

**CONFIDENTIAL**

**CLIENT INFORMATION**

*In order for your advisors to best help you in working to achieve your family's goals and objectives, we need to have an accurate picture of your current financial position. This questionnaire is a guide for gathering information about your family, your assets, and your existing estate plan.*

*We appreciate your patience through the discovery process, as this information will greatly assist us in our commitment to providing you with the highest level of service. Of course, this information will be held in the strictest confidence.*

## DOCUMENT CHECKLIST

### Personal

- Prior personal income tax returns (previous two years preferred)
- Gift tax return (most recent)
- Copies of brokerage statements
- Wills and all codicils
- Other executed estate planning documents
- Detailed list of all assets including specific legal ownership (client, spouse, joint, community, etc.)

### Business

- Inventory of all business entities including estimated total value, type of entity, all major owners and percentage ownership
- Buy-Sell agreements (with assumed price as of date of death for the buy-out)
- Copies of recent financial statements for business

### Charitable

- Foundation documents
- Recent 990 filing
- Charitable trust documents
- Recent charitable trust statement

## ADVISORS

Please list all advisors you will involve or consult in the planning process.

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<b>Advisor Name</b>	Office Number
Firm Name	
Number of years you've worked together	

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## GOALS

1. How much money does it take to support your annual living expenses net of taxes, cash gifts to charity, cash gifts to family and life insurance premiums?
2. What are your annual cash gifts to charity?
3. What are your annual cash gifts to family?
4. Are your children dependent on these gifts to support their lifestyle or would these gifts be available to put toward another wealth transfer strategy if you determined that it would be more effective?
5. How much liquid capital do you need to feel comfortable to be prepared for emergencies and opportunities?
6. Do you have any education accumulation goals for children or grandchildren? Please describe.
7. How important is it to you to reduce income taxes?
8. Are you contemplating any sales of appreciated assets in the near future for which you would like capital gain tax reduction techniques?
9. Would you like to increase your current giving to charity or are you contemplating making a pledge? If so, please describe.
10. How much estate tax would you like to pay? Would you be interested in eliminating estate tax if possible or feasible?
11. What would be an ideal inheritance to leave to your children and grandchildren? To what extent are you concerned that too large an inheritance could create a disincentive for them to reach their full potential?
12. Are you concerned about asset protection against lawsuits or possible divorces of children's marriages? Should your estate plan make provision for this?
13. Do you have a business succession plan or need one? Please describe.
14. Do you have a buy sell agreement? Have you considered this? Please describe.
15. Do you intend to leave specific assets to specific children, such as business interests or real estate?
16. Is there an estate equalization and fairness issue that may be created by this? Is this something that should be addressed in planning?
17. Are there any urgent matters that need to be decided on in the next few months?
18. Please describe any upcoming extraordinary planned expenditures for purchases, family or friends.
19. Do you want to provide for any special health needs for children or grandchildren? If so, please describe.





## CLOSELY HELD BUSINESSES

List details of privately held corporations and partnerships. If available, attach business tax returns for prior two years.

Company	Type <small>(C- Corp., S-Corp, LLC, Partnership, etc.)</small>	Market Value	Cost Basis	Ownership Percentages			
				Husband	Wife	Children	Other
		\$	\$	%	%	%	%

Do any of your children work in the business?

What are your future plans for the business? (maintain, sell, children to run, etc.)

Additional Information: (buy-sell agreement?)

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Do any of your children work in the business?

What are your future plans for the business? (maintain, sell, children to run, etc.)

Additional Information: (buy-sell agreements?)

## QUALIFIED RETIREMENT PLAN ASSETS

Description (Type of Plan)	Value	Basis	Ownership <i>(check one)</i>	
			<i>Husband</i>	<i>Wife</i>
	\$	\$		
	\$	\$		
	\$	\$		
	\$	\$		
	\$	\$		
	\$	\$		
	\$	\$		
	\$	\$		

NOTES:

## OTHER EMPLOYEE BENEFITS

If there are any other employee benefits, please describe in detail below and attach all applicable documents.

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### Deferred Compensation

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### Stock Options

*Attach Vesting Schedules*

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### Pension Plans

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### Other

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## PERSONAL PROPERTY

List personal property below.

Asset	Value	Ownership <i>(check one)</i>			
		Husband	Wife	Joint	Comm.
Automobiles	\$				
Jewelry	\$				
Furniture	\$				
Collections	\$				
Art	\$				
Aircraft	\$				







## OTHER PLANNING QUESTIONS

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### **Lifetime Gifting**

Total prior lifetime taxable gifts

Client \$                      Spouse \$

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Please describe any existing estate planning arrangements such as GRAT, CRT, QPRT, etc. and provide documents.

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