**Trowbridge Law Firm Estate Planning Process**

**Initial Conference**

This meeting includes discussion of your hopes, fears, dreams and aspirations for you and your loved ones. We discuss the many legal options available in planning your estate. A typical initial conference lasts 1.5 to 2 hours.

**Estate Plan Design**

This meeting may be combined with the initial conference except in complex planning situations.

**Review and Signing of Documents**

Detailed explanation of each document, how and when a document in used and how each document relates to the others in the Estate Planning Portfolio. This usually takes place 2-3 weeks following the initial conference

**Asset Alignment**

Transfer titles to assets into Living Trust(s) and to other estate planning or wealth preservation vehicles as needed. Trust funding is normally completed in 30-60 days.

**Asset Alignment Follow-Up Meeting**

Ensures that Asset Alignment has been completed. This is usually scheduled 30-60 days following the signing of documents.

**Family Meeting**

We meet with you and your children to explain basic terms of the trust and the duties of each fiduciary. We also identify health care agents, trustees and agents under Powers of Attorney. You determine the time and location of the Family Meeting, usually 1-6 months after signing of documents.

**Estate Maintenance Program**

Annual review of your estate plan and how the law and your family changes may affect current planning. Verifies trust funding and nomination of Trustees, Health Care Agents and other fiduciaries.

**Estate and Trust Administration**

 Assists your family in trust administration in the event of disability or death.

**Trowbridge Law Firm**

**What to expect at your initial Estate Planning Conference**

1. Definition of Estate Planning and explanation of our Estate Planning Process
2. Importance of funding, review your personal information and make copies of Deeds and Statements
3. Discuss what is important to you and those individuals and charities that you care about
4. Develop and design a custom Estate Plan
5. Make recommendations regarding:

Living Trust(s)

Pour-over Will(s)

General Durable Power of Attorney

Directions for Health Care

HIPAA Authorization and Release

Trust Funding

Location Lists for Important Documents

List of Advisors and People to contact

Funeral / Memorial Instructions

1. Discuss fees
2. Schedule date for review and signing of Estate Planning documents
3. Schedule date for Funding meeting

**PERSONAL INFORMATION**

***ESTATE PLANNING CONFIDENTIALTY FORM***

FOR ESTATE PLANNING PURPOSES ONLY

**IMPORTANT**

We are required by law and the Michigan Rules of Professional Conduct adopted by the State of Michigan to keep confidential the personal and financial information you provide us in this form or otherwise, unless you authorize us to disclose it to other persons or organizations. We take this responsibility seriously, and exercise care to prevent our employees, associates and other whose services we use from disclosing or using your confidences.

If you are a married couple, by signing below, you waive any right to confidentiality between yourselves and authorize us to represent each of you and give us permission to disclose all information and communications to both of you.

It may be necessary for us to have and utilize this information for the purpose of consulting with you, creating and assisting you in funding your estate plan and also, at our discretion, to share certain information with other professional advisors, including accountants, financial advisors and institutions, investments and insurance brokers and health care professionals. By signing below, you authorize us to disclose your information to such other professionals on a “need to know” basis, except only any persons or organizations you name in the space below, as follows:

(List, if any)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**In order for us to create an effective estate plan, it is necessary that you list all of your assets, indicate how these assets are titled, and all of your liabilities. We ask that you bring all documents relating to your assets so that we can copy them for our file for use in funding your estate plan with you to your initial conference meeting.**

**By signing below, you are indicating that you have disclosed all of your assets and liabilities in this personal information form and authorize us to utilize and disclose such information for estate planning purposes as stated and limited above.**

Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Client Signature

**Trowbridge Law Firm Personal Pre-Meeting Informational Packet**

**(Pages 4-13)**

|  |  |
| --- | --- |
| **STEP 1** | **Simple Background Information**The information you provide in this section provides us with important objective information about you, your age, where you live, and how best to communicate with you. |

**Client’s Information**

|  |  |
| --- | --- |
| Full Name | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| AKA | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Nickname | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Birth date | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | SS# | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Birthplace | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Ancestry | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Father’s Name | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Mother’s Maiden Name | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Home address | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| City/State/ZIP | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | County | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Home Phone | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Cell Phone | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Employer | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Work Phone | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Email address | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| US Citizen? | Yes No |
| Veteran? | Yes No |

|  |  |
| --- | --- |
| Have you ever lived in any of the following states: Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington or Wisconsin? |  Yes No |
| Are your parents still living? |  Yes No |
| Are your grandparents still living? |  Yes No |

|  |  |
| --- | --- |
| **STEP 2** | **Potential Individual Beneficiaries**Identify those children and/or other family members who are possibly a beneficiary of your estate. Listing a person in this section is not a firm indication of your decision to provide for a particular individual. Rather, it is simply a means of identifying individuals for discussion purposes. |

Name/Address/Telephone Number Birth date Relationship

|  |  |  |
| --- | --- | --- |
| 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |
| 2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |
| 3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |
| 4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |
| 5.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |
| 6.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |

|  |  |
| --- | --- |
| Does any potential beneficiary have special educational, medical or physical needs, or receive governmental benefits? |  Yes No |
| Does any potential beneficiary have any potential problems with drug or alcohol abuse? |  Yes No |
| Are you concerned with any potential beneficiary’s ability to handle/manage money? |  Yes No |
| Are you concerned with your children’s ability to get along with one another? |  Yes No |
| Are their problems/concerns relative to your relationship with your children? |  Yes No |
| Have any of your children been divorced? |  Yes No |

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| **STEP 3** | **Potential Charitable Beneficiaries**Many, but not all, of our clients desire to direct a portion of their estate toward charities or other non-profit organizations. Whether it is your church, college or favorite philanthropy, you may have the same desires. Take a moment and contemplate whether you would include a bequest within your Estate Plan. |

Name of Charity or Non-Profit Organization Address

|  |  |
| --- | --- |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

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| **STEP 4** | **People Who Advise You**Your various advisors play a key role in the implementation of your Estate Plan. For example, your financial advisor and life insurance agent may need to be contacted to confirm and/or change beneficiary designations and titling of accounts. |

Name/Address Telephone

|  |  |
| --- | --- |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
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| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |
| 5. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |
| 6. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |

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| **STEP 5** | **Concerns** Our objective is to assist our clients in identifying concerns. Often in the planning process, a client will discover that there are other, more pressing concerns than the one that caused them to begin the planning process. Please review and identify the following risks that concern you. |

 Level of Concern

 Low – High (if any)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | None | L | M | H |
| **Tax Concerns** |  |  |  |  |
| Risk of the IRS “inheriting” half the estate when we die | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of capital gains taxes paid on the sale of property | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of unnecessary income taxes being paid on investment assets | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| **Family Concerns** |  |  |  |  |
| Risk of persons other than those we select will gain custody of any minor child(ren) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of a child or other beneficiary losing his or her inheritance to creditors, lawsuits or to a divorcing spouse | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of a child or other beneficiary losing his or her inheritance due to mismanagement of the money | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that upon the death of a child or other beneficiary, any inheritance received by that person might pass to a spouse (who may later remarry) rather than passing to a grandchild or other preferred heir | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that an inheritance passing to a minor child or grandchild might be squandered or stolen by the person in charge of managing the money for that child or grandchild | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that an inheritance received by a child or other beneficiary who has a disability would render them ineligible for governmental benefits | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of unnecessary litigation from heirs who receive less than they think they are entitled to | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |

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| --- | --- |
| **STEP 5** | **Concerns (continued)** |

 Level of Concern

 Low – High (if any)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | None | L | M | H |
| Risk of estate passing unequally due to nature of assets owned, i.e., a business comprises most of the value of the estate  | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that heirs will not fully appreciate the values and virtues used to create the inheritance | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that parents, who may need financial assistance, are not provided for | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| **Disability Concerns** |  |  |  |  |
| Risk of loss of control over assets in the event of disability | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of legal guardianship in the event of disability | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of unwanted efforts made to save my life if I feel that it’s best to cease such efforts and die peaceably and without pain | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that health care personnel will not disclose health care information to loved ones due to the lack of proper HIPAA releases | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of unnecessary guardianship over an incapacitated adult child in order to make health care decisions for that child | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| **Creditor Concerns** |  |  |  |  |
| Risk of frivolous lawsuits | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of loss of assets to nursing home | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that a creditor of a joint tenant may seize the jointly-owned property to satisfy the debt of the other joint tenant | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| **Post-Death Concerns** |  |  |  |  |
| Risk of unnecessary costs and delays associated with the estate passing through probate | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of having to sell assets in a “fire sale” in order to create the liquidity needed to pay taxes and expenses | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |

|  |  |
| --- | --- |
| **STEP 5** | **Concerns (continued)** |

 Level of Concern

 Low – High (if any)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | None | L | M | H |
| Risk that the person(s) charged with managing your affairs after you’ve passed will innocently make mistakes because he or she is unaware of what is required and is unaware of the personal liability for those mistakes | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of private matters being made public | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| **Business Concerns** | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk that corporate shield will fail to protect corporate assets because corporate meetings have not been held annually, corporate minutes kept, officers elected, etc. |  |  |  |  |
| Risk of lawsuits by employees due to out-of-date or non-existent employee agreements | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of business failure due to the lack of a business succession plan | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of unnecessary expenses associated with the sale of a business because of the absence of an exit plan having been prepared ahead of time | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |
| Risk of unintended financial results stemming from a Buy/Sell Agreement that is out of date and/or underfunded | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ |

|  |  |
| --- | --- |
| **STEP 6** | **Appointments – People to Assist You**One of the most important aspects of any Estate Plan is the “appointment” of various individuals to assist you and your family in times of need, particularly when death or disability strikes. |

**Successor to You**

Who will serve as Guardian of your minor children (if any)?

|  |  |  |
| --- | --- | --- |
|  |  | **Responses** |
| **Guardians** | First Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Second Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

If you were incapacitated for any period of time, who would you choose to handle your financial affairs?

|  |  |  |
| --- | --- | --- |
|  |  | **Responses** |
| **Financial Power of Attorney** | First Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Second Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

If you were incapacitated for any period of time, who would you choose to make health care decisions for you?

|  |  |  |
| --- | --- | --- |
|  |  | **Responses** |
| **Health Care Contact** | First Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Second Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

If you were (both) deceased, who would you choose to administer and distribute your estate?

|  |  |  |
| --- | --- | --- |
|  |  | **Responses** |
| **Successor Trustees** | First Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Second Choice | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |
| --- | --- |
| **STEP 7** | **Asset Management**Determining the ownership, value and character of your assets is important to your Estate Plan. The title “ownership” is important for tax and transfer matters. The “value” will be significant in determining potential tax liability. The “character” is relevant in assessing the manner by which the asset can transfer. |

**Bank and Savings Accounts (Checking, Savings and Certificate of Deposit)**

|  |  |  |  |
| --- | --- | --- | --- |
| Financial Institution | Account # and Type | Owner(s) | Market Value |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 5. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 6. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**Investment Accounts, Stocks and Bonds**

|  |  |  |  |
| --- | --- | --- | --- |
| Financial Institution | Account # and Type | Owner(s) | Market Value |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 5. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 6. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**Retirement Accounts (Pension, Profit Sharing, IRA, 401(k), 403(b), H.R. 10)**

|  |  |  |  |
| --- | --- | --- | --- |
| Financial Institution | Account # and Type | Participant | Market Value |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |
| --- | --- |
| **STEP 7** | **Asset Management (continued)** |

**Life Insurance Policies and Annuities (Term, whole life, split dollar, group life, or annuity)**

|  |  |  |  |
| --- | --- | --- | --- |
| Insurance Company | Policy # and Type | Insured | Death Benefit |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**Other Assets (Business Interests, Corporations, LLCs and any potential inheritances)**

|  |  |  |  |
| --- | --- | --- | --- |
| Description |  | Owner(s) | Market Value |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**Personal Effects (Motor Vehicles, Boats and Jewelry)**

|  |  |  |  |
| --- | --- | --- | --- |
| Description |  | Owner(s) | Market Value |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**Real Estate (Deeds or land contract)**

|  |  |  |  |
| --- | --- | --- | --- |
| Description |  | Owner(s) | Market Value |
| 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |
| --- | --- |
| **STEP 8** | **About Your Goals and Objectives**Before we meet, it is important for us to better understand what prompted you to schedule this appointment. Don’t focus on the tools to be used, but rather on the outcomes to be achieved. |

**About Your Goals and Objectives**

|  |  |
| --- | --- |
| **Goal** | **Consequences if Goal isn’t accomplished** |
| 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | 2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | 3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | 4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 5.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | 5.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 6.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | 6.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**Additional Documentation**

**General Document Request.** In some instances, it is necessary for us to review other documents before we can make planning recommendations. Please bring the following documentation to the initial consultation:

* Copies of existing planning documents, including wills, trusts, financial powers of attorney, health care powers of attorney, living wills, etc.
* Copies of all deeds to real estate you own.
* Copies of the most recent statements evidencing your ownership of bank accounts, investment accounts, retirement accounts, and annuities.
* Prenuptial Agreements (if any).
* Long-term care insurance policies (if any).
* Divorce decree or property settlement agreements for divorce under which continued obligations exist.