

INFORMATION NEEDED AT AN INITIAL INTERVIEW

Client(s) legal name (include Sr., Jr., III, etc) and any nickname(s) or also known as names:

Address and home, work and cell phone numbers and email addresses (if the client lives in more than one state, each address and which state are they a resident of):

Date(s) of birth:

Health Status:

U.S. Citizens (Y/N):

If a couple, number of years married:

If a couple, any pre-nuptial agreement (Y/N) (if yes, obtain a copy):

Any prior marriages (if so, name of ex-spouse and are there any financial obligations under the divorce to maintain insurance or anything else in client's estate plan and, if so, request a copy of the divorce order):

Does either one have issue from outside the marriage and, if so, names and ages and city/state and name of other parent:

Legal names and nicknames and dates of birth and current city/state of residence of all children and, if not joint to a couple, whose children are they:

Marital status of each child (single, married, widowed, divorced) and if married or divorced, the name of spouse or ex-spouse and whether or not that spouse has been married before and/or whether or not that spouse has any children from prior marriages or relationships):

List any physical or mental health issues with any of the children:

List any social issues that might affect a decision to leave assets to any child (spending, drinking, gambling, potential divorce or marital issue, special needs, etc.):

Are there any charities, religious organizations or other people who will be receiving assets under the estate...if so, the name and city and state:

List the city and state of all real estate (including timeshares) and whose name it is in and the approximate value and approximate debt against it, if any (ask for copies of any deeds):

List all qualified assets, state the type (401(k), 403(b), IRA, Roth IRA, qualified annuity, etc.) and who owns it and the approximate value as well as the current first and second beneficiaries:

List all non-qualified assets, state the type (stocks, bonds, mutual funds, treasury bills, corporate bonds, savings bonds, CD's, bank money market, brokerage money market, REIT, etc.) and who owns it and the approximate value:

List all life insurance policies, state the owner, the death benefit, the cash value, the first and second beneficiaries and the type of policy (whole, term, group term at work, VUL, UL, etc.):

List the value of all vehicles, boats, campers, RV's and the approximate debt against each:

Estimate (without listing) the liquidation value (not replacement cost) of all personal effects (antiques, jewelry, art, coin, gun, stamp, collectibles, electronics, etc):

Does the client hold any stock options (if so, the approximate value of vested and non-vested options comparing the exercise price to fair market value):

Does the client own a business [if so, the percentage of ownership, the legal structure (corp., LLC, LP, partnership, sole proprietorship and its state of incorporation or formation), what the business does and its approximate value). Also, is there a child or key employee or other succession plan or goal?

Is the client owed any money (notes or mortgages from assets sold or a note from a business; if so, request copy of note and any mortgage or security agreement):

Is the client owed any money by a child or other beneficiary or does the client otherwise want to offset a beneficiary's inheritance because of money spent on that beneficiary:

Does the client expect to inherit any money in excess of \$100k (if so, list amount):

Does the client have personal umbrella insurance and if so, the amount of coverage:

If the client has rental or commercial property, does the client have commercial umbrella insurance and if so, the amount of coverage/also does the client require the tenants to carry liability insurance and name the client on the policy as additional insured:

Does the client have long term care insurance/if so, the company and the amount of coverage?

Is the client a veteran of the U.S. armed Forces, if so, the number of years of active service, how much of that time was during wartime, how much of that time was spent stationed in the country where the war took place and was the client injured during service:

First, second and third choice (names and city/state of residence) for guardians for minor or disabled children/legal names and city and state of residence:

First second and third choice (names and city/state of residence) to make medical decisions for the client if the client is disabled (if client wants to use people who are currently minors, at what age would they act):

Does the client have doctors in other states (list states):

Does the client want a Living Will (Y/N)?

First second and third choice (names and city/state of residence) names and city/state of residence) to make financial decisions for the client if the client is disabled (if client wants to use people who are currently minors, at what age would they act and is it automatic or do the people ahead of them make the decision):

Who does the client want their things to pass to at their death (if children or other group is it equal or otherwise):

At what age or ages does the client want the beneficiary to receive the funds outright?

What happens to the asset if a beneficiary dies before the client?