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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 our templates for providing this information. Please use our templates to provide us with your existing account owner data. Do not alter the column headers within these templates.

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.

**IMPORTANT:** Before pulling these reports from your core system, confirm that Social Security numbers (SSNs) are not masked.

Upon completing the templates with the existing account owner data 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](#AddingAdditionalData) Superior section at the end of this document.

| **What’s Needed** | **Details** |
| --- | --- |
| **Account Owner Information & Fair Market Values**  **Deceased Account Owner Information**  **Responsible Individual Information (Coverdell ESAs Only)** | 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 * The account balance on December 31 of last year * All active deceased owner accounts and those closed in the current year * Responsible Individual information for ESAs only   How to Access Superior Templates   1. Click **Data Import** from the left navigation menu in the Superior platform. 2. Click **Add/Update Accounts**. 3. Click the **Import Accounts** button. 4. Click the **Click Here** link to download the “Accounts” template. 5. Add account owner 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. |
| **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.  Use a separate spreadsheet provided by Superior to include the information outlined below.  Upload the completed spreadsheet under **Organization Settings>Organizational Documents**.   1. First Name 2. Last Name 3. Middle Initial 4. Name (If the account owner is non-human, enter the name—such as estate or trust; Leave blank if human) 5. Taxpayer ID Number 6. Date of Birth 7. Address Line 1 8. Address Line 2 9. City 10. State 11. Foreign State/Province/Region (if applicable) 12. Zip Code 13. Country 14. Email Address 15. Account Type 16. Account Number 17. Account Status (Open, Closed) 18. Deceased Owner First Name 19. Deceased Owner Last Name 20. Deceased Owner Taxpayer ID Number 21. Deceased Owner Date of Birth 22. Deceased Owner Date of Death 23. Deceased Owner Account Balance on Date of Death (if owner died in current tax year) 24. Deceased Owner Account Type 25. Deceased Owner Account Number 26. Deceased Owner Account Status (Open, Closed) |
| **Distributions** | Provide all reportable year-to-date distributions.  How to Access Superior Templates   1. Click **Data Import** from the left navigation menu in the Superior platform. 2. Click **Add/Update Distributions**. 3. Click the **Import Distributions** button. 4. Click the **Click Here** link to download the “Distributions” template. 5. Add distribution data to the spreadsheet, referring to the “Field Definitions” and “Distribution Types” tabs for formatting details. 6. Save spreadsheet and upload under **Organization Settings>Organizational Documents** of the Superior platform. |
| **Contributions** | Provide all reportable year-to-date deposits (i.e., regular, rollover, conversion, recharacterization).  **For HSAs:** Include regular current year ***and*** regular prior-year deposits (made in 2024 for 2023). Identify whether a deposit is for tax year 2023 or 2024 in your template to ensure accurate reporting.  **NOTE:** Prior-year HSA deposits are reported two years in a row, per IRS instructions. For example, HSA deposits made in 2024 for 2023 are reported in Box 3 of the 2023 Form 5498-SA *and* reported in Box 2 of the 2024 Form 5498-SA.  How to Access Superior Templates   1. Click **Data Import** from the left navigation menu in the Superior platform. 2. Click **Add/Update Deposits**. 3. Click the **Import Deposits** button. 4. Click the **Click Here** link to download the “Deposits” template. 5. Add deposit data to the spreadsheet, referring to the “Field Definitions” and “Deposit Types” tabs for formatting details. 6. Save spreadsheet and upload under **Organization Settings>Organizational Documents** of the Superior platform. |
| **Recurring Distribution Schedules** | Provide required minimum distribution elections, 72t payment elections, inherited IRA distribution elections, and any Roth IRA recurring distributions.  How to Access Superior Templates   1. Click **Data Import** from the left navigation menu in the Superior platform. 2. Click **Add Recurring Distributions**. 3. Click the **Import Recurring Distributions** button. 4. Click the **Click Here** link to download the “Recurring Distributions” template. 5. Add recurring distribution data to the spreadsheet, referring to the “Field Definitions” and “Distribution Types” tabs for formatting details. 6. Save spreadsheet and upload under **Organization Settings>Organizational Documents** of the Superior platform. |
| **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 Platform  A *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 Templates   1. 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. |

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 the previous pages 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 to your core system ***after*** 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](mailto:support@superiorira.com)
* Call us at 888.470.4542, option 1 for Customer Service