

*CONFIDENTIAL*

**ESTATE PLANNING QUESTIONNAIRE**

**for**

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[Names]

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## ESTATE PLANNING QUESTIONNAIRE

I am pleased that you have asked me to prepare your estate plan. To start the process, I would ask that you complete this form to the best of your ability, and bring it with you to our first meeting.

I have found that when clients take the time to compile the information on this Questionnaire and to think about how they want to leave their estates, the initial meeting time can be spent very productively.

The Questionnaire has three parts. Part I asks for general information. Part II pertains to the current values and ownership of your property. Part III asks some basic question about who you want to handle your affairs in the event of death or disability, and how you want to leave your property at death. If you are uncertain about how to respond to a particular question, simply note that fact and we can discuss it at the first meeting.

If you need help in putting together any financial information, my legal assistant will be happy to assist you.

Please be assured that all the information you provide me with will be held in strict confidence.

I look forward to working with you to help you achieve your estate planning goals.

**DOCUMENTS TO BE BROUGHT TO THE FIRST MEETING**

Please bring with you to the first meeting any of the following documents that may be available to you (copies are acceptable):

- ▶ Any existing wills, trust instruments, powers of attorney, or "living wills" signed by either spouse.
  
- ▶ Current beneficiary designations of life insurance policies and annuity contracts.
  
- ▶ Current beneficiary designations of qualified retirement plans and retirement accounts (IRA and Keogh accounts) in which you are a participant.
  
- ▶ All federal gift tax returns (Form 709) previously filed.
  
- ▶ If applicable, any pre-nuptial or post-nuptial agreement which you have signed, and any property settlement agreement or divorce decree relating to either spouse.

PART I

GENERAL CLIENT INFORMATION

FIRST SPOUSE:

Name \_\_\_\_\_  
Other Names Used on Title to Assets: \_\_\_\_\_  
  
Social Security No. \_\_\_\_\_  
Home Address \_\_\_\_\_  
Home Telephone \_\_\_\_\_  
Occupation \_\_\_\_\_  
Employer \_\_\_\_\_  
Position \_\_\_\_\_  
Business Address \_\_\_\_\_  
Business Phone \_\_\_\_\_  
E-Mail Address \_\_\_\_\_  
Date and Place of Birth \_\_\_\_\_  
Citizenship \_\_\_\_\_

SECOND SPOUSE:

Name \_\_\_\_\_  
Other Names Used on Title to Assets: \_\_\_\_\_  
  
Social Security No. \_\_\_\_\_  
Home Address \_\_\_\_\_  
Home Telephone \_\_\_\_\_  
Occupation \_\_\_\_\_  
Employer \_\_\_\_\_  
Position \_\_\_\_\_  
Business Address \_\_\_\_\_  
Business Phone \_\_\_\_\_  
E-Mail Address \_\_\_\_\_  
Date and Place of Birth \_\_\_\_\_  
Citizenship \_\_\_\_\_

YOUR CHILDREN:

<u>Names</u>	<u>Date of Birth</u>	<u>Occupation</u>	<u>Marital Status</u>	<u>Number of Own Children</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

Do any of your children have a disability or special needs? If yes, explain

YOUR ADVISORS:

	<u>Name</u>	<u>Telephone No.</u>
Accountant	_____	_____
Life Insurance Agent	_____	_____
Investment Advisor	_____	_____
Other Attorney	_____	_____
Physician	_____	_____
Other Consultant or Advisor	_____	_____

PART II

ASSETS AND LIABILITIES

Note: Please use worksheets on pages 8-10 to list specific assets in each of the applicable categories, and enter totals on this page:

**DESCRIPTION OF ASSET**

**SUMMARY OF VALUES**

Owned Solely By:

	<u>Husband</u>	<u>Wife</u>	<u>Jointly Owned</u>
Primary Residence (Worksheet, Part A)	\$ _____	\$ _____	\$ _____
Second Homes (Worksheet, Part A)	_____	_____	_____
Investment Real Estate (Worksheet, Part A)	_____	_____	_____
Listed Stocks, Mutual Funds, Securities (Worksheet, Part B)	_____	_____	_____
Bonds and Bond Funds (Tax-exempt and taxable) (Worksheet, Part B)	_____	_____	_____
Cash, C.D.'s, Bank Accounts and Money Market Funds (Worksheet, Part C)	_____	_____	_____
Professions or Businesses in which you are active (Worksheet, Part D)	_____	_____	_____
Other Closely Held Businesses (in which you are not active) (Worksheet, Part D)	_____	_____	_____
Annuities (Worksheet, Part D)	_____	_____	_____
Home Furnishings/Collections (Worksheet, Part D)	_____	_____	_____
Automobiles (Worksheet, Part D)	_____	_____	_____

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Other Tangible Personal Property (Worksheet, Part D)	_____	_____	_____
Miscellaneous Assets (Identify if significant) (Worksheet, Part D)	_____	_____	_____
SUBTOTAL:	\$ _____	\$ _____	_____
Retirement Plans (including IRAs) (Worksheet, Part E)	_____	_____	
Life Insurance on Your life (Worksheet, Part F)	_____	_____	_____
SUBTOTAL:	\$ _____	_____	(survivor)
TOTAL ASSETS:	\$ _____	_____	_____
TOTAL LIABILITIES: (Worksheet, Part G)	(\$ _____	_____	_____)
TOTAL NET ASSETS:	\$ _____	_____	_____

WORKSHEETS

PART A -- REAL ESTATE

	<u>Location</u>	<u>When Acquired</u>	<u>Cost or Other Basis</u>	<u>Current Value</u>
1.				
2.				
3.				

PART B -- STOCKS, MUTUAL FUNDS, SECURITIES, AND BOND FUNDS

	<u>Company</u>	<u>No. of Shares or Units</u>	<u>Cost or Other Basis</u>	<u>Current Value</u>
1.				
2.				
3.				
4.				

PART C -- CASH, C.D.'s, BANK ACCOUNTS AND MONEY MARKET FUNDS

	<u>Type of Investment</u>	<u>Name of Financial Institution Where Held</u>	<u>Current Value</u>
1.			
2.			
3.			

PART D -- TANGIBLE PERSONAL PROPERTY AND OTHER ASSETS

	<u>Description</u>	<u>Current Value</u>
1.		
2.		
3.		
4.		

PART E -- RETIREMENT PLANS

	<u>Pension</u>	<u>Profit-Sharing</u>	<u>IRA</u>	<u>Keogh</u>
<u>FIRST SPOUSE'S PLANS:</u>				
Name of Beneficiary	_____	_____	_____	_____
Payment Option Chosen (lump sum, annuity, etc.)	_____	_____	_____	_____
Present Value of Benefit (including life insurance)	_____	_____	_____	_____
 <u>SECOND SPOUSE'S PLANS:</u>				
Name of Beneficiary	_____	_____	_____	_____
Payment Option Chosen (lump sum, annuity, etc.)	_____	_____	_____	_____
Present Value of Benefit (including life insurance)	_____	_____	_____	_____

PART F -- LIFE INSURANCE

	<u>Name of Insurance Co.</u>	<u>Policy Number</u>	<u>Type of Policy</u>	<u>Face Amount of Death Benefit</u>	<u>Present Cash Value</u>	<u>Name of Primary Bene.</u>
1.						
2.						
3.						
4.						

PART G -- MORTGAGES AND OTHER DEBTS

	<u>Debt #1</u>	<u>Debt #2</u>	<u>Debt #3</u>	<u>Debt #4</u>
Name of Mortgagee/Creditor	_____	_____	_____	_____
Present Balance of Debt	_____	_____	_____	_____
Description of Assets Encumbered (if any)	_____	_____	_____	_____
Personal Liability? (indicate "yes" or "no", and husband (H), wife (W) or joint (J) if there is personal liability)	_____	_____	_____	_____

**MISCELLANEOUS ASSET AND LIABILITIES INFORMATION**

1. Have either of you guaranteed an obligation of a business or of another person? If so, provide details.
2. Are either or both of you involved in any pending or threatened litigation which may result in a money judgment being entered against you? Has a money judgment or award been entered against either of you that remains unpaid? If so, please provide details.
3. Do either of you own any property jointly with someone other than your spouse? If so, identify the asset and the extent of your contribution to its acquisition.
4. Have you created any "in trust for," "PUGMA" (Pa. Gift to Minors' Act) or "PUTMA" (Pa. Transfers to Minors' Act) accounts for anyone? If so, give details.
5. Has either spouse made any gifts (outright or in trust) exceeding \$10,000 per year to any person, or filed a federal gift tax return?
6. To your knowledge, has either spouse been given a power of appointment or a beneficial interest under a will or trust instrument created by someone else?
7. Does either spouse expect to receive a significant inheritance in the future?
8. Is either of you a party to a buy-sell agreement, stock option plan, salary continuation plan, or deferred compensation plan in connection with your business or employment?
9. Do you own a life insurance policy on someone else's life? If so, give details.
10. Do you own a safe deposit box? If so, where is it located, and in what name or names is it titled?

PART III

ESTATE PLANNING GOALS

A. Lifetime Planning

If you become incapacitated during your lifetime –

Who would you want to handle your property and business affairs for you?

If that person could not serve, who should be their backup(s)?

Who would you want to handle your personal needs and medical treatment decisions?

Who would be the backup?

B. Post-Death Planning

WHEN THE FIRST SPOUSE DIES:

Who do you want to be the Executor(s) of this estate?

Who should be the backup Executor?

In addition to the surviving spouse, do you want anyone else to receive any part of the first spouse's estate (i.e., someone else to get specific items of tangible personal property, a specific cash bequest, real estate, or a share of the residuary estate)? If so, provide details.

WHEN THE SECOND SPOUSE DIES:

Who should serve as the Executor(s) of this estate?

Who should be the backup Executor(s)?

If any of your children is under age 18 at the second spouse's death, who do you want to have custody of your child? Who should be the backup?

Describe how you would want the surviving spouse's estate distributed, specifically in terms of who should receive:

Household goods and tangible personal property (e.g., jewelry, furniture, and automobiles):

Other specific gifts, if any:

Remainder of the estate:

If any of your children or other family members are residing with you at your death, what should be done with your residence?

Do you want the property passing to your children, grandchildren, or any other beneficiary (minor or adult) to be held in trust until they reach a specific age(s), or (because of a specific situation) for their lifetime?

If you do want a trust for a child or other family member:

While the property is held in trust, what standards do you want the Trustee to consider in deciding on the amount and timing of discretionary distributions? Some examples:

- health, maintenance, and support;
- complete education;
- comfort and welfare;
- emergency;
- down payment on purchase of home;
- defray costs of wedding;
- start or enter a business or profession considered a good risk by the trustee.

To guide your trustee(s), do you want to express a preference of one or two standards over others, or prefer one beneficiary to others? If so, please specify.

Should there be one trust fund from which all of your children may share according to their needs, or should there be separate trusts for each of your children?

At what age(s) should the trust distribute income or principal outright to your children or other beneficiary? (All at one age or in percentages upon attaining certain ages?) When should the trust end?

If a child dies prior to the termination of his/her trust, where should his/her remaining trust property go?

Who should serve as the trustee(s) of the trusts for children or other beneficiaries?

Who should be the backup trustee(s)?

If one of your children predeceases you but leaves any of his/her own children who survives you, should your deceased child's share of your estate pass to his/her own children, or should it be divided among your other surviving children?

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If none of your children or their descendants survives the second spouse, who then should receive your property?

Do you want to make any charitable gifts as part of your estate plan, including making a contingent charitable gift if none of your family survives you?

Is there anything you want included in your estate planning documents which was not mentioned above? If so, please explain below or on attached sheet.

**OTHER DOCUMENTS WHICH YOU MAY NEED TO REFER TO, AS APPLICABLE**

(You DO NOT have to bring these to our first meeting.)

- ▶ If available, any other person's will or trust in which you are named as a beneficiary, executor, or trustee.
  
- ▶ Any buy-sell agreement, stock option plan, salary continuation plan or deferred compensation plan (other than qualified retirement plans) to which either spouse is a party.
  
- ▶ Most recent personal federal income tax return.
  
- ▶ Most recent federal income tax return of any closely held business in which you own an interest, and a list of the present shareholders, partners, or other owners, and their ownership interests.