

# QFA FINANCIAL & ESTATE PLANNING QUESTIONNAIRE

April 18, 2007

**1. a. Full Names**

	Name	Date of Birth	U.S. Citizen?
You :			<input type="checkbox"/>
Spouse :			<input type="checkbox"/>

**b. Investment Objective**

- Speculative
  - Growth
  - Growth & Income
  - Income
  - Liquid
- 2006 Gross Income  
 2005 Gross Income  
 2004 Gross Income

Total Net Worth = (Assets - Liabilities) =

**2. a. Home Address:**

YRS: \_\_\_\_\_ Phone: \_\_\_\_\_

**b. List all other residences, including summer houses:**

**c. Business address & Phone:**

	Address	Phone Number
You :		
Spouse :		

**d. Occupation:** You: \_\_\_\_\_ Placement \_\_\_\_\_ Spouse: \_\_\_\_\_

**e. Social Security Number:** You: \_\_\_\_\_ Spouse: \_\_\_\_\_

**3. Children:**

Name	Address	Date of Birth	Marital Status	Social Security No.

**4. Miscellaneous:**

- a. Have you, your spouse or any of your children had a previous marriage? (Yes/No)  
If so, state reason for termination. If by divorce, is previous spouse still living? Are there any children of a previous marriage not listed above?

- b. Are you, your spouse or children the beneficiary of any trust or gift giving program? (Yes/No)  
If so, state the source, annual income and date of distribution of the principal.

- c. Do you, your spouse or children anticipate an inheritance? (Yes/No)  
If so, give the estimated date of receipt and approximate amount.

- d. Please list the names, addresses, phone numbers and years you have been associated with your accountant, insurance advisor and stock broker.

**5. Current Plan:**

- a. Do you or your spouse have a will? (Yes/No)  
If so, please provide a copy of the current wills.

- b. Have you or your spouse made gifts in excess of \$11,000 to any one individual or entity? (Yes/No)

If so, please state the date of the gift, the nature of the gift and the name, address and relationship of the beneficiary.

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- c. Do you, your spouse or children have life insurance? (Yes/No)

If so, for each policy please indicate the current face value, the beneficiary and the surrender value (use schedule "D" attached).

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**ASSETS**

Estimate the present value of each of the following items of property. If an item is located in a jurisdiction other than that in which you live, indicate where such item is located.

<b>Item</b>	<b>You</b>	<b>Spouse</b>	<b>Joint</b>
Cash & Bank Accounts			
Real Estate, including your home place (use Schedule "A")			
Notes, accounts receivable			
Stocks and Bonds (use Schedule "B" attached)			
Partnership interests			
Closely held business interest (use Schedule "C" attached)			
Retirement plan/profit sharing plan (use Schedule "F" attached)			
Personal property, including household, autos, jewelry, etc.			
Other assets, including patents, trademarks, copy-rights, royalties, etc. (use Schedule "E" attached)			

**LIABILITIES**

<b>Item</b>	<b>You</b>	<b>Spouse</b>	<b>Joint</b>
Mortgages on real estate			
Notes to banks and others			
Loans on insurance policies			
Unfulfilled pledges to charities			
Others			

**THE PLAN**

1. Please state what your and your spouse's wishes are in relation to the disposition of the following items; If you have a will please write in (see will) and attach will to questionnaire B.

a. Special bequests (jewelry, rugs, china, etc.):

You :	
Spouse :	

b. General bequests (household furnishings, automobiles, etc.)

You :	
Spouse :	

2. Whom do you wish to be your personal representative (include address and tel#) and Alternate?

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3. Whom do you wish to be the guardian of your minor children (address and phone)?

Alternate guardian?	

4. Do you wish to have a trust set up for your spouse, children, other relatives or charity?  
(Yes/No)

5. Are you now caring for a spouse, child or relative who suffers from any physical or mental hardship?

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6. Are you or your spouse a party to any antenuptial agreement, post nuptial agreement, separation and/or divorce decree or adoption proceeding? (Yes/No)  
If so, please explain in detail.

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7. Do you or your spouse currently have a safe deposit box? (Yes/No)  
If so, give its location, a summary of its contents and how the ownership is structured.

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8. Do you or your spouse have any specific burial instructions? (Yes/No)  
If so, please state in detail.

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9. Do you or your spouse wish to participate in an organ donor program? (Yes/No)

10. Do you or your spouse wish to sign a "Living Will" which provides you the opportunity to leave specific instructions to your doctor and family concerning the use of life support systems?(Yes/No)

11. Whom do you wish to be your health care agent to make decisions for you if you are unable to make them yourself (include address and phone number)?

Alternate guardian? <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 150px; height: 15px;"></td></tr></table>	

12. Do you wish to have life-sustaining measures used in the event that you are terminally ill or in a persistent vegetative state from which there is no reasonable expectation of recovery? (Yes/No)  
If not, do you wish to have nutrition and hydration artificially administered? (Yes/No)  
Do you wish to receive medication to relieve pain and suffering even if it would shorten your remaining life? (Yes/No)

13. What, if any, modification would you make regarding life-sustaining procedures if you (or your spouse) are pregnant when such decisions must be made?

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14. Whom do you wish to be your attorney-in-fact under your General Power of Attorney (include address and phone number)?

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**SCHEDULE A - REAL PROPERTY**

<b>Description and Location</b>	<b>Ownership Husband/Wife/Joint</b>	<b>Date Acquired</b>	<b>Basis or Cost</b>	<b>\$ Mortgage &amp; Current Fair Market Value</b>

Additional Information:

**SCHEDULE B - MARKETABLE SECURITIES**

<b>Description</b>	<b>Ownership Husband/Wife/Joint</b>	<b>Basis or Cost</b>	<b>Current Fair Market Value</b>

**SCHEDULE C - CLOSELY HELD BUSINESS INTERESTS**

<b>Description</b>	<b>Ownership Husband/wife/Joint</b>	<b>Interest %</b>	<b>Basis or Cost</b>	<b>Date Acquired</b>	<b>Current Value</b>

Additional Information:

**SCHEDULE D - LIFE INSURANCE**

**On Your Life:**

<b>Company Name</b>	<b>Owner</b>	<b>Beneficiary</b>	<b>Face Amount</b>	<b>Cash Value</b>	<b>Loans</b>

**On Life of Spouse:**

<b>Company Name</b>	<b>Owner</b>	<b>Beneficiary</b>	<b>Face Amount</b>	<b>Cash Value</b>	<b>Loans</b>

**SCHEDULE E - OTHER ASSETS**

<b>Description</b>	<b>Husband/Wife/Joint</b>	<b>Current Value</b>

Additional Information:

**SCHEDULE F - RETIREMENT PLANS**

<b>Description</b>	<b>Account Balance</b>	<b>Beneficiary</b>	<b>Insured Plan (Y/N)</b>	<b>Face Amount</b>	<b>Broker Dealer or Custodian</b>

Additional Information: