

All information disclosed on this Questionnaire will be held in the strictest confidence and will not be disclosed to any third party without your consent. This form is to be completed by single persons only.

Personal Information

Self

Full Legal Name _____ Social Security # _____

Name you prefer on Legal Documents _____

Address _____ City _____ State _____ Zip _____

County _____ Home Phone _____ Cell Phone _____ DOB _____

Email Address _____ US Citizen? Yes No

Employer _____ Position _____

Address _____ City _____ State _____ Zip _____

Business Phone _____ Business Fax _____

Are either of your parents still living? Yes No

Are either of your grandparents still living? Yes No

Are you a Veteran? Yes No

Are you the Surviving Spouse of a Veteran? Yes No

If yes, please add Service Entry and Discharge Dates _____

Have you ever lived in any of the following states: Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington, or Wisconsin? Yes No

Children (by Birth or Adoption)

Name

Birthdate

Name	Birthdate
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Does any child have special educational, medical or physical needs, or receive governmental benefits? Yes No

Advisors

Accountant _____ Phone _____

Financial Advisor _____ Phone _____

Insurance Agent _____ Phone _____

Referred to Our Firm By _____

Successors

Who will serve as guardian for you and/or your minor children (if any)?

Responses

Guardians	First Choice	
	Second Choice	
	Third Choice	

If you were incapacitated for any period of time, who would you choose to handle your financial affairs?

Responses

Power of Attorney Agents	First Choice	
	Second Choice	
	Third Choice	

If you were incapacitated for any period of time, who would you choose to make health care decisions for you?

Responses

Medical Agents	First Choice	
	Second Choice	
	Third Choice	

Who would you choose to carry out the directions designated in your Last Will & Testament at the time of your death?

Responses

Will Executors	First Choice	
	Second Choice	
	Third Choice	
	Fourth Choice	

Assets Information

The values listed are for discussion purposes only. A more accurate list will be obtained at a later date. You may use the back of this paper to continue a list in each category of asset. To identify the Owner of an asset, use "JTO" for joint ownership with non-spouse; "C" for Client as sole owner; or "T" if owned by a revocable trust that you have created.

Bank and Savings Accounts. To identify type of account, use "CA" for checking account; "SA" for savings account; "CD" for certificate of deposit; "MM" for money market account. *Do not include IRAs or 401(k)s here.*

	Financial Institution	Owner	Market Value	Type of Account
Bank and Savings Accounts	1.			
	2.			
	3.			
	4.			
	5.			

Stocks, Bonds or Investment Accounts. List any and all stocks and bonds you own. If held in a brokerage account, lump them together under each account. *Do not include IRAs or 401(k)s.*

	Stock, Bond or Investment Acct	Owner	Market Value	Type of Plan
Stocks and Bonds	1.			
	2.			
	3.			
	4.			
	5.			

Retirement Accounts. To identify type of account, use "P" for pension; "PS" for profit sharing; IRA, Roth IRA, SEP, or 401(k).

	Custodial Institution	Owner	Market Value	Type of Plan
Retirement Accounts	1.			
	2.			
	3.			
	4.			
	5.			

Real Estate.

	Owner	Market Value	Debt
Real Estate	1. Personal Residence		
	2.		
	3.		
	4.		
	5.		

Personal Property.

	Description	Owner	Market Value	Debt
Personal Property	1. Autos			
	2. Household Contents			
	3.			
	4.			
	5.			

Life Insurance Policies and Annuities. List the issuing company. To identify type of contract, use “T” for term insurance, “CV” for insurance policies having a cash value, “A” for annuities.

	Insurance Company	Type	Owner	Insured	Cash Value	Death Benefit
Life Insurance/ Annuities	1.					
	2.					
	3.					
	4.					
	5.					

Other Property. List other property that you have that does not fit into any other listed category. This may include an interest in a closely-held business, monies owed to you, etc.

	Description	Owner	Market Value
Other Property	1.		
	2.		
	3.		
	4.		
	5.		

Additional Documentation

General Document Request. In some instances, it is necessary for us to review other documents before I can make planning recommendations. If possible, please bring with you to the Initial Interview the following documentation:

- Copies of existing planning documents, including wills, trusts, powers of attorney, health care proxy, living wills, etc.
- Copies of all deeds to real estate owned by you.
- Copies of the most recent statements evidencing your ownership of bank accounts, investment accounts, retirement accounts, and annuities.
- Prenuptial Agreement (if applicable).
- Long-term care policies (if any).
- Divorce Decree or Property Settlement Agreement for divorce under which continued obligations exist.

PLANNING CONCERNS & ANXIETIES

To be Completed by Client

Our objective is to assist clients in identifying their concerns and anxieties. All too often in the planning process, a client will discover that there are other, more pressing concerns than the one that caused them to begin the planning process. Please review the following risks that I frequently hear from clients, identify those risks of which you are concerned, and provide us with some sense about how concerned you are with that particular risk. This information will assist us in focusing our conversations toward the issues that are the most pressing to you.

	<u>Level of Concern (if any)</u>			
	None	Low	Medium	High
Tax Concerns				
Risk of the IRS “inheriting” half the estate when I die.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> Risk of capital gains taxes paid on the sale of property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> Risk of unnecessary income taxes being paid on investment assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>				
Family Concerns				
Risk of persons other than those we select will gain custody of any minor children. ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of a child or other beneficiary losing his or her inheritance to creditors, lawsuits or to a divorcing spouse	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of a child or other beneficiary losing his or her inheritance due to mismanagement of the money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that upon the death of a child or other beneficiary, any inheritance received by that person might pass to a spouse (who may later remarry) rather than passing to a grandchild or other preferred heir	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that an inheritance passing to a minor child or grandchild might be squandered or stolen by the person in charge of managing the money for that grandchild	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that an inheritance received by a child or other beneficiary who has a disability would render them ineligible for governmental benefits such as Medicaid	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unnecessary litigation from heirs who receive less than they think they are entitled to receive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of estate passing unequally due to nature of assets owned, such as where a business comprises most of the value of the estate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that heirs will not fully appreciate the values and virtues used to create the inheritance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that parents, who may need financial assistance, are not provided for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability Concerns				
Risk of loss of control over assets in event of disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of legal guardianship in event of disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unwanted efforts made to save your life if you feel that it's best to cease such efforts and die peaceably and without pain	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PLANNING CONCERNS & ANXIETIES (CONTINUED)

	<u>Level of Concern (if any)</u>			
	None	Low	Medium	High
Risk that health care personnel will not disclose health care information to loved ones due to recent HIPAA privacy rules and lack of proper HIPAA releases.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of an unnecessary guardianship over an incapacitated adult child in order to make health care decisions for that child	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Creditor Concerns				
Risk of frivolous lawsuits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of loss of assets to nursing home	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that a creditor of a joint tenant may seize the jointly-owned property to satisfy the debt of the other joint tenant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Post-Death Concerns				
Risk of unnecessary costs and delays associated with the estate passing through probate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of having to sell assets in a “fire sale” in order to create the liquidity needed to pay taxes and expenses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that the person(s) charged with managing your affairs after you’ve passed will innocently make mistakes because he or she is unaware of what is required and is unaware of the personal liability for those mistakes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of private matters unnecessarily being made public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Concerns				
Risk that corporate shield will fail to protect corporate assets because corporate meetings have not been held annually, corporate minutes kept, officers elected, etc.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of lawsuits by employees due to out-of-date or non-existent employee agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of business failure due to the lack of a business succession plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unnecessary expenses associated with the sale of a business because of the absence of an exit plan having been prepared ahead of time.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unintended financial results stemming from a Buy/Sell Agreement that is out of date and/or underfunded	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of persons other than those we select will gain custody of any minor children. ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of a child or other beneficiary losing his or her inheritance to creditors, lawsuits or to a divorcing spouse	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of a child or other beneficiary losing his or her inheritance due to mismanagement of the money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that upon the death of a child or other beneficiary, any inheritance received by that person might pass to a spouse (who may later remarry) rather than passing to a grandchild or other preferred heir	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please list any charitable causes you have or that you support with either your time or financial resources:

My favorite College/University is: _____

About Your Goals & Objectives

What prompted you to schedule this appointment? Don't focus on the tools to be used but rather on the outcomes to be achieved.

<u>Goals</u>	<u>Consequence if Goal Isn't Accomplished</u>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

YOUR EXPECTATIONS OF US

Meeting your expectations in the estate planning process is very important to our law firm, but in order to do that we need to know in advance what those expectations are. Please describe your expectations of us should you decide to hire us to prepare and implement your estate plan for you.