	Use
Are you financially prepared for your gro...	Email	Avantax	Details	Use
Asking for Referrals - Version 1	Email	Avantax	Details	Use
Asking for Referrals - Version 2 - Newslet...	Email	Avantax	Details	Use
Asking for Referrals - Version 3 - Newslet...	Email	Avantax	Details	Use

Marketing to Tax Clients Via Social Media

Almost 80% of millennial and Gen Z youth get financial and tax advice from social media.

Prolific

Create a Content Calendar & Schedule in Advance

Post About Notable Due Dates & Holidays

Support Community or Firm Events

Add Relevant Financial Planning and Tax Topics

Share Original Content or News Articles

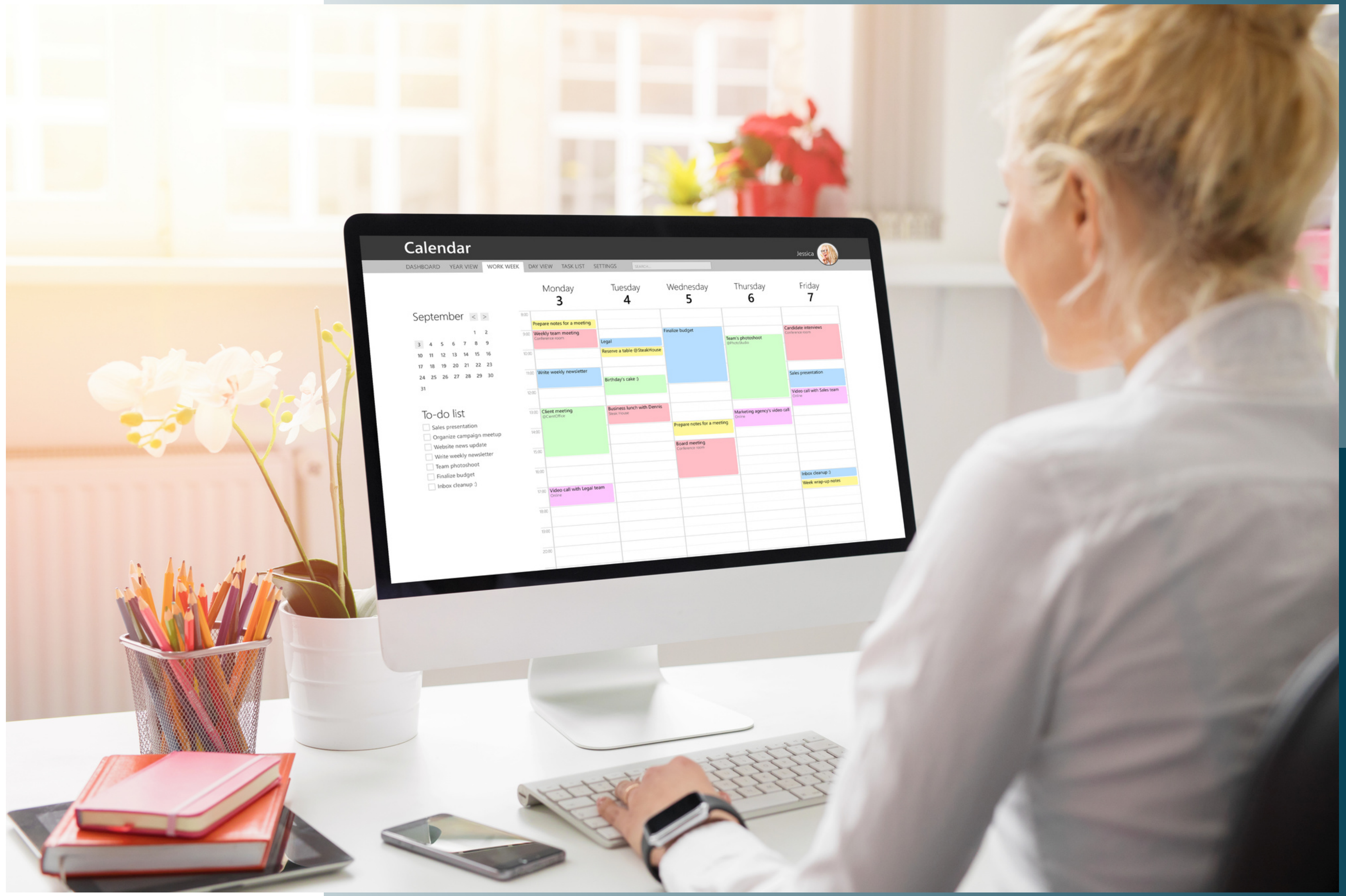
Leave Room for Timely Topics

Follow Up Post-Season

Collateral for Tax Return Pickup or Delivery

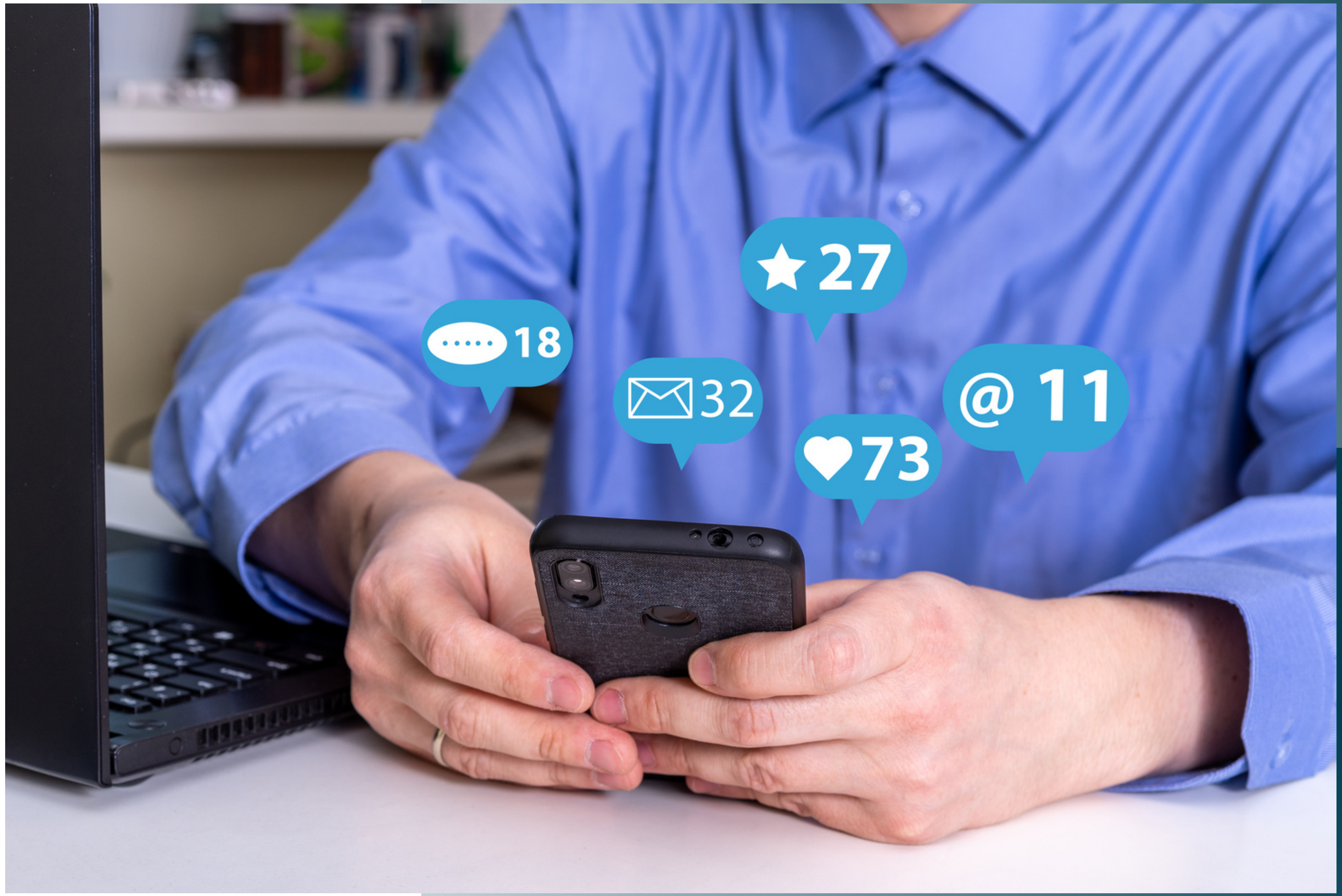
Joint Tax & Wealth Advisor Review Meetings

Be Timely with Booking Follow-Up Meetings



Post-Tax Season Client Events

Post-Season Email and Social Media



91% of customers say they’d give referrals. Only 11% of salespeople ask for referrals.

Spotio

Ask for Referrals of Others You Could Help


Tax-Focused Investment Strategies
Retirement Planning and Withdrawal Strategies
Family Risk Management
Business Planning
Legacy Planning
Education Planning
Cash Flow Management
Avantax
INTELLIGENT PLANNING