

JOINT ESTATE PLANNING QUESTIONNAIRE

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FAMILY INFORMATION

Please complete the following as thoroughly as possible. You may use the abbreviations below for convenience. Use names as you would sign and as they generally appear in legal documents.

SPOUSE 1

Full Name	
Age / Birth date	
Social Security No.	Citizenship:
Describe Health Generally	

SPOUSE 2

Full Name	
Age / Birth date	
Social Security No.	Citizenship:
Describe Health Generally	

Residence Address

Street Address	
P.O. Box	
City, State, Zip Code	
County	

Business or Other Address

Business Name	
Street Address or P.O. Box	
City, State, Zip Code	
County	

Financial and Legal Advisors

Please identify your professional advisors (CPA, life insurance agent, broker, advisors)

Name:		Profession:	
Address:			
Phone:		Email:	

Name:		Profession:	
Address:			
Phone:		Email:	

Name:		Profession:	
Address:			
Phone:		Email:	

Name:		Profession:	
Address:			
Phone:		Email:	

ASSET INFORMATION

To prepare an estate plan for you, I need specific information about all your assets and liabilities. Please complete the following pages as thoroughly as possible. For your convenience, you may use the abbreviations listed below.

NOTE: USE FINAL FOUR DIGITS ONLY FOR ALL ACCOUNT NUMBERS

Methods of Ownership;

- J/T = Joint Tenancy
- T/C = Tenancy in Common
- T/E = Tenancy by the Entirety
- L/E = Life Estate
- S/O = Sole or Separate Ownership

Form of Business Entity;

- GP/S = General Partnership
- CC = C corporation
- LP/S = Limited Partnership
- SC = S corporation
- LL = Limited Liability Company
- S/P = Sole Proprietorship

Type of Policy

- W/L = Whole Life
- T/L = Term Life

Cash and Bank Accounts

Please list your cash and cash equivalent accounts, including checking and savings accounts, certificates of deposit, money market accounts and any other similar assets.

Bank or Institution	Method of Ownership	Type of Account	Balance
Bank: Address: Account #:			

Stock & Bond Certificates

Please list your stock and bond certificates. Use the next page for brokerage accounts, Treasury Direct accounts, and mutual funds.

Describe Stock or Bond	Method of Ownership	Face Value of Number of Shares	Current Value

Contracts, Notes, Trust Deeds

List below any contract, note, trust deed, license, patent, trademark, franchise or other intangible asset you own.

Description of Asset: Payor, Interest Rate, Face Value, etc.	Remaining Life	Tax Basis	Current Value

Annuities

Please list your tax deferred annuities (which are not 403(b) TSA's). Please indicate the amount you paid for the annuity (basis) and the amount of any distributions you are taking.

Annuity Company, Bank or Institution	Address	Beneficiary	Current Balance
Trustee: Account #:			Balance: Basis: Distrib?:

Life Insurance Policies

Please list your life insurance policies. If the policy is held in a trust, please list the trustee and whether the trust is irrevocable.

Insurance Co.	
Approximate Cash Value	
Death Benefit	
Type of Policy / Policy No.	
Policy Owner / Trustee	
Beneficiaries	
Name of Insured	

Insurance Co.	
Approximate Cash Value	
Death Benefit	
Type of Policy / Policy No.	
Policy Owner / Trustee	
Beneficiaries	
Name of Insured	

Insurance Co.	
Approximate Cash Value	
Death Benefit	
Type of Policy / Policy No.	
Policy Owner / Trustee	
Beneficiaries	
Name of Insured	

Real Estate

Please list your real estate holdings including your residence, vacation homes, time shares, oil and gas royalties, leaseholds, and rentals. If you own rental property please list it below. If you operate a business out of real estate you own, list the real estate below and list the business interest under below. Please provide your own personal best estimate of the fair market value of each item of real estate.

Location / Associated Business?	
Residence / Vacation Home / Investment	
Do you own, lease or rent?	
Year Purchased	
Method of Ownership	
Estimated Fair Market Value	
Current Adjusted Tax Basis	
Liabilities (please indicate mortgage rate)	
Average Annual Income	
<u>Notes</u>	

Location / Associated Business?	
Residence / Vacation Home / Investment	
Do you own, lease or rent?	
Year Purchased	
Method of Ownership	
Estimated Fair Market Value	
Current Adjusted Tax Basis	
Liabilities (please indicate mortgage rate)	
Average Annual Income	
<u>Notes</u>	

Closely Held Active Business Interest

Please list all non-publicly traded businesses, partnerships or joint ventures in which you own an interest and participate actively in the business. Indicate whether you are the general partner or controlling shareholder, and the extent of ownership outside your own family, if any.

Name of Business	
Type of Business / Location	
Form of Entity	
% of Interest Held and Method of Ownership	
Tax I.D. Number	
Adjusted Tax Basis	
Estimated FMV	
Liabilities	
Average Annual Income	
Notes	

Closely Held Passive Business Interest

Please list all non-publicly traded businesses, partnerships or joint ventures in which you own an interest but do not participate actively in the business.

Name of Business	
Type of Business / Location	
Form of Entity	
% of Interest Held and Method of Ownership	
Tax I.D. Number	
Adjusted Tax Basis	
Estimated FMV	
Liabilities	
Average Annual Income	
Notes	

Retirement Plans, Pensions, IRA's, 401(k)'s and Qualified Annuities (TSA)

If you currently have salary earnings, are you deferring income into qualified plans or tax sheltered annuities?

SPOUSE 1

Yes	No	% of Salary

SPOUSE 2

Yes	No	% of Salary

Please list your retirement plans, pensions, IRA's and tax sheltered annuities. If you are taking distributions from any account, please indicate the amount of annual taxable distributions.

SPOUSE 1

Employer, Plan Administrator, Bank or Institution	Address	Beneficiary	Current Balance
Trustee: Account #:			Balance: Distrib?:
Trustee: Account #:			Balance: Distrib?:
Trustee: Account #:			Balance: Distrib?:

SPOUSE 2

Employer, Plan Administrator, Bank or Institution	Address	Beneficiary	Current Balance
Trustee: Account #:			Balance: Distrib?:
Trustee: Account #:			Balance: Distrib?:
Trustee: Account #:			Balance: Distrib?:

Personal Property

Please list your non-business personal property. This includes cars, boats, planes, RV's, furniture, art, gold, silver, other precious metals, coins, stamps, jewelry, tools, animal stock and any other valuable non-business assets. Estimate the value and basis.

Property	Current Value

PRIOR ESTATE PLANNING INFORMATION

Prior Documents

Please indicate which estate planning documents you currently have.

Document	Date Signed	Distribution Plan or Power holder
Living Trust		
Simple Will		
Testamentary Trust in Will		
Durable Power of Attorney		
Power of Attorney for Health Care		
Other:		
Other:		

Prior Gifts

If you have ever filed a gift tax return, please attach a copy of each return. Please describe the circumstances of prior gifts, amount gifted, type of gift, when made and to whom:

SPOUSE 1

SPOUSE 2

Successor Trustees and Guardians

1. You may both act as Trustees of your Living Trust. Who would you like to name as successor Trustees for your Living Trust when you both die or are incapacitated?

First Successor: _____ Relationship to you: _____

Second Successor: _____ Relationship to you: _____

2. Certain trusts require a third party Trustee because you may not act as Trustees yourselves. Who would you like to name as Trustees for any Trust for which you may not serve as Trustees?

Initial Trustee: _____ Relationship to you: _____

First Successor: _____ Relationship to you: _____

3. Who would you like to name as Guardian for your minor children, if any?

First Choice: _____ Relationship to you: _____

Alternate: _____ Relationship to you: _____

4. Who would you like to name as Guardian for yourselves?

Spouse 1

Spouse 2

First Choice: _____

Alternate: _____

Gift Planning

1. Would you consider shifting income to your children, grandchildren, or others or would you consider giving property to your children, grandchildren or others during your lifetime?

2. If you have charitable goals for your estate, please describe the goals generally and indicate how you want to achieve them.

Asset Protection

1. Do you currently have any judgments against you or liens against your property?
Yes No

Describe: _____

2. Are you currently involved in marriage dissolution proceedings or are any of your assets or income sources subject to a divorce decree? Yes No

Describe: _____

3. Do you face any lawsuits or potential lawsuits in which you are or may be a defendant?
Yes No

Describe situation briefly: _____

Estate Plan Objectives

Use the space below to describe the estate distribution plan you would like and the main objectives you want your estate plan to address. If you have a family business or businesses, discuss how you would like the business(es) to be owned and operated in the future. Please identify what responsibilities your children, grandchildren and others could or should assume and at what age.

Document Request

Please provide copies of the following documents with this questionnaire

- Estate planning documents: living trust, will, trusts, partnerships
- Tax Returns: Recent personal income tax returns and all gift tax returns
- Legal descriptions of all real estate (copy of deed)
- Contracts or Trust Deeds for any real estate
- Instruments showing any encumbrances on real estate
- Personal Loans and Notes
- Recent brokerage statements
- Recent bank statements
- Cover page of annuities, life insurance policies, etc.
- Divorce decree if any property or income is affected
- Other official documents relevant to your estate