

**CONFIDENTIAL
ESTATE PLANNING DATA**

We understand that this questionnaire is designed to provide important information for estate planning purposes and that the firm's ability to advise clients with respect to lifetime and testamentary disposition of assets, with minimization of adverse tax consequences, depends on the accuracy and completeness of such information. We hereby confirm that such information is substantially correct and complete.

Dated: _____

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INTRODUCTION

This form should be filled out as completely as possible, and presented at the time of the initial consultation. We need to have your estimate of the approximate values of your assets, as well as the exact way they are owned (by either individual as community property or in joint tenancy). Please give careful consideration to how each asset is owned. Although reasonable value approximations are acceptable, it is important to be certain of the identity of assets and how they are owned. The form provides for identification of assets as owned solely by husband, solely by wife, as community property or in joint tenancy. However, please note where other conditions exist, such as tenancies in common or community property with rights of survivorship.

Estate Planning Process and Procedures

Estate planning is a process, and to help ensure your estate plan is properly drafted, implemented, and effectively maintained on a continuing basis, we offer ongoing counsel to our clients.

Our process is designed to help you maintain your estate plan so that it will perform as designed.

- 1. Estate Planning Questionnaire.** Your estate planning process is initiated with this estate planning questionnaire; the information you provide will form the basis of our recommendations and will be used in the preparation of your documents.
- 2. Initial Meeting.** A meeting with you (and your spouse) provides an opportunity to discover your overarching goals, family relationships, charitable motivation, if any, and general dispositional intentions. It also allows us to educate you regarding issues of federal and state estate tax laws, the estate planning process, trust law, and other issues. Finally, we can also discuss planning options, the time it will take to complete the initial plan, and the cost of implementation.
- 3. Fact Gathering.** At the initial meeting, or at a subsequent meeting, we will outline the specifics of your estate plan. We will discuss your choice of fiduciaries (executors, trustees, agents under durable powers of attorney, etc.), your wishes regarding disposition of assets, how you want your beneficiaries to receive those assets (in trust, outright, etc.), distribution of retirement plan distributions and its income and estate tax implications, the handling of life insurance policies, the impact of HIPAA and other federal and state issues to be addressed.
- 4. Review and Execution.** At a final meeting we will review your documents, and you will then sign them.
- 5. Funding.** If your planning is done with living trusts, you will be asked to provide the information and documentation necessary to transfer your investment and real estate assets to your trusts, and to prepare beneficiary designations for retirement assets, life insurance policies and annuities.
- 6. Ongoing Support and Follow-Up.** For the next twelve months, you will receive ongoing support in the form of telephone discussions to answer questions about your plan, to resolve issues concerning funding of your trusts, and to answer questions regarding retirement plan beneficiary designations. If you request, we will take steps to assure that deeds to your real estate assets are properly recorded and that your retirement asset beneficiary designations are accepted by the custodian of those assets.

At this point, the attorney-client relationship terminates unless you continue to support your estate plan with the services listed below, which will be provided for an additional annual fee.

These additional services are necessary to keep your estate effective at all times:

7. **Annual Review and Maintenance.** Once each year, generally beginning on the anniversary date of the execution of your initial estate planning documents, we will meet with you for a complete review of your plan, and for the purpose of doing an annual check-up. At this meeting, we **will:**

- Review the terms of your documents and the identity of all fiduciaries; if any fiduciary needs to be changed, we will prepare the appropriate trust amendment or codicil to your will to make those changes
- If you have living trusts, review the funding of your trusts
- If you have trusts, rebalance the assets in your trusts for estate tax efficiency and maximization of estate tax savings
- Update and redraft your Powers of Attorney, Living Wills, HIPAA Authorizations, Appointments of Agent to Control Disposition of Remains, and any other statutory documents that may be required
- Discuss other issues or changes required because of changes in your financial or family situation, or as the result of changes in tax laws or other laws, and make appropriate adjustments in your documents to accommodate such changes.

We will not take responsibility for the continued relevance or effectiveness of your estate plan if it has not been reviewed by our office for a period in excess of one year.

Privacy Policy

In the course of providing clients with legal services, we may receive non-public personal information from the client or from third parties with the client's authorization. We do not disclose non-public personal information about clients or former clients, except as authorized by the client or as required or permitted under applicable law and rules of professional ethics.

We retain records relating to the professional services we provide to better assist a client's needs and, in some cases, to comply with professional guidelines. Access to non-public personal information regarding clients is restricted to those persons who must have access to the records to provide the services requested by the client (for example, a tax preparation service). We maintain physical, electronic and procedural safeguards to protect a client's non-public personal information in accordance with our professional standards.

PLANNING ISSUES

Prior to our conference, you should consider the following questions to the extent they are applicable to your situation:

1. Describe your primary goal regarding the disposition of your property. (Consider beneficiaries, family members, friends, charities, as well as purposes, such as support, education, housing, and planning for your medical care.)
2. Describe your secondary goals:
3. Do you have specific charitable interests or goals?
4. Are there specific gifts (money or property) you wish to give to specific individuals? Alternatives if those individuals do not survive you?
5. To whom do you wish to give the balance of your estate? Alternatives if those individuals do not survive you?

PLANNING ISSUES

6. **Guardians for Minor Children.** If you have children under age 18, who would you want to serve as guardian to take care of them and see to their upbringing and education in the event of your death? What about a successor guardian if the first doesn't act? Would you want the same individuals to manage their property? Your choice for a guardian of any minor children:

Primary _____
First Successor _____
Second Successor _____

7. **Personal Representatives/Executors.** Who would you want to be the personal representative/executor of your will? This is the person or bank in charge of paying final debts and taxes and distributing your estate as directed in your will. Your choice for executor:

Primary _____
First Successor _____
Second Successor _____

8. **Trusts and Trustees.** Trusts often are utilized for tax savings and asset management, either as part of a will, or in addition to a will. If trusts are appropriate for you (and trusts might be of long-term duration), who would you want to be the trustee (or co-trustees): A bank? An individual such as your spouse, brother or sister, child or friend? A combination of a bank and an individual? Who would be the successor trustee if the initial trustee fails or ceases to act? Your choice for trustee:

Primary _____
First Successor _____
Second Successor _____

9. **Durable Power of Attorney for Property.** If you were disabled and unable to handle your financial affairs, who would you entrust to handle those matters for you? An institution cannot perform this function. It is usually handled by a family member or trusted friend. Your choice for agent under a Durable Power of Attorney for Property:

Primary _____
First Successor _____
Second Successor _____

10. Durable Power of Attorney for Health Care. If you were incapacitated and unable to make health care decisions for yourself, who would you want to make such decisions on your behalf? Again, you cannot name an institution to perform in this capacity. It is usually handled by a family member or trusted friend.

Your choice for agent under a Durable Power of Attorney for Health Care:

Primary _____

First Successor _____

Second Successor _____

11. Specific Gifts. Do you wish to provide in your estate plan for cash gifts, or gifts of other specific property, to individuals or charity? If so, you should make a list of such individuals and organizations, paying careful attention to exact given names, spellings and addresses.

12. Disaster. If all members of your immediate family are deceased, to what individuals or charities should your assets be given?

WE WILL DISCUSS ALL OF THESE ISSUES IN DETAIL WHEN WE MEET

GENERAL INFORMATION

	HUSBAND	WIFE
Full Name		
Residence Address		
City State Zip		
Citizenship*		
Residence Telephone		
Home E-Mail Address		
Employer/Bus. Name		
Business Address		
City State Zip		
Position		
Business Telephone		
Business E-Mail Address		
Birth Date		
Place of Birth		
Social Security No.		
Marriage Date:	Place	
Pre-marital agreement? _____. If yes, please supply copy.		
Husband previously married?	_____ Yes _____ No	How many times? _____
Wife previously married?	_____ Yes _____ No	How many times? _____
For each prior marriage of either spouse, indicate name of prior spouse, date of marriage, date of termination, reason for termination (divorce, death) and, if divorced, whether prior spouse is living. Please supply copy of any divorce decrees.		

* It is very important to plan carefully for tax or property consequences that may result from any interstate or international aspects of your estate. If you travel extensively or own residential property in more than one jurisdiction, please be prepared to discuss your views regarding what you consider to be your principal residence.

Community Property Domicile:

If you have ever lived in the following community property states, please indicate which states and the dates you resided in the state - Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington and Wisconsin:

MarriageDate:	Place
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Pre-marital agreement? _____. If yes, please supply copy.

Husband previously married?	_____ Yes	_____ No	How many times? _____
Wife previously married?	_____ Yes	_____ No	How many times? _____

For each prior marriage of either spouse, indicate name of prior spouse, date of marriage, date of termination, reason for termination (divorce, death) and, if divorced, whether prior spouse is living. Please supply copy of any divorce decrees.

Please indicate what estate planning documents are currently in effect:

Husband:

Date of Living Trust and Amendments (if any): _____

Date of Will and Codicils (if any): _____

Date of Powers of Attorney (if any): Health Care: _____ Property: _____

Date of Living Will (if any): _____

Date of other estate planning documents (if any): _____

Wife:

Date of Living Trust and Amendments (if any): _____

Date of Will and Codicils (if any): _____

Date of Powers of Attorney (if any): Health Care: _____ Property: _____

Date of Living Will (if any): _____

Date of other estate planning documents (if any): _____

Please supply copies of current wills and trusts.

FAMILY

List children in order of birth, and indicate if any are deceased.

	CHILD'S NAME	ADDRESS	BIRTH DATE	SOCIAL SECURITY NUMBER	SPOUSE
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					

List each grandchild, and indicate which of your children is that grandchild's parent.

	GRANDCHILD'S NAME	PARENT (by number, from above)	BIRTH DATE	SOCIAL SECURITY NUMBER	SPOUSE
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					

Are any of the children listed above from a prior marriage? If so, please explain:

Are any family members disabled? If so, please explain:

EXISTING ADVISORS & ESTATE PLANNING DOCUMENTATION

	HUSBAND	WIFE
Accountant		
Firm		
Address		
City, State, Zip		
Financial Advisor		
Firm		
Address		
City, State, Zip		
Life Insurance Agent		
Firm		
Address		
City, State, Zip		
Safe Deposit Box		
Bank		
Address		
City, State, Zip		
Box number(s)		
Rented by (H, W, Jt.)		
Other Storage		
Company		
Address		
City, State, Zip		
Rented by (H, W, Jt.)		
Please indicate whether husband and wife have current wills or trusts, including dates of execution:		
Husband: _____		
Location of document: _____		
Date of document: _____		
Wife: _____		
Location of document: _____		
Date of document: _____		
Please supply copies of current wills and trusts.		

FINANCIAL SUMMARY

Please provide estimated current values, in multiples of \$1,000.

ASSETS	HUSBAND	JOINT TENANCY	WIFE
Cash & Notes (Sched. A)	\$	\$	\$
Real Estate (Sched. B)	\$	\$	\$
Securities (Sched. C)	\$	\$	\$
Proprietorships/partnerships (Sched. D)	\$	\$	\$
Life insurance (face value) (Sched. E)	\$	\$	\$
Annuities (Sched. F)	\$	\$	\$
Qualified retirement plans & IRAs (Sched. G)	\$	\$	\$
Nonqualified employee benefits (Sched. H)	\$	\$	\$
Tangible personal property (Sched. I)	\$	\$	\$
Miscellaneous (Sched. J)	\$	\$	\$
TOTALS	\$	\$	\$
LIABILITIES			
Mortgages (Sched. K)	\$	\$	\$
Loans/notes (Sched. K)	\$	\$	\$
Other liabilities (Sched. K)	\$	\$	\$
TOTAL	\$	\$	\$
NET WORTH (Assets minus liabilities)	\$	\$	\$
COMBINED TOTAL			

SCHEDULE A - CASH & NOTES

Provide estimated current values, in multiples of \$1,000.

CASH ACCOUNTS	Type (CHKING, SAVS. C.D. MONEY MKT.)	HUSBAND	JOINT TENANCY	WIFE
Bank or Other Institution				
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
SUBTOTAL CASH ACCOUNTS		\$	\$	\$
LOANS OR NOTES RECEIVABLE (money owed to you)				
OBLIGOR	RATE	DATE DUE		
			\$	\$
			\$	\$
			\$	\$
SUBTOTAL LOANS AND NOTES		\$	\$	\$
TOTAL (carry over to Financial Summary)		\$	\$	\$
Comments:				

SCHEDULE B - REAL ESTATE

For valuation purposes, use your best estimate of current total values, without regard to any mortgages that may be outstanding. Mortgage information should be described in Schedule I. Please indicate if any property is a condominium, co-op, time share or other restricted ownership.

Provide estimated current values, in multiples of \$1,000.

ADDRESS (include <u>county</u> in which real estate is located)	Residential (R) Commercial (C) Vacant (V)	HUSBAND	JOINT TENANCY	WIFE	LAND TRUST (provide details)
1.		\$	\$	\$	\$
2.		\$	\$	\$	\$
3.		\$	\$	\$	\$
4.		\$	\$	\$	\$
5.		\$	\$	\$	\$
6.		\$	\$	\$	\$
7.		\$	\$	\$	\$
8.		\$	\$	\$	\$
TOTAL (carry over to Financial Summary)		\$	\$	\$	\$

Has any real estate been the subject of a tax-free exchange (§1031 exchange/Starker exchange) within the last 12 months? Please explain:

Land trust details (if applicable), i.e., name of trustee, names of beneficiaries, etc.:

SCHEDULE C - SECURITIES

Provide estimated current values, in multiples of \$1,000.

CERTIFICATES HELD BY YOU	HUSBAND	JOINT TENANCY	WIFE
Publicly traded stocks (provide list)	\$	\$	\$
Closely held stocks (provide list)	\$	\$	\$
Corporate bonds (provide list)	\$	\$	\$
U.S. government bonds, notes & bills (provide list)	\$	\$	\$
Municipal bonds (provide list)	\$	\$	\$
Other (provide list)	\$	\$	\$
TOTAL (carry over to Financial Summary)	\$	\$	\$

Please supply copies of any buy/sell agreements, related insurance arrangements, or other documents affecting any of the above securities.

Comments:

SCHEDULE C - SECURITIES
(continued)

BROKERAGE ACCOUNTS AND MUTUAL FUNDS		HUSBAND	JOINT TENANCY	WIFE
Name of broker or fund	Account number			
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
TOTAL (carry over to Financial Summary)		\$	\$	\$

SCHEDULE D - PROPRIETORSHIPS/PARTNERSHIPS

(Including limited partnerships and tax shelters)

Provide estimated current values, in multiples of \$1,000.

ASSET TYPE	HUSBAND	JOINT TENANCY	WIFE
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
TOTAL (carry over to Financial Summary)	\$	\$	\$

Please supply copies of partnership agreements, buy-sell agreements, or any other documents relevant to the business listed above.

Comments:

SCHEDULE E - LIFE INSURANCE

Provide estimated current values, in multiples of \$1,000.

INSURING LIFE OF HUSBAND								
COMPANY	POLICY NO.	TERM, VARIABLE LIFE, UNIVERSAL LIFE, OR WHOLE LIFE	FACE VALUE	CASH VALUE	LOANS	ANNUAL PREMIUM	OWNER	BENEFICIARY
			\$	\$	\$	\$		
			\$	\$	\$	\$		
			\$	\$	\$	\$		
			\$	\$	\$	\$		
			\$	\$	\$	\$		
TOTAL (carry over to Financial Summary)			\$	\$	\$	\$		

INSURING LIFE OF WIFE								
COMPANY	POLICY NO.	TERM, VARIABLE LIFE, UNIVERSAL LIFE, OR WHOLE LIFE	FACE VALUE	CASH VALUE	LOANS	ANNUAL PREMIUM	OWNER	BENEFICIARY
			\$	\$	\$	\$		
			\$	\$	\$	\$		
			\$	\$	\$	\$		
			\$	\$	\$	\$		
			\$	\$	\$	\$		
TOTAL (carry over to Financial Summary)			\$	\$	\$	\$		

INSURING LIFE OF HUSBAND AND WIFE (SECOND-TO-DIE)								
COMPANY	POLICY NO.	TERM, VARIABLE LIFE, UNIVERSAL LIFE, OR WHOLE LIFE	FACE VALUE	CASH VALUE	LOANS	ANNUAL PREMIUM	OWNER	BENEFICIARY
			\$	\$	\$	\$		
			\$	\$	\$	\$		
TOTAL (carry over to Financial Summary)			\$	\$	\$	\$		

SCHEDULE F - ANNUITIES

Provide estimated current values, in multiples of \$1,000.

HUSBAND IS ANNUITANT					
COMPANY	CONTRACT NO.	COST BASIS	CURRENT VALUE	OWNER	BENEFICIARY
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		
TOTAL (carry over to Financial Summary)		\$	\$		

WIFE IS ANNUITANT					
COMPANY	CONTRACT NO.	COST BASIS	CURRENT VALUE	OWNER	BENEFICIARY
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		
		\$	\$		
TOTAL (carry over to Financial Summary)		\$	\$		

SCHEDULE G - QUALIFIED RETIREMENT PLANS AND IRAs

Provide estimated current values/account balances, in multiples of \$1,000. Values should be placed in column of owner/participant rather than beneficiary; you may disregard beneficiary designations.

RETIREMENT ASSETS		HUSBAND	WIFE
Name of custodian or Plan Sponsor	Account Number		
IRAs/Keogh Accounts/SEPs			
		\$	\$
		\$	\$
		\$	\$
Pension Plans			
		\$	\$
		\$	\$
		\$	\$
401(k) Plans			
		\$	\$
		\$	\$
		\$	\$
Profit Sharing Plans			
		\$	\$
		\$	\$
		\$	\$
Other			
		\$	\$
		\$	\$
TOTAL (carry over to Financial Summary)		\$	\$

SCHEDULE H - NON-QUALIFIED EMPLOYEE BENEFITS

Provide estimated current values/account balances, in multiples of \$1,000. Values should be placed in column of owner/participant rather than beneficiary; you may disregard beneficiary designations.

HUSBAND'S BENEFITS:

DEFERRED COMPENSATION		
Employer or Company	Value	Named beneficiary
	\$	
	\$	
	\$	
TOTAL	\$	

STOCK OPTIONS				
Employer or Company	Number of shares	Option price/share	Current value/share	Total Net Value
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
TOTAL				\$

OTHER NON-QUALIFIED EMPLOYEE BENEFITS		
Description	Value	Comments
	\$	
	\$	
TOTAL	\$	

TOTAL OF ALL HUSBAND'S NON-QUALIFIED EMPLOYEE BENEFITS	
TOTAL (carry over to Financial Summary)	\$

WIFE'S BENEFITS:

DEFERRED COMPENSATION		
Employer or Company	Value	Named beneficiary
	\$	
	\$	
	\$	
TOTAL	\$	

STOCK OPTIONS				
Employer or Company	Number of shares	Option price/share	Current value/share	Total Net Value
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
TOTAL				\$

OTHER NON-QUALIFIED EMPLOYEE BENEFITS		
Description	Value	Comments
	\$	
	\$	
TOTAL	\$	

TOTAL OF ALL WIFE'S NON-QUALIFIED EMPLOYEE BENEFITS	
TOTAL (carry over to Financial Summary)	\$

SCHEDULE I - TANGIBLE PERSONAL PROPERTY

Provide estimated current values, in multiples of \$1,000.

	HUSBAND	JOINT TENANCY	WIFE
Furniture and furnishings	\$	\$	\$
Automobiles	\$	\$	\$
Artwork or art collections	\$	\$	\$
Other collections	\$	\$	\$
Goods in storage	\$	\$	\$
Jewelry	\$	\$	\$
Furs	\$	\$	\$
Other	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
TOTAL (carry over to Financial Summary)	\$	\$	\$

Describe collections, antiques, heirlooms, etc. that require special estate plan considerations, and give any other pertinent comments:

SCHEDULE J - MISCELLANEOUS

List estates and trusts where an outright inheritance is expected, and provide estimated value thereof. Also list values where you have powers to control the dispositions of the assets.

Provide estimated current values, in multiples of \$1,000.

INTERESTS IN PENDING PROBATE ESTATES	HUSBAND	WIFE
	\$	\$
	\$	\$
	\$	\$
	\$	\$
TOTAL (carry over to Financial Summary)	\$	\$

INTERESTS IN EXISTING TRUSTS	HUSBAND	WIFE
	\$	\$
	\$	\$
	\$	\$
	\$	\$
TOTALS (carry over to Financial Summary)	\$	\$

Please supply copies of relevant wills and trusts.

Ever filed U.S. Gift Tax returns? Yes No If yes, please supply copies.

EXPECTED INTERESTS IN FUTURE ESTATES/TRUSTS (<u>DO NOT</u> carry over to Financial Summary)	HUSBAND	WIFE
	\$	\$
	\$	\$
	\$	\$
TOTAL	\$	\$

SCHEDULE K - LIABILITIES

List only major liabilities, such as mortgages on real estate, notes or loans due to others, charitable pledges, etc.

Provide estimated current values, in multiples of \$1,000.

LIABILITIES	HUSBAND	JOINT TENANCY	WIFE
Mortgages (Use same property numbers as in Schedule B)			
1.	\$	\$	\$
2.	\$	\$	\$
3.	\$	\$	\$
4.	\$	\$	\$
5.	\$	\$	\$
6.	\$	\$	\$
7.	\$	\$	\$
8.	\$	\$	\$
TOTAL (carry over to Financial Summary)	\$	\$	\$
Loans/Notes (Identify creditor)			
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
TOTAL (carry over to Financial Summary)	\$	\$	\$
Other liabilities (including charitable pledges)			
	\$	\$	\$
	\$	\$	\$
TOTAL (carry over to Financial Summary)	\$	\$	\$

Additional Instructions...

Please have the following information ready for use at your initial consultation, as this will allow us to prepare your Estate Plan accurately.

- 1. A list of all your bank accounts, securities, stocks, bonds, mutual funds, money market accounts, etc. with account numbers, sales representative or broker's name and mailing address, type of account, and a copy of your most recent statement for each of the accounts.**
- 2. All annuities and life insurance policies, with their most recent statements.**
- 3. A list of all your IRAs, Keoghs, SEPs, and 401(k)s with their account numbers, addresses, and most recent statements.**
- 4. A list of your real estate holdings along with a copy of the deed for each property, the property address, and the Property Identification Number (PIN) which can be found on your real estate tax bill.**
- 5. A list of any partnerships, joint ventures, closely held corporations, sole proprietorships, or any other entities in which you own interest.**
- 6. Copies of Deeds of Trust or Notes Payable to you.**
- 7. An outline of any unusual or specific requests, either to your heirs or others, that you wish to consider for inclusion in your trust or other estate plan documents, as appropriate.**
- 8. Copies of any existing estate planning documents.**

