

CONFIDENTIAL

ESTATE PLANNING QUESTIONNAIRE

THE PURPOSE OF THIS QUESTIONNAIRE IS TO SOLICIT THE GENERAL INFORMATION WE NEED TO HELP YOU EFFECTIVELY PLAN THE DISPOSITION OF YOUR ASSETS. THE REQUESTED INFORMATION IS EXTREMELY IMPORTANT TO THE PLANNING PROCESS. FAILURE TO PROVIDE THE NEEDED DETAILS CAN BE AS HARMFUL TO YOU AND YOUR FAMILY AS THE FAILURE TO PREPARE AN ESTATE PLAN. IF ANY REQUESTED INFORMATION IS NOT READILY AVAILABLE, COMPLETE THE QUESTIONNAIRE TO THE BEST OF YOUR ABILITY, AND WE CAN DISCUSS THE MISSING INFORMATION AT OUR MEETING.

IMPORTANT ADVISORS

FINANCIAL ADVISOR

Name: _____
Firm: _____
Address: _____
City, State & Zip: _____
Phone Number: _____ Fax Number: _____ Cell Number: _____
Email Address: _____

ACCOUNTANT

Name: _____
Firm: _____
Address: _____
City, State & Zip: _____
Phone Number: _____ Fax Number: _____ Cell Number: _____
Email Address: _____

CONFIDENTIAL ESTATE PLANNING QUESTIONNAIRE

Please answer the following as completely as possible. If extra room is needed, use the back of the sheets or attach extra sheets. Leave spaces blank if you are unsure of the answer.

PART I - PERSONAL INFORMATION**A. HUSBAND**

1. **Full Name:** _____
2. **Nicknames/former names:** _____
3. **Social Security Number:** _____ 4. **Citizenship:** _____
5. **Home Address:** _____
[city], [zip]
- Home Phone:** _____ **Cell Phone:** _____
- Home Fax:** _____ **Work Phone:** _____
- E-Mail:** _____ **Work Fax:** _____
6. **Employer's Name, Address:** _____

7. **Birthdate:** _____ **Birthplace:** _____
[city] [state] [country]
8. **Married Previously?** Yes No **How Many Times?** _____ (complete Attachment I)
9. **How long have you resided in California?** _____ (years) **State/Country of prior residence:** _____
Will you remain a permanent resident of California? Yes No

B. WIFE

1. **Full Name:** _____
2. **Nicknames/former names:** _____
3. **Social Security Number:** _____ 4. **Citizenship:** _____
5. (ck if same as above)
Home Address: _____
[city], [zip]
- Home Phone:** _____ **Cell Phone:** _____
- Home Fax:** _____ **Work Phone:** _____
- E-Mail:** _____ **Work Fax:** _____
6. **Employer's Name, Address:** _____

7. **Birthdate:** _____ **Birthplace:** _____
[city] [state] [country]
8. **Married Previously?** Yes No **How Many Times?** _____ (complete Attachment I)

9. How long have you resided in California? _____ (years) State/Country of prior residence: _____
 Will you remain a permanent resident of California? Yes No

C. MARITAL INFORMATION

1. Date and Place of present marriage: _____
2. Occupation at date of marriage:
 Husband: _____ Wife: _____
3. Have you entered into any pre-marital or postnuptial agreements?
 Yes No (If yes, please provide a copy.)
4. List (on reverse side) beginning dates and States (or Countries) of residence (domicile) since marriage, and approximate net worth upon leaving.

D. CHILDREN AND GRANDCHILDREN

List all children and grandchildren in the appropriate section. Place an "A" by the name of any children or grandchildren who have been adopted by any person. (Continue on separate paper if needed)

1. Children of present marriage

Name, Address and Phone No.	Birthdate/SSN	Spouse (if married)
_____ _____ Tel. (____) _____	_____ SSN: ____-____-____	_____
_____ _____ Tel. (____) _____	_____ SSN: ____-____-____	_____
_____ _____ Tel. (____) _____	_____ SSN: ____-____-____	_____
_____ _____ Tel. (____) _____	_____ SSN: ____-____-____	_____

2. Children of Husband's prior marriage to: _____

Name, Address, and Phone No.	Birthdate/SSN	Spouse (if married)
_____ _____ Tel. (____) _____	_____ SSN: ____-____-____	_____
_____ _____ Tel. (____) _____	_____ SSN: ____-____-____	_____

3. Children of Wife's prior marriage to: _____

Name, Address, and Phone No.	Birthdate/SSN	Spouse (if married)
_____	_____	_____
_____	SSN: ____ - ____ - ____	
Tel. (____) _____		
_____	_____	_____
_____	SSN: ____ - ____ - ____	
Tel. (____) _____		

4. Do you plan to have more children in the future? Yes No

5. If any children are deceased, please note here: _____

6. Grandchildren

Name, Address, and Phone No.	Birthdate/SSN	Spouse (if married)
_____	_____	_____
_____	SSN: ____ - ____ - ____	
Tel. (____) _____		
_____	_____	_____
_____	SSN: ____ - ____ - ____	
Tel. (____) _____		
_____	_____	_____
_____	SSN: ____ - ____ - ____	
Tel. (____) _____		
_____	_____	_____
_____	SSN: ____ - ____ - ____	
Tel. (____) _____		

7. Do any of the children or grandchildren listed above have any special education, health or other needs which would require special funding? Yes No

If yes, please indicate which child or grandchild: _____

8. Please list any other persons whom you wish to benefit under your Will/Trust:

Name, Address and Phone No.	Birthdate/Age	Relationship
_____	_____	_____

Name, Address and Phone No.

Birthdate/Age

Relationship

_____	_____	_____
_____	_____	_____
_____	_____	_____

9. Is there any person(s) you specifically want to disinherit? Yes No

If yes, please specify _____

E. FIDUCIARY AND FAMILY INFORMATION

1. Health:

- a. Present state of Husband's health: _____
- b. Present state of Wife's health: _____
- c. Describe any special health conditions of immediate family members requiring special financial provisions:

2. Person(s) You Wish to Name as Trustee/Executor (to care for assets):

Name, Address and Phone No.

Birthdate/Age

Relationship

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. Person(s) You Wish to Name as Guardian for Minor Children (Single or Couples):

Name, Address and Phone No.

Birthdate/Age

Relationship

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. Husband's Parents, Brothers, Sisters, Grandparents (if living), Not Listed Above:

Name, Address and Phone No.	Birthdate/Age	Relationship
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. Wife's Parents, Brothers, Sisters, Grandparents (if living), Not Listed Above:

Name, Address and Phone No.	Birthdate/Age	Relationship
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

6. Have you previously executed a Will or Trust? Yes No
If yes, please provide copies of all signed documents for either or both of you.

F. GIFTS

1. Have you made any gifts to any persons over \$13,000 in one year, (or over \$3,000.00 per year if made before January 1, 1982)? Yes No If yes, please provide detailed information.

2. Have either of you ever filed a U.S. Gift Tax Return? Yes No

If yes, provide copies. This information is important!

3. Have gifts been made under the Uniform Gifts to Minors Act or Uniform Transfers to Minors Act?
 Yes No If yes, attach schedule with details.

4. Do you wish to make future gifts to charities, or religious institutions? Yes No
If yes, describe: _____

G. INHERITANCES

1. Is either of you the trustee or beneficiary of any trust? Yes No If yes, provide details. _____

2. Have you received any inheritance or gifts prior to, or during, marriage? Yes No
If yes, provide details on reverse side.
3. Do you expect to receive an inheritance or other gift in the future? Yes No
If yes, provide details on reverse side.
4. Do either of you have a power of appointment under a Will or Trust created by any other person which empowers you to direct where another's property goes at death? Yes No If yes, provide copies of all such documents.

PART II - FINANCIAL INFORMATION

NOTE: ALL CURRENT VALUES MAY BE ESTIMATED

SCHEDULE A - REAL ESTATE – Please provide copies of deeds to all real property (outside Santa Clara County).

Property Address	Ownership*	Cost Plus Improvements	Market Value	Mortgage Balance	Net Value
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Total Market Value: \$ _____; list on Schedule I, line 1

Total Mortgage Balance(s) (\$ _____); list on Schedule I, line 8

Total Net Value: \$ _____

* Under "ownership", list exact names appearing on deed and form of title (i.e., joint tenancy (JT), tenancy in common (TC), community property (CP), or separate property (SP)).

SCHEDULE B - STOCK, BONDS, BUSINESS INTERESTS AND OPTIONS

Company & Type *	Ownership**	No. of Shares , % Owned or Face Value	Original Cost	Market Value
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

Total Market Value: \$ _____; list on Schedule I, line 2

* Indicate if any corporation is an "S Corporation" for income tax purposes.

** Indicate (i) in whose names title is held, (ii) whether in joint tenancy (JT), tenancy in common (TC), community property (CP), or separate property (SP) and (iii) whether subject to transfer restrictions or buy-sell arrangement.

If you own your own business, list it on this schedule.

SCHEDULE C - CASH ACCOUNTS, CERTIFICATES OF DEPOSIT AND NOTES RECEIVABLE

Bank Accounts:

Bank/Address	Account Numbers	Ownership/Title*	Current Balance
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Certificates Of Deposit And Miscellaneous Notes Receivable:

Bank Address (or Payor if private note)	Certificate Number	Ownership/Title*	Interest Rate	Maturity Date	Face Amount
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Total Current Balances and/or Face Amounts \$ _____; list on Schedule I, line 3

* Indicate the names of account and note holders and form of title (i.e., joint tenancy (JT), tenancy in common (TC), community property (CP), or separate property (SP)).

SCHEDULE D - LIFE INSURANCE AND ANNUITY CONTRACTS

Company/Policy #	Insured	Owner*	Beneficiaries	Cash Surrender Value**	Death Benefit
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Total Death Benefits \$ _____; list on Schedule I, line 4. Total Policy Loans \$ _____; list on Schedule I, Line 9

* List owner(s) names and indicate whether or not purchased with community property funds.

** Also list any policy loans.

SCHEDULE E - EMPLOYEE PENSION, PROFIT SHARING AND 401(K) PLANS

List employer provided life insurance on Schedule D.

	Plan #1	Plan #2	Plan #3
Employer	_____	_____	_____
Type of Plan	_____	_____	_____
Participant (Client or Spouse)	_____	_____	_____
Amount Vested	_____	_____	_____
Death Benefit	_____	_____	_____
Beneficiary of Death Benefit	_____	_____	_____
Has joint/survivor annuity been elected or waived? (y/n)	_____	_____	_____
Has Summary Plan Description/ Annual Report been received? (y/n)	_____	_____	_____
Amount of Employee Contributions, if any. (pre-tax/post-tax?)	_____	_____	_____

Total Death Benefits \$ _____; list on Schedule I, line 5

Miscellaneous Employee Benefits: _____

SCHEDULE F - INDIVIDUAL RETIREMENT ACCOUNTS (IRAs)

Bank/Trustee	Account Number	Account Owner*	Beneficiary (ies)	Account Balance
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

Total Account Balance(s) \$ _____; list on Schedule I, line 6

* Indicate whether account includes community property funds.

SCHEDULE G - MISCELLANEOUS ASSETS

Description	Ownership*	Debt Balance	Current Net Value
Automobiles: _____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
Furniture and Furnishings	_____	_____	_____
Jewelry	_____	_____	_____
Art	_____	_____	_____
Collections	_____	_____	_____
Other: _____	_____	_____	_____
_____	_____	_____	_____

Total Current Net Values _____; list on Schedule I, line 7

** List owner(s) names and indicate community property (CP), or separate property (SP).

SCHEDULE H - DEBTS, LIABILITIES AND GUARANTEES

General Description (e.g., notes, judgments, etc.) and Payment Terms	Name of Obligor	Total Amount of Liability
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Total Amount of Liabilities: \$ _____; list on Schedule I, line 10

Have you personally guaranteed any debts (e.g.; for your business, your children, or others)? If yes, please provide full details of the guarantee arrangement below on attached sheet.

SCHEDULE I - ASSET SUMMARY

Assets

Current Value

- 1. Real Estate (Schedule A) _____
- 2. Stock, Bonds, Business Interests and Options (Schedule B) _____
- 3. Cash Accounts, Certificates of Deposit and Notes Receivable (Schedule C) _____
- 4. Life Insurance and Annuity Contracts (Schedule D) _____
- 5. Employee Pension, etc. (Schedule E) _____
- 6. Individual Retirement Accounts (Schedule F) _____
- 7. Miscellaneous Assets (Schedule G) _____

TOTAL

Liabilities

Current Value

- 8. Mortgages Payable (Schedule A) _____
- 9. Insurance Policy Loans (Schedule D) _____
- 10. Miscellaneous Debts and Liabilities (Schedule H) _____

TOTAL

NET CURRENT ESTATE

REMINDER

PLEASE PROVIDE US WITH ORIGINAL OR COPIES OF THE FOLLOWING IF AVAILABLE:

- a. Present Trust and Wills (including amendments and codicils).
- b. Any gift tax returns ever filed, or specific information about gifts.
- c. Personal Financial Statement, if any.
- d. Insurance and Annuity Policies.
- e. Current Statement of employer benefits, deferred compensation plans, stock option plans.
- f. Separation and property agreements and divorce judgments (prior marriages).
- g. Previous estate and financial planning analysis.
- h. Partnership Agreements, Shareholder Agreements, LLC Operating Agreements.
- i. Marital Property Agreements (current marriage).
- j. Copies of deeds to real property in which Client or Spouse owns any interest (outside Santa Clara County).
- k. Copies of written statements regarding pledges of anatomical gifts, desires about life-sustaining procedures or other medical treatment, or desires about burial or other dispositions of remains.
- l. Information not addressed in the questionnaire that you believe should be taken into consideration.
- m. Please list (on reverse side) any other advisors not listed on the cover page.

**ATTACHMENT 1
ESTATE PLANNING INFORMATION
PREVIOUS MARRIAGES**

1. Name of previous spouse: _____
2. Marriage was terminated by death/divorce/annulment (circle one).
3. Spousal support obligation:
Amount: _____
Duration: _____
4. Child support obligation:
Amount: _____
Duration: _____
5. Do you own property which is subject to conditions or requirements resulting from your marital dissolution, so that you do not have complete freedom to dispose of it as you wish? If so, please describe or furnish a copy of the relevant court order or agreement.
6. Provide a copy of any settlement agreement or court judgment.

THE ABOVE INFORMATION SHOULD BE FURNISHED FOR EACH PREVIOUS MARRIAGE. USE ONE ATTACHMENT FOR EACH MARRIAGE.

DUAL REPRESENTATION

In order to ensure that all relevant matters are effectively and efficiently coordinated, it is customary for a husband and wife to employ the same law firm to assist them in the preparation of an estate plan. However, in the course of such dual representation, potential conflicts may arise with respect to the ownership of property (separate or community), and its desired disposition during lifetime and at death. In the case of actual or potential conflicts of interest, legal ethics require attorneys to inform their clients of the potential conflicts, and to obtain their written consent to continue representation of them after such disclosure. This letter describes such potential conflicts and, when signed by you, will constitute your consent to our dual representation of both of you.

During the course of our relationship we will consider each of you to be a client. Normally, the representation of a client by an attorney requires the advancement of the client's interests above all others. However, the representation of each of you can be affected by our desire to develop a coordinated estate plan that serves your joint interests. For example, our preparation of the coordinated estate plan for you may result in (i) either or both of you waiving certain property rights which may exist, (ii) the disclosure of information received by us from one of you to the other, even though you may desire to keep the information confidential, or (iii) our inability to represent either of you in the future, if one of you desires to alter the estate plan unilaterally. Furthermore, dual representation of the two of you in preparing an estate plan may provide an arguable basis to attack the estate plan in the future on the grounds of undue influence.

Although I doubt that it will happen, in the event that conflicts do arise between the two of you of such nature that it is inappropriate in our judgment for us to continue to represent both of you, we will withdraw from further representation of either of you in this matter, and advise each of you to obtain independent counsel. At that time, we will submit our statement for legal services rendered to you up to the date of our withdrawal.

In order for us to represent the two of you, you must also agree that there will be complete and free disclosure and exchange of all information that we receive from either of you in the course of our representation of you. You must also agree that such information will not be confidential between you, regardless of whether we obtain such information in conversation with both of you, or in private conversation with only one of you. Your agreement will include any conversations that may have taken place before the date of this letter. Of course, our communications will remain confidential as to outside parties.