

Data Gathering Instructions

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Our goal is to make the data gathering steps as simple as possible.

The chart provided within these instructions outlines the data that is required to be added to the Superior IRA & HSA® platform, along with steps to retrieve this information using your organization’s current data listed on reports from your previous vendor.

We recommend pulling your data at the end of day and keeping track of the date that you retrieved this information in case additional transactions occur after your initial upload.

Upon downloading your existing account owner data from your previous vendor at the initial start of this project, upload the spreadsheets under the **Organization Settings>Organizational Documents** section of the Superior IRA & HSA platform.

Superior will begin to apply the data to the platform and will reach out by email with any data gathering questions until all data has been applied and verified by your organization.

To add additional transactions received by your financial organization after your initial upload, please review our [Adding Additional Data Received After Initial Upload to](#AddAdditionalData) Superior section at the end of this document.

Data Gathering Reports to Pull from Previous Vendor

Follow the instructions provided below to pull a report from your previous vendor for each piece of data gathering required from Superior. Once retrieved, upload these reports to the Superior platform under **Organization Settings>Organizational Documents**.

**IMPORTANT: Before pulling any of these reports, confirm that Social Security number (SSN) masking is disabled for your organization’s reports within your previous vendor’s website.** Take these steps.

1. Click your organization’s name in the upper right corner of your previous vendor’s homepage.
2. Click the **Reporting** tab.
3. Confirm that the selection for the **Account Owner SSN on Reports** drop-down reads, “Display Full SSN”.
4. Change the selection, if necessary, and click **Save** at the bottom of the page.

| **What’s Needed** | **Details** |
| --- | --- |
| **Account Owner Information** | Provide the information outlined below.* All open Traditional, Roth, SEP, SIMPLE IRAs, Health Savings Accounts (HSAs), and Coverdell Education Savings Accounts (ESAs)
* All closed Traditional, Roth, SEP, SIMPLE IRAs, HSAs, and ESAs from January 1 – current day of current year
	+ Only include plan level
	+ Do not add each investment opened under the plan

Follow these steps to pull two versions of the **Account Owner List**, found under the **Reports** link from your previous vendor’s homepage.**Version #1:**1. Select **Owners** from the **Owner/Beneficiary** drop-down.
2. Select **Yes** from the **Exclude Deceased** drop-down.
3. Leave all other fields unchanged.
4. Select **Output to Excel**.
5. Save as “Account Owner List Open”.

**Version #2:**1. Select **Owners** from the **Owner/Beneficiary** drop-down.
2. Enter **01/01/2025** in the **Account Closed Date (start)** field.
3. Enter **12/31/2025** in the **Account Closed Date (end)** field.
4. Select **No** from the **Exclude Closed Accounts** drop-down.
5. Select **Yes** from the **Exclude Deceased** drop-down.
6. Leave all other fields unchanged.
7. Select **Output to Excel**.
8. Save as “Account Owner List Closed in 2025”.
 |
| **Deceased Account Owner Information** | Provide all active deceased owner accounts and those closed in the current year.Follow these steps to pull two versions of the **Account Owner List**, found under the **Reports** link from your previous vendor’s homepage.**Version #1:**1. Select **Owners** from the **Owner/Beneficiary** drop-down.
2. Enter **01/01/1900** in the **Date of Death (start)** field.
3. Enter **12/31/2025** in the **Date of Death (end)** field.
4. Select **No** from the **Exclude Deceased** drop-down.
5. Leave all other fields unchanged.
6. Select **Output to Excel**.
7. Save as “Deceased Account Owner List Open”.

**Version #2:**1. Select **Owners** from the **Owner/Beneficiary** drop-down.
2. Enter **01/01/1900** in the **Date of Death (start)** field.
3. Enter **12/31/2025** in the **Date of Death (end)** field.
4. Enter **01/01/2025** in the **Account Closed Date (start)** field.
5. Enter **12/31/2025** in the **Account Closed Date (end)** field.
6. Select **No** from the **Exclude Closed Accounts** drop-down.
7. Select **No** from the **Exclude Deceased** drop-down.
8. Leave all other fields unchanged.
9. Select **Output to Excel**.
10. Save as “Deceased Account Owner List Closed in 2025”.

**NOTE:** During the onboarding process, deceased owners that died in a prior year are not added to the platform to avoid charging unnecessary per account fees, unless an inherited IRA has not yet been established for the beneficiary. If a deceased owner is not added to the site, you can see that original owner’s information under the inherited IRA for the beneficiary.  |
| **Inherited Account Owner Information** | Provide all active inherited account owner information and those closed in the current year, along with the original deceased owner details.Follow these steps to pull two versions of the **Account Owner List**, found under the **Reports** link from your previous vendor’s homepage.**Version #1**1. Select **Beneficiary** from the **Owner/Beneficiary** drop-down.
2. Select **Yes** from the **Exclude Deceased** drop-down.
3. Leave all other fields unchanged.
4. Select **Output to Excel**.
5. Save as “Beneficiary Owner List Open”.

**Version #2:**1. Select **Beneficiary** from the **Owner/Beneficiary** drop-down.
2. Enter **01/01/2025** in the **Account Closed Date (start)** field.
3. Enter **12/31/2025** in the **Account Closed Date (end)** field.
4. Select **No** from the **Exclude Closed Accounts** drop-down.
5. Select **Yes** from the **Exclude Deceased** drop-down.
6. Leave all other fields unchanged.
7. Select **Output to Excel**.
8. Save as “Beneficiary Owner List Closed in 2025”.
 |
| **Designated Beneficiary and Responsible Individual Information (Coverdell ESAs)** | Provide the following Responsible Individual (RI) data for each ESA (can be provided in a separate spreadsheet since there is no report available within your previous vendor’s website to retrieve this information).1. Designated Beneficiary First & Last Name
2. RI First & Last Name
3. RI Phone Number (optional)
4. RI Email (optional)
5. RI Address Line 1
6. RI Address Line 2
7. RI City
8. RI State
9. RI Zip
10. Does the RI remain the RI after the designated beneficiary reaches the age of majority (yes or no)
11. Can the RI change the designated beneficiary to another family member (yes or no)
 |
| **Fair Market Values** | Provide the account balance on December 31 of last year.Follow these steps to pull the **Fair Market Value** report, found under the **Reports** link, from your previous vendor’shomepage.1. Select **No** from the **Exclude Closed Accounts** drop-down.
2. Select **No** from the **Exclude Deceased Members** drop-down.
3. Select **Output to Excel**.
4. Save as “All FMVs”.
 |
| **Distributions** | Provide all reportable year-to-date distributions.Follow these steps to pull the **Withdrawals** report, found under the **Reports** link from your previous vendor’s homepage.1. Enter **01/01/2025** in the **Withdrawal date (start)** field.
2. Enter **12/31/2025** in the **Withdrawal date (end)** field.
3. Leave all other fields unchanged.
4. Select **Output to Excel**.
5. Save as “Current Year Withdrawals”.
 |
| **Contributions** | Provide all reportable year-to-date deposits (i.e., regular, rollover, conversion, recharacterization). Follow these steps to pull two versions of the **Contributions** report, found under the **Reports** link, from your previous vendor’s homepage. **Version #1**1. Enter **01/01/2025** in the **Date Money Entered (start)** field.
2. Enter **12/31/2025** in the **Date Money Entered (end)** field.
3. Select **2025** from the **Tax Year** drop-down.
4. Select **Output to Excel**.
5. Save as “Current Tax Year Contributions”.

**Version #2**1. Enter **01/01/2025** in the **Date Money Entered (start)** field.
2. Enter **12/31/2025** in the **Date Money Entered (end)** field.
3. Select **2024** from the **Tax Year** drop-down.
4. Select **Output to Excel**.
5. Save as “Prior Tax Year Contributions”.

**NOTE:** Only HSA prior-year deposits will be added to the Superior platform to ensure accurate reporting. Prior-year HSA deposits are reported two years in a row, per IRS instructions. For example, HSA deposits made in 2025 for 2024 are reported in Box 3 of the 2024 Form 5498-SA *and* reported in Box 2 of the 2025 Form 5498-SA. |
| **Recurring Distribution Schedules** | Provide required minimum distribution elections, 72t payment elections, inherited IRA distribution elections, and any Roth IRA recurring distributions.**\*Add any Roth IRA recurring distributions to these lists (since your previous vendor did not track these distributions).**Follow these steps to pull two versions of the **Scheduled Payment List**, found under the **Reports** link from your previous vendor’s homepage.**Version #1:**1. Make no changes to the fields.
2. Select **Output to Excel**.
3. Add an additional column to indicate the direct deposit account, if applicable (checking, savings, etc.)
4. Save as “Scheduled Payments – Entire Year”.

**Version #2:**1. Select the current month from the **Beginning Month (Current Year)** drop-down.
2. Select the current month from the **Ending Month (Current Year)** drop-down.
3. Select **Output to Excel**.
4. Add an additional column to indicate the direct deposit account, if applicable (checking, savings, etc.)
5. Save as “Scheduled Payments – Current Month”.
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| **Users & Roles** | Add your organization’s users to the Superior IRA & HSA platform individually by following the steps in the “How to Add Users Individually to Platform” section or use a batch file as outlined in the “How to Add Users with Superior Templates” section.How to Add Users Individually to PlatformA *User Administrator* at your organization will follow these steps:1. Click **Users** from the left navigation menu in the Superior platform.
2. Click the **Add User** button.
3. Provide the following details.
	1. First name
	2. Last name
	3. Phone number formatted as (###) ###-####
	4. Email address
	5. Job title
	6. Notification preference (all notifications, for user roles only, or none)
4. Select the user’s roles & permissions within the Superior platform
	1. **Beneficiary Claims:** Ability to submit and process beneficiary claims.
	2. **Data Processor:** Ability to upload and process the organization’s imported files.
	3. **Recurring Distributions Administrator:** Ability to review scheduled distributions and notification mailing lists and edit settings for recurring distributions.
	4. **Site Administrator:** Ability to add permissions to administer an organization, including deleting accounts, editing organizational data, updating investments, etc.
	5. **Tax Reporting:** Ability to review/submit the organization’s end of year tax reporting.
	6. **Transactions:** Ability to complete typical teller actions, such as adding new accounts and transactions through the transaction workflows.
	7. **Transactions Administrator:** Ability to review and override some transaction validations from other users.
	8. **User Administrator:** Ability to add, update, and remove users from an organization.
5. Check the box to verify and complete the user registration.

How to Add Users with Superior Templates1. Click **Data Import** from the left navigation menu in the Superior platform.
2. Click **Add Users**.
3. Click the **Import Users** button.
4. Click the **Click Here** link to download the “Users” template.
5. Add user data to the spreadsheet, referring to the “Field Definitions” tab for formatting details.
6. Save spreadsheet and upload under **Organization Settings>Organizational Documents** of the Superior platform.

How to Pull Data from Previous VendorA Security Administrator for your organization may take these steps to pull your **User Report** from your previous vendor’s website.1. Click **My Services** in the Maintenance Tools section of your previous vendor’s homepage.
2. Click **User Report** in the User Management box.
3. Click **Export to Excel Spreadsheet** to export the report to a spreadsheet format.
4. Reformat the spreadsheet to match the template available in the Superior platform (under **Data Import>Add Users>Click Here**), where you’ll provide the required information and reflect the roles that should be assigned to each user within the Superior IRA & HSA platform (outlined on the previous page).
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Additional Reports to Pull Before Termination with Previous Vendor

Superior recommends pulling the following reports before terminating with your previous vendor. These reports do not need to be uploaded to Superior. Instead, please follow the instructions provided below for each report.

| **What’s Needed** | **Details** |
| --- | --- |
| **RMD Scheduled Payment Status List**  | Pull a list of your IRA owners who received an RMD notification mailing from your previous vendor in February of the current year but do not yet have an election saved to your previous vendor’s website.**Do not upload this report to Superior. It is only for your organization’s reference should any follow-up be required internally.**Follow these steps to pull the **RMD** **Scheduled Payment Status Report**, found under the **Reports** link from your previous vendor’shomepage. 1. Make no changes to the fields.
2. Select **Output to Excel**.
3. Save as “RMD Scheduled Payment Status Report” and review the instructions below.

Your prior vendor normally defaults these IRA owners to an election in either December or March (depending on their age). If these IRA owners are not defaulted to an election before you provide Superior with your *Scheduled Payment Lists*, you’ll want to contact these owners to make sure they receive their current year RMD and establish an election on the Superior platform.If an IRA owner listed on this report does not have a recurring distribution added to the Superior platform before Superior completes your RMD notification mailing in February of the following year, the IRA owner will be included in the Superior mailing. However, you’ll want to make sure the IRA owner does not miss satisfying the current year RMD, if possible. |
| **Current & Previous Tax Year Information Reports (1099-R, 1099-Q, 1099-SA, 5498, 5498-ESA, 5498-SA, as applicable)** | Pull a list of up to the past seven years of tax data that your previous vendor has completed on behalf of your organization.**Do not upload this report to Superior. It is only for your organization’s reference should any previous year tax form corrections be required by your organization.**Follow these steps to pull the **Current Tax Year (1099-R, 1099-Q, 1099-SA, 5498, 5498-ESA, & 5498-SA) Information Report** (as applicable), found under the **Reports** link from your previous vendor’shomepage.1. Ensure the **Printed Date From** and **Printed Date To** drop-downs range from the earliest printed date to the latest printed date.
2. Select **Output to Excel**.
3. Save as “Current Tax Year ‘XXXX’ (Tax Form Type – 1099-R, 1099-Q, 1099-SA, 5498, 5498-ESA, or 5498-SA)” and save the file for your organization’s records.

Follow these steps to pull the **Previous Tax Year (1099-R, 1099-Q, 1099-SA, 5498, 5498-ESA, & 5498-SA) Information Report** (as applicable), found under the **Reports** link from your previous vendor’s homepage.1. Select the applicable **Tax Year** from the drop-down (retrieve information for up to the last seven years).
2. Select **All** from the **Form Type** drop-down.
3. Select **Output to Excel**.
4. Save as “Previous Tax Year ‘XXXX’ (Tax Form Type – 1099-R, 1099-Q, 1099-SA, 5498, 5498-ESA, or 5498-SA)” and save the file for your organization’s records.
 |
| **Death Claim Status Report** | Pull a list of current death claims being processed by your previous vendor.**Do not upload this report to Superior. It is only for your organization’s reference should any follow-up be required to finish processing these claims after your organization is live with Superior.**Follow these steps to pull the **Death Claim Status Report**, found under the **Reports** link from your previous vendor’s homepage.1. Select **Output to Excel**.
2. Save as “Death Claim Status Report” and review the list of outstanding claims.

Review the death claims listed under each decedent’s account in your previous vendor’s website to print off any claim documentation needed. Your previous vendor will not return any claim documentation they receive AFTER your termination date with their organization. Therefore, we recommend following up with any beneficiaries/claim contacts to let them know that any future correspondence should be provided to your financial organization (not your previous vendor).  |

Adding Additional Data Received After Initial Upload to Superior

Remember the date that you pull your initial data to upload to the Superior platform. Any transactions processed after this date but before your “live” date with Superior, may be added to the platform using one of the following methods:

1. Complete the applicable transaction workflow under the **Transactions** page of the Superior platform to add the information to the specific account owner’s account.

OR

1. Follow the steps outlined on pages 3–8 to pull the additional information and enter it into the applicable templates provided by Superior under the **Data Import** page of the platform.
	1. Only retrieve information that was added ***after*** the date you initially pulled data through your “live” date with Superior.
	2. Upload the reports under the **Data Import** page for the specific additional data you will be uploading (e.g., Add/Update Accounts, Add/Update Deposits, Add/Update Distributions).
	3. Review the status of the uploaded file to confirm that no errors applied.
	4. Correct any errors, as needed, under the **Data Import** page until no errors remain.

As always, if you have any questions, we’re happy to assist! Please contact us Monday through Friday from 8:00 a.m. to 5:00 p.m. Central Time, using one of the following methods:

* Chat feature located in the bottom right corner of the Superior IRA & HSA platform
* Email at support@superiorira.com
* Call us at 888.470.4542, option 1 for Customer Service