

*CONFIDENTIAL*

**ESTATE PLANNING QUESTIONNAIRE**

**for**

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[Name]

MARTIN J. HAGAN, ESQUIRE  
Law Firm of Martin J. Hagan LLC  
One Gateway Center - 8 South  
Pittsburgh, Pa. 15222-1435

412-433-9996 (telephone)  
412-433-9980 (fax)  
[www.haganlaw.net](http://www.haganlaw.net)

## 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 which may be available to you (copies are acceptable):

- ▶ Any existing wills, trust instruments, powers of attorney, or "living wills."
- ▶ 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 that you have signed, and any property settlement agreement or divorce decree.

PART I

GENERAL CLIENT INFORMATION

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 \_\_\_\_\_

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YOUR CHILDREN (IF APPLICABLE):

<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
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)	_____

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Annuities (Worksheet, Part D)	_____
Home Furnishings/Collections (Worksheet, Part D)	_____
Automobiles (Worksheet, Part D)	_____
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:	\$ _____
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.				

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.			

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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>
Name of Beneficiary	_____	_____	_____	_____
Payment Option Chosen (lump sum, annuity, etc.)	_____	_____	_____	_____
Present Value of Benefit (including life insurance)	_____	_____	_____	_____

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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 Mortgage/Creditor	_____	_____	_____	_____
Present Balance of Debt	_____	_____	_____	_____
Description of Assets Encumbered (if any)	_____	_____	_____	_____
Personal Liability? (indicate "yes" or "no")	_____	_____	_____	_____

**MISCELLANEOUS ASSET AND LIABILITIES INFORMATION**

1. Have you guaranteed an obligation of a business or of another person? If so, provide details.
2. Are 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 which remains unpaid? If so, please provide details.

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3. Do you own any property jointly with someone else? If so, identify the asset(s) 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. Have you 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, have you been given a power of appointment or a beneficial interest under a will or trust instrument created by someone else?
7. Do you expect to receive a significant inheritance in the future?
8. Are 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?
11. Does anyone else have access to your safe deposit box?
12. Where are your current wills, insurance policies, deeds, and other important papers now kept?

PART III

ESTATE PLANNING GOALS

A. Lifetime Planning

Property and Financial Affairs.

If during your lifetime you lose the ability to manage your property and financial affairs –

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

Who should be that person's backup(s)?

Medical Treatment and Health-Care

If you lose the ability to make or communicate good decisions regarding your medical treatment and health-care –

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

Who should be the backup?

B. Post-Death Planning

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

Who should be the backup Executor?

Describe how you would want your estate distributed, specifically in terms of who should receive:

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

Do you want any specific items to go to specific individuals?

Other specific gifts, if any:

Please list who should receive the remainder of the estate. If more than one beneficiary, should the residuary estate be divided into percentages? If so, please list the percentage each beneficiary should receive.

If one of your children or other beneficiaries 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?

If any of your other beneficiaries does not survive you, what should happen to the bequest or share you wanted him/her to have?

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Do you want the property intended for 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?

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

Who should be the backup trustee(s)?

If none of your children (or other beneficiaries) or their descendants survives you, 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 you are 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.