

GADSDEN SCHNEIDER & WOODWARD LLP
Estate Planning Questionnaire

Date: _____

To plan your estate properly, we need to have a thorough understanding of your personal and financial situation. This questionnaire is intended to be a "first step" in the planning process. We would appreciate your filling it out as completely as you consider appropriate and sending us copies of all documents requested. Thank you.

PERSONAL INFORMATION

HUSBAND

WIFE

Name: _____

Date of Birth: _____

Social Security #: _____

Citizenship: _____

Home Address: _____

County: _____

Resident since / /

Phone: _____

Fax: _____

Occupation: _____

Business Address: _____

Phone: _____

Fax: _____

E-mail Address: _____

MARITAL INFORMATION

If married:

Date of marriage: _____

During the marriage, have you lived in any of the following community property states:

AK AZ CA ID LA NV NM TX WA WI

Did you sign a pre-nuptial or post-nuptial agreement? Yes No

HUSBAND

WIFE

If previously married:

Date of Marriage: _____

End of Marriage: _____

If divorced, was there a property agreement? Yes No Yes No

FAMILY INFORMATION

CHILDREN

Full Name: _____

Date of Birth: _____

SSN: (if readily available) _____

Home Address: _____

Other Parent (if applicable): _____

Marital Status: _____

Occupation: _____

Beneficiary of Custodial Acct? Yes No Yes No Yes No Yes No

Approximate Net Worth: _____

Special Needs/ Considerations? _____

Children (if any):

Name: _____

Age: _____

Name: _____

Age: _____

Name: _____

Age: _____

Other Potential Beneficiaries
(include charities if desired):

HUSBAND

WIFE

Name: _____

Relationship: _____

Name: _____

Relationship: _____

Name: _____

Relationship: _____

INCOME

HUSBAND

WIFE

JOINT

Salary: _____

Rental Income: _____

Investment Income: _____

Notes Receivable: _____

Retirement Income: _____

| | | | |
|---------------|----------|----------|----------|
| TOTAL: | \$ _____ | \$ _____ | \$ _____ |
|---------------|----------|----------|----------|

If you anticipate that your income will undergo a significant change over the next several years, please explain. _____

ASSETS

HUSBAND

WIFE

JOINTLY HELD

CASH

Checking Accounts: _____

Savings Accounts: _____

Money Market: _____

Cert. of Deposit: _____

Other (): _____

| | | | |
|---------------|----------|----------|----------|
| TOTAL: | \$ _____ | \$ _____ | \$ _____ |
|---------------|----------|----------|----------|

HUSBAND

WIFE

JOINTLY HELD

TANGIBLE PERSONAL PROPERTY

| | | | |
|----------------|-------|-------|-------|
| Automobiles: | _____ | _____ | _____ |
| Jewelry: | _____ | _____ | _____ |
| China, Silver: | _____ | _____ | _____ |
| Antiques: | _____ | _____ | _____ |
| Furnishings: | _____ | _____ | _____ |
| Boats: | _____ | _____ | _____ |
| Other (_____): | _____ | _____ | _____ |
| Other (_____): | _____ | _____ | _____ |
| Other (_____): | _____ | _____ | _____ |

| | | | |
|---------------|-----------------|-----------------|-----------------|
| TOTAL: | \$ _____ | \$ _____ | \$ _____ |
|---------------|-----------------|-----------------|-----------------|

REAL ESTATE

1. PRIMARY RESIDENCE

| | | | |
|---------------------------|-------|-------|-------|
| Address: | _____ | _____ | _____ |
| | _____ | _____ | _____ |
| Date Acquired: | _____ | _____ | _____ |
| Fair Market Value: | _____ | _____ | _____ |
| Mortgage(s) Amt.: | _____ | _____ | _____ |
| Cost (or other) Basis: | _____ | _____ | _____ |

2. SECONDARY RESIDENCE

| | | | |
|---------------------------|-------|-------|-------|
| Address: | _____ | _____ | _____ |
| | _____ | _____ | _____ |
| Date Acquired: | _____ | _____ | _____ |
| Fair Market Value: | _____ | _____ | _____ |
| Mortgage(s) Amt.: | _____ | _____ | _____ |
| Cost (or other) Basis: | _____ | _____ | _____ |

| | | | | | | |
|----------------|---------|---------|---------|---------|---------|---------|
| Rental Income: | Yes (\$ | /yr) No | Yes (\$ | /yr) No | Yes (\$ | /yr) No |
|----------------|---------|---------|---------|---------|---------|---------|

3. COMMERCIAL OR RENTAL PROPERTY

| | <u>HUSBAND</u> | <u>WIFE</u> | <u>JOINTLY HELD</u> |
|---------------------------|-----------------|-----------------|---------------------|
| Address: | _____ | _____ | _____ |
| | _____ | _____ | _____ |
| Date Acquired: | _____ | _____ | _____ |
| Fair Market Value: | _____ | _____ | _____ |
| Mortgage(s) Amt.: | _____ | _____ | _____ |
| Cost (or other) Basis: | _____ | _____ | _____ |
| Rental Income: | Yes (\$) /yr No | Yes (\$) /yr No | Yes (\$) /yr No |

| | | | |
|--------|----------|----------|----------|
| TOTAL: | \$ _____ | \$ _____ | \$ _____ |
|--------|----------|----------|----------|

MARKETABLE SECURITIES

| | <u>HUSBAND</u> | <u>WIFE</u> | <u>JOINTLY HELD</u> |
|--------------------------|----------------|-------------|---------------------|
| Stocks: | _____ | _____ | _____ |
| Tax-Exempt Bonds: | _____ | _____ | _____ |
| Taxable Bonds: | _____ | _____ | _____ |
| Traded Stock Options: | _____ | _____ | _____ |
| Warrants: | _____ | _____ | _____ |
| Others (_____): | _____ | _____ | _____ |
| Others (_____): | _____ | _____ | _____ |

| | | | |
|--------|----------|----------|----------|
| TOTAL: | \$ _____ | \$ _____ | \$ _____ |
|--------|----------|----------|----------|

HUSBAND

WIFE

JOINTLY HELD

CLOSELY-HELD BUSINESS INTERESTS (i.e. C Corp, S Corp, LLC, Partnership)

1. BUSINESS #1

| | | | |
|---------------------------------|-------|-------|-------|
| Name: | _____ | _____ | _____ |
| Address: | _____ | _____ | _____ |
| | _____ | _____ | _____ |
| Type of Business: | _____ | _____ | _____ |
| % Equity Interest: | _____ | _____ | _____ |
| Non-Equity Int. | _____ | _____ | _____ |
| Fair Market Value of Entity: | _____ | _____ | _____ |

2. BUSINESS #2

| | | | |
|---------------------------------|-------|-------|-------|
| Name: | _____ | _____ | _____ |
| Address: | _____ | _____ | _____ |
| | _____ | _____ | _____ |
| Type of Business: | _____ | _____ | _____ |
| % Interest Owned: | _____ | _____ | _____ |
| Fair Market Value of Entity: | _____ | _____ | _____ |

3. BUSINESS #3

| | | | |
|---------------------------------|-------|-------|-------|
| Name: | _____ | _____ | _____ |
| Address: | _____ | _____ | _____ |
| | _____ | _____ | _____ |
| Type of Business: | _____ | _____ | _____ |
| % Interest Owned: | _____ | _____ | _____ |
| Fair Market Value of Entity: | _____ | _____ | _____ |

HUSBAND

WIFE

JOINTLY HELD

4. SOLE PROPRIETORSHIP

Type of Business: _____

Fair Market Value: _____

| | | |
|---|--|--|
| TOTAL FAIR MARKET VALUE: \$ _____ | | |
|---|--|--|

MISCELLANEOUS ASSETS

Notes Receivable: _____

Oil/Mineral
Interests: _____

Intellectual
Property: _____

Other (_____): _____

Other (_____): _____

| | | |
|-----------------|--|--|
| TOTAL: \$ _____ | | |
|-----------------|--|--|

HUSBAND

WIFE

BENEFICIARY
(PRIMARY/ALTERNATE)

RETIREMENT ASSETS

IRA(s): _____

Pension Plan(s): _____

Profit Sharing Plan(s): _____

401(k) (s): _____

Keogh Plan(s): _____

| | <u>HUSBAND</u> | <u>WIFE</u> | <u>BENEFICIARY</u> (PRIMARY/ALTERNATE) |
|------------------------------|----------------|-------------|---|
| ESOP(s): | _____ | _____ | _____ |
| Tax-Def. Annuity: | _____ | _____ | _____ |
| Deferred Comp. Qualified: | _____ | _____ | _____ |
| Non-Qualified: | _____ | _____ | _____ |
| Other (_____): | _____ | _____ | _____ |

| |
|--------------------------------------|
| TOTAL: \$ _____ \$ _____ |
|--------------------------------------|

Employee Stock Options – List on Separate Sheet

| <u>INSURANCE</u> | | | | | |
|-------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| | <u>POLICY 1</u> | <u>POLICY 2</u> | <u>POLICY 3</u> | <u>POLICY 4</u> | <u>POLICY 5</u> |
| Insured: | _____ | _____ | _____ | _____ | _____ |
| Primary Beneficiary: | _____ | _____ | _____ | _____ | _____ |
| Alternate Beneficiary: | _____ | _____ | _____ | _____ | _____ |
| Owner: | _____ | _____ | _____ | _____ | _____ |
| Type: | _____ | _____ | _____ | _____ | _____ |
| Company: | _____ | _____ | _____ | _____ | _____ |
| Policy No.: | _____ | _____ | _____ | _____ | _____ |
| Face Value: | _____ | _____ | _____ | _____ | _____ |
| Cash Surr. Value: | _____ | _____ | _____ | _____ | _____ |
| Loans Outstanding: | _____ | _____ | _____ | _____ | _____ |

LIABILITIES

| <u>SECURED</u> | <u>AMOUNT</u> | <u>LENDER'S NAME</u> | <u>PROPERTY SECURING DEBT</u> |
|-----------------------|----------------------|-----------------------------|--------------------------------------|
| Mortgage (_____): | _____ | _____ | _____ |
| Mortgage (_____): | _____ | _____ | _____ |
| Mortgage (_____): | _____ | _____ | _____ |
| Other (_____): | _____ | _____ | _____ |

UNSECURED

Other (_____): _____

Other (_____): _____

QUESTIONS

- | | <u>HUSBAND</u> | | <u>WIFE</u> | |
|--|-----------------------|----|--------------------|----|
| 1. Do you have a Will? | Yes | No | Yes | No |
| 2. Do you have a Power of Attorney? | Yes | No | Yes | No |
| 3. Do you have a Living Will? | Yes | No | Yes | No |
| 4. Are you the trustee of any trust? | Yes | No | Yes | No |
| 5. Are you the beneficiary of any trust? | Yes | No | Yes | No |
| 6. Do you expect to receive a large inheritance? | Yes | No | Yes | No |
| 7. Do you have a power to appoint the principal of any trust? | Yes | No | Yes | No |
| 8. Have you ever filed a gift tax return? | Yes | No | Yes | No |
| 9. If there are special considerations that might affect your estate planning, please explain. _____ | | | | |
| 9. Your preferred address for correspondence: _____ | | | | |
| 10. Who referred you to us for estate planning? _____ | | | | |

FIDUCIARY APPOINTMENTS

EXECUTOR

An executor or personal representative is the person who, or bank or trust company which, is charged with the duty of collecting your assets, paying off your debts and distributing the remaining property in accordance with your Will. You may appoint one or more executors or personal representatives to act concurrently or consecutively. We strongly recommend that you appoint at least two persons, banks or trust companies (whether concurrently or consecutively) as executors or personal representatives.

HUSBAND

WIFE

Primary Executor(s):

Name: _____

Relationship: _____

Name: _____

Relationship: _____

Alternate Executor(s):

Name: _____

Relationship: _____

Name: _____

Relationship: _____

TRUSTEE

A trustee is the person who, or bank or trust company which, holds the assets placed in each trust created under your Will or Deed of Trust, as the case may be, for your beneficiaries. The trustee is responsible for investing the trust assets and, in accordance with your directions, making distributions of income and principal. You may appoint one or more trustees to act concurrently or consecutively. We strongly recommend that you appoint at least two persons, banks or trust companies (whether concurrently or consecutively) as trustees.

HUSBAND

WIFE

Primary Trustee(s):

Name: _____

Relationship: _____

Name: _____

Relationship: _____

Alternate Trustee(s):

Name: _____

Relationship: _____

Name: _____
 Relationship: _____

GUARDIAN

If both of the parents of a minor child (i.e., a child who is under the age of 18) should die, a guardian of the person and a guardian of the property of such child should be appointed. The "guardian of the person" will take physical custody of the child, and the "guardian of the property" will manage the child's assets. You may appoint one or more persons to act concurrently or consecutively as guardians of the person and guardians of the property of a minor child. We strongly recommend that you appoint at least two persons (whether concurrently or consecutively) as guardians.

Primary Guardian(s):

Name: _____
 Relationship: _____
 Specify Type: Person Property Both Person Property Both

Name: _____
 Relationship: _____
 Specify Type: Person Property Both Person Property Both

Alternate Guardian(s):

Name: _____
 Relationship: _____
 Specify Type: Person Property Both Person Property Both

Name: _____
 Relationship: _____
 Specify Type: Person Property Both Person Property Both

POINTS TO CONSIDER

Before discussing estate planning and tax consequences with us, you may want to consider the following:

- (1) Which, if any, of your beneficiaries (e.g., spouse, children, grandchildren, dependent parents, other relatives or charities) do you want to receive property outright and which, if any, do you want to receive property in trust?
- (2) To what extent do you want your trust beneficiaries to be able to direct what happens to the assets of a trust on their deaths?
- (3) If you have young children, do you want to (a) create one trust for all of your children so that the trustee can allocate assets based on need until the youngest

child reaches a certain age or (b) divide all assets equally among your children? Similarly, at what age or ages do you want your children (or other beneficiaries) to have control over part or all of the property that you give them?

- (4) Do you want adopted children to be treated in the same manner as natural-born children?

DOCUMENTS TO BE ATTACHED

Please provide us with copies of the following documents (if applicable): ATTACHED

- 1. Existing Estate Planning Documents _____
- 2. Pre-Nuptial/Post-Nuptial Agreement _____
- 3. Divorce Decree/Property Agreement _____
- 4. Trust(s) under which you serve as trustee _____
- 5. Will(s)/Trust(s) under which you have a power of appointment _____
- 6. All gift tax returns previously filed by you _____
- 7. Plan documents for retirement assets (particularly, provisions governing beneficiary designations and death pay-out options) _____
- 8. Buy-Sell Agreement(s) _____
- 9. General Partnership Agreement(s) _____
- 10. Limited Partnership Agreement(s) _____
- 11. LLC Operating Agreement(s) _____
- 12. Living Wills _____
- 13. Powers of Attorney _____
- 14. Deeds for all real estate held _____