

# Data Gathering Forms for Estate Planning

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To help you identify and gather much of the information that will be needed for a review of your circumstances and to discuss your estate planning goals and objectives

**Prepared by:**

John D. Meyers, Jr., Attorney at Law  
John D. Meyers, Jr. PSC  
277 E. High Street, Suite 100  
Lexington, Kentucky 40507

859-381-1316

fax: 859-381-9336

email: john at johndmeyers.com

[www.johndmeyers.com/eplaw.html](http://www.johndmeyers.com/eplaw.html)

# Data Gathering Forms for Estate Planning

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

Husband's Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ SS#: \_\_\_\_\_ US Citizen? (Yes or No) \_\_\_\_\_

Period of Residence in KY: \_\_\_\_\_ Occupation: \_\_\_\_\_

Wife's Name: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ SS#: \_\_\_\_\_ US Citizen? (Yes or No) \_\_\_\_\_

Period of Residence in KY: \_\_\_\_\_ Occupation: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone (Home): \_\_\_\_\_ (Work): \_\_\_\_\_

E-mail Addresses (Husband): \_\_\_\_\_ (Wife): \_\_\_\_\_

Prenuptial Agreement? (Yes or No; If Yes, please provide a copy) \_\_\_\_\_

Prior Marriages? (Yes or No; If Yes, please provide details, especially regarding continuing obligations and the existence of children from a prior marriage) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Children (names, dates of birth, marital status and children): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Primary Estate Planning Concerns

Summary of Property Gifting Desires (if this includes numerous separate gifts, provide details on a separate sheet): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Other Concerns: \_\_\_\_\_  
\_\_\_\_\_

Safe Deposit Box Location: \_\_\_\_\_

**Advisors**

Accountant: \_\_\_\_\_

Life Insurance Agent: \_\_\_\_\_

Casualty Insurance Agent: \_\_\_\_\_

Investment Advisor: \_\_\_\_\_

Stock Broker: \_\_\_\_\_

Banker: \_\_\_\_\_

Other: \_\_\_\_\_

**Existing Estate Planning Documents**

Will (Yes or No; If yes, include date): \_\_\_\_\_

Trusts (Yes or No; If yes, include date): \_\_\_\_\_

Power of Attorney (Yes or No; If yes, include date): \_\_\_\_\_

Living Will (Yes or No; If yes, include date): \_\_\_\_\_

Health Care Power of Attorney (Yes or No; If yes, include date): \_\_\_\_\_

Please provide copies of each of the above documents as well as copies of all prior federal and state gift tax returns.

**Property Summary**

(please provide details on the following pages)

	<u>Husband</u>	<u>Wife</u>
1. Retirement Accounts (from page A-3, Part A)	_____	_____
2. Life Insurance & Annuities (from page A-4, Part B) +	_____	_____
3. Other Assets (from page A-5, Part C)	+ _____	_____
4. Subtotals - Separately Owned Property	= _____	_____
5. Subtotal - Combined	= _____	
6. Jointly Owned Property (from page A-6, Part D)	+ _____	
7. Liabilities (from page A-6, Part E)	- _____	
8. Total Joint Estate	= _____	

On this page and the following pages, please provide detail regarding the property owned by you (and your spouse, if any). Please first review the several categories of property and then describe the property owned by you in each category. The total of each category should be shown on the Property Summary on the preceding page. Each property item should be reported in only one category. Please be sure to report all of your property on these schedules. If these pages do not provide you adequate space to include all of your property items, please attach additional pages.

**Part A: Retirement Accounts** (includes IRAs, 401(k)s, and similar benefit plans)

■ Retirement Accounts Owned by Husband:

<u>Name and Type</u>	<u>Beneficiary</u>	<u>Amount</u>
1. _____ _____	Prim. _____ Second. _____	_____
2. _____ _____	Prim. _____ Second. _____	_____
3. _____ _____	Prim. _____ Second. _____	_____
4. _____ _____	Prim. _____ Second. _____	_____
<b>Husband's Total</b> (transfer to Page A-2, Property Summary, Line 1)		_____

■ Retirement Accounts Owned by Wife:

<u>Name and Type</u>	<u>Beneficiary</u>	<u>Amount</u>
1. _____ _____	Prim. _____ Second. _____	_____
2. _____ _____	Prim. _____ Second. _____	_____
3. _____ _____	Prim. _____ Second. _____	_____
4. _____ _____	Prim. _____ Second. _____	_____
<b>Wife's Total</b> (transfer to Page A-2, Property Summary, Line 1)		_____

**Part B: Life Insurance, Annuities, and Accounts with Beneficiaries Designated**

■ Life Insurance, Annuities, Pay-on-death, and other such Accounts Owned by Husband:

<u>Company and Type</u>	<u>Beneficiary</u>	<u>Pay on death amount</u>
1. _____ _____	Prim. _____ Second. _____	_____
2. _____ _____	Prim. _____ Second. _____	_____
3. _____ _____	Prim. _____ Second. _____	_____
4. _____ _____	Prim. _____ Second. _____	_____
5. _____ _____	Prim. _____ Second. _____	_____
<b>Husband's Total</b> (transfer to Page A-2, Property Summary, Line 2)		_____

■ Life Insurance, Annuities, Pay-on-death, and other such Accounts Owned by Wife:

<u>Company and Type</u>	<u>Beneficiary</u>	<u>Pay on death amount</u>
1. _____ _____	Prim. _____ Second. _____	_____
2. _____ _____	Prim. _____ Second. _____	_____
3. _____ _____	Prim. _____ Second. _____	_____
4. _____ _____	Prim. _____ Second. _____	_____
5. _____ _____	Prim. _____ Second. _____	_____
<b>Wife's Total</b> (transfer to Page A-2, Property Summary, Line 2)		_____

**Part C: Other Separately-Owned Assets**

List below property **owned by Husband and Wife separately**, as well as property that is owned jointly by one of you with another person, or by both of you together without right of survivorship. Property that is owned jointly by both of you with right of survivorship should be reported in Part D. For items subject to mortgages or loans, indicate in the description the market value and current loan balance, and use the net equity amount as the Value. For simplicity, groups of property such as household furnishings and personal effects may be reported as a group and valued in the aggregate.

■ **Other Assets Owned by Husband:**

<u>Description (list real estate first, then other items)</u>	<u>Value</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
<b>Husband's Total</b> (transfer to Page A-2, Property Summary, Line 3)	_____

■ **Other Assets Owned by Wife:**

<u>Description (list real estate first, then other items)</u>	<u>Value</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
<b>Wife's Total</b> (transfer to Page A-2, Property Summary, Line 3)	_____



**Closely Held Business Interest**

Please provide the following information on any interest you own in a closely held business. If you own an interest in more than one closely held business, please use multiple copies of this page and provide the same such information for each interest you own in a closely held business. The value of each business interest should be recorded on the appropriate schedule on the previous pages.

Name of Business: \_\_\_\_\_

Business Address: \_\_\_\_\_

Type of Business Organization: \_\_\_\_\_

(include tax status, e.g. regular (C) corporation, S-corporation, partnership, sole proprietorship, etc.)

Business Advisors, Accountants, etc.: \_\_\_\_\_

**Capitalization (shares or other ownership interests):**

	Common Shares	Preferred Shares	Loans from SHs
Total Outstanding	_____	_____	_____
Total Authorized	_____	_____	_____
Dividend Rate	_____	_____	_____

**Ownership Interests (amount of the above capitalization owned by you):**

(shares or other ownership interests)

	Common Shares	Preferred Shares	Loans from SHs
Husband	_____	_____	_____
Wife	_____	_____	_____
Children	_____	_____	_____
Others	_____	_____	_____

Value of Your Interest in this Business: \_\_\_\_\_

Method for determining this value: \_\_\_\_\_

Does a Buy-Sell Agreement Exist? \_\_\_\_\_ How Funded? \_\_\_\_\_

What type? (redemption, cross purchase, etc.): \_\_\_\_\_

Anticipated Disposition of Stock If No Buy-Sell: \_\_\_\_\_

Other Commitments of Business (e.g. stock options, deferred comp., key-man ins.): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**If you have minor children, consider the following issues that will arise if both parents die before your children reach adulthood:**

**Guardianship:**

Who do you wish to serve as guardian (caregiver) of your children?

First choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

**Trusteeship:**

Is this guardian the same person you wish to manage the property left for your children? \_\_\_\_\_

If not, who do you wish to serve as trustee to manage such property on your children's behalf?

First choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

■ Assuming that property is left in trust for the benefit of your minor children to provide for their needs, at what point in time or upon what event would you want the remaining property distributed to your children and the trust terminated? (for example, when children reach a designated age)

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

■ If any of your children have special needs, or if you have any particular concern regarding the care of your children or the benefits to be provided for them, please explain below.

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

**Living Will:** Do you wish to execute a Living Will?

Husband:            Yes \_\_\_\_\_            No \_\_\_\_\_

Wife:                Yes \_\_\_\_\_            No \_\_\_\_\_

### **Selection of Fiduciaries**

**Executor:**

Who do you wish to serve as your Executor? (the Executor is the person who administers your estate in accordance with the provisions of your will) One or more backups are also recommended.

Husband's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Husband's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

**Trustee:**

If your estate plan includes the creation of a trust that will hold property **for the benefit of your surviving spouse**, who do you wish to serve as Trustee? (the Trustee manages the property held in trust for the benefit of the various beneficiaries named in the trust instrument. This responsibility may last for a long period of time, unlike the Executor's role which generally lasts for several months to a couple of years.) One or more backups are also recommended.

Husband's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Husband's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

**Selection of Fiduciaries (continued)**

**Attorney-in-Fact:**

If your estate plan includes the creation of a power of attorney, who do you wish to serve as your Attorney-in-Fact? (The agent named in a Power of Attorney is referred to as an "Attorney-in-Fact.") A spouse may be, and frequently is, appointed. One or more backups are also recommended.

Husband's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Husband's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

**Health Care Power of Attorney:**

If your estate plan includes the creation of a Health Care Power of Attorney, who do you wish to serve as your Health Care Agent, and as backup? A spouse may be, and frequently is, appointed.

Husband's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Husband's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's first choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

Wife's second choice (name and address): \_\_\_\_\_  
\_\_\_\_\_

**Other Concerns:** If you have other concerns regarding your estate plan which are not addressed elsewhere in this data gathering form, please explain below.

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

**John D. Meyers, Jr. - Profile**

John Meyers is an attorney in Lexington, Kentucky, focusing primarily on estate and business matters. In his estate practice, John regularly works with individuals and couples to help them determine estate planning goals and take the appropriate actions to accomplish these goals. [Click here to return to the estate planning attorney services page at [www.johndmeyers.com/eplaw.html](http://www.johndmeyers.com/eplaw.html).]

In his business practice, John assists business owners with business formations, business purchases and sales, joint ventures, contracts, transactions, business succession, and many other matters related to the operation and development of small and medium-sized businesses. [Click here to visit the home page for John Meyers, business and estate planning attorney, at [www.johndmeyers.com](http://www.johndmeyers.com).]

John is a graduate of the University of Kentucky (B.S. in Accounting, 1983) and the University of North Carolina School of Law (J.D., 1986). After graduating from law school, John briefly practiced tax accounting with Arthur Andersen & Co. in Raleigh, NC and has since then practiced business and estate planning law for more than 20 years in Charlotte, NC and Lexington, KY.