

Decedent Name: _____

Date of Death: _____

Today's Date: _____

Probate Questionnaire



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Dear Prospect: Please complete the information requested below and attach copies of any documents requested. Feel free to attach additional pages if necessary. If any question or item is not relevant, indicate why. If important information that might affect the estate probate is not listed, please add it on an additional page.

General and Contact Information

Topic/Item	Decedent	Executor(s)
Name:		
Home: Street Address.		
Home: City/State/Zip Code.		
Home: Telephone Numbers.		
Business: Description.		
Business: Street Address.		
Business: City/State/Zip Code.		
Business: Telephone Numbers.		
Business: Facsimile Number.		
Business: <input type="checkbox"/> Cell phone <input type="checkbox"/> Pager <input type="checkbox"/> E-mail.		

Personal Background and Marital Information

Topic/Item	Decedent	Executor(s)
Date/Place of Birth:		
Social Security Number:		
Citizenship:		
Current Marriage - Status:		
Current Marriage - Date and place of Marriage:		
Current Marriage - Do you have a Prenuptial, Post-nuptial or other agreement:		
Prior Marriage - Prior Spouse(s) Name(s):		
Prior Marriage - Date(s) and place(s) of Marriage:		
Prior Marriage - Date(s) and reason of termination:		
Prior Marriage - Separation, Divorce or other agreement(s):		
Other arrangements:		
Other points of importance:		

Please endeavor to provide copies of all relevant documents listed above. If there are prior marriages or special circumstances, these matters should be addressed when formulating your plan. Whenever possible to provide a document in both Word and PDF format please do so.

Background Information on Decedent's Parents

Parent Relationship	Decedent's Mother	Decedent's Father
Name:		
If Living:		
Street Address:		
City/State/Zip:		
Telephone Number:		
Description of financial status:		
How parent's estate plan affects decedent:		
Anticipated - Inheritance or Financial responsibility:		
Is decedent agent/executor:		
If Not Living, Date of death:		
Status of probate:		
Any trusts/§529 Plans, bequests, or other planning affecting decedent:		

Understanding decedent's financial relationship with family members is critical. If the decedent had financial obligations, these might need to be addressed. Details on family members are necessary to interpret will and trust provisions in the event named heirs predeceased decedent, disclaim or others challenge a will.

Information About Decedent’s Siblings

Name/ Relationship	Address/ Telephone	Age	Marital Status	Date of Death	Spouse's Name	Probate Note

Sibling information is needed for the probate process.

Information About Decedent’s Children

Name/ Relationship/Other Parent's Name	Address/ Telephone	Age	Marital Status	Spouse's Name	Any special needs/ concerns	Probate Note

Please attach any details concerning special concerns or issues which might affect the probate. If any child is adopted, please explain and attach copies of any legal documents, if applicable. For example, if a child has special needs, is financial successful in his/her own right, etc., this may be considered during the probate process. If a child was naturalized as a United States citizen, please explain and attach copies of any legal documents. Attach any additional documents or details which might be relevant. Indicate if different marriage, adopted, or other factors.

Information About Decedent’s Grandchildren

Name/ Relationship/Other Parent's Name	Address/ Telephone	Age	Marital Status	Special needs/ concerns	Spouse's Name	Probate Note

Please attach any details concerning special concerns or issues which might affect the probate. If any grandchild is adopted, please explain and attach copies of any legal documents. If a grandchild has special needs, is wealthy, etc. please note. If a grandchild was naturalized as a United States citizen, please explain and attach copies of any legal documents. Attach any additional documents or details which might be relevant. Do you understand the implications of the GST tax to this probate?

Information About Other Named Beneficiaries

Name	Relationship	Address/ Telephone	Age	Marital Status	Bequest/ Probate Comment

Please attach any details concerning special concerns or issues which might affect the probate for any additional beneficiaries.

Balance Sheet/Decedent's Net Worth

Importance of the Snap-Shot Balance Sheet

The pages that follow will help you organize a Snap-Shot Balance Sheet. This provides a "snap-shot", or overview, of the decedent's current financial picture at the time of death. It is vitally important to have such a perspective to properly begin to identify probate issues and opportunities. The summary balance sheet serves a different purpose than detailed financial report typically used in the financial planning process (although this level of detail would be helpful to have as well). While detailed financial schedules can help you collect the information necessary for the Snap-Shot Balance Sheet we have only requested general data. Detailed financial schedules should be prepared to help the estate's investment adviser review the estate's investment allocation to determine if it is consistent with the estate's goals. This detailed information is important because proper estate probate depends on your full disclosure as well as your follow up on many of these matters. Both levels of analysis are essential, but we only are requesting the Snap-Shot overview data unless you specifically wish we complete a more detailed analysis.

Tips for Completing the Snap-Shot Balance Sheet Below

Tailor it to the Decedent's Situation. Flexibility and creativity is necessary to best complete the Snap-Shot Balance Sheet to reflect the decedent's general personal and unique circumstances. Remember, a snap-shot or overview is the goal. The objective is not to address every item of detail on one page. Too much detail can obscure the larger and more global issues. If the categories or columns don't work, modify them as you see best staying as close to the general format provided as possible.

Issues. Any questions, assumptions or important points should be noted in the margins of the decedent's Snap Shot Balance Sheet (or in attachments to those schedules). You should indicate in the "Probate Comments" column notations to alert us to the additional information you attach.

Round Up. Simplify. List dollars in thousands (i.e., "000s" omitted). Rounding is fine -- using "350" for an asset which was recently appraised at \$347,000 is preferable. Its simple, clean and makes the analysis easier. The goal is to obtain a snap-shot of your financial status, not great detail, unless a particular detail is important to the planning we are addressing.

Combine. Combine similar assets onto one line. It often won't matter for the planning this Snap-Shot Balance Sheet planning tool will be used for. If have Four (4) wealth management accounts, or Three (3) mutual funds, if they are owned in the same manner (e.g, jointly) a total, by category may suffice.

Non-Probate, Pension and Retirement Assets. Identify pension, retirement assets, insurance, brokerage accounts, and other assets which pass outside of the decedent's will. Documentation for these assets may also include trust documents, beneficiary designations, or other documentation, which should be reviewed to determine how these assets will be transferred. Provide copies of any such documents, and if feasible in Word and PDF format. Review pension and retirement plan beneficiary designations and withdrawal plans with your accountant and financial planner and provide us copies.

Real Estate. For real estate assets you may wish to note in the margin if they are located outside the state where the decedent resided, which raises ancillary probate issues, ownership structure (by the decedent, LLC, partnership, tenants in common, etc.). Provide a copy of each deed, operating agreement (or other governing document) and any other relevant documents.

Miscellaneous Points. Note in the "Probate Comments" column any special or important considerations. These may include: beneficiary designations (e.g., for insurance, IRA, other retirement assets, annuity, brokerage account, etc.); liabilities or contingencies (e.g., a tenant filed a suit because of an injury at your vacation home), location of an asset in another state or country, the name of a co-owner of an asset if it is not your spouse, the face value of insurance, etc. Your advisor may use the "Probate Comments" to summarize key probate steps you might wish to consider.

Snap Shot Balance Sheet

Asset Category	Owned by Decedent	Owned by Decedent's Spouse/ Partner	Jointly Owned with Spouse/ Partner	Non-Probate (pass out outside)	Irrevocable Trusts	Probate Comments
Cash	\$	\$	\$	\$	\$	
CDs						
Marketable Securities						
Mutual Funds						
House (Net Mortgage)						
Vacation Home (Net mortgage)						
Other Real Estate Investments						
Annuities						
IRAs						
Pension/Retirement						
Closely Held Business						
Possible Inheritances						
Possible Claims/Losses						
Liabilities						
Life Insurance						
Net Worth	\$	\$	\$	\$		

Sign below indicating the accuracy and completeness of the above balance sheet. Your advisors' work will be based on this information. To achieve your goals you must follow up on recommendations made and advise of changes.

 Named Executor's Signature

 Date

 Named Co-Executor Signature

 Date

Documents To Bring to The Meeting

Please endeavor to bring copies of all existing estate, business, personal and related probate documents to your meeting. If feasible please provide an electronic copy as well. We realize that this is a lot of information. Do not be overwhelmed, please bring what you can.

- Death Certificate
- Will(s).
- Revocable Living Trust(s).
- Letters of Instruction.
- Insurance Trust(s).
- Life insurance policies.
- Child/Children's Trusts.
- GST/Grandchildren Trusts.
- Defective Grantor Trusts.
- Other trusts.
- Corporate kits.
- Limited Liability Company kits.
- Partnership, operating, shareholder and buy-out agreements.
- All beneficiary designation forms.
- Documents indicating any lawsuit, claim or other debt.
- Bank and brokerage statements.
- Prenuptial, Post-Nuptial, Divorce and similar agreements.
- Deeds for every property.
- Property and casualty insurance policies for every property.
- Any other possibly relevant documents.

Your Signature(s)

Sign below indicating the accuracy and completeness of this Questionnaire, and that you have read and understood any probate comments noted by your advisers. Your advisers' work will be based on this information. You must inform all of your advisers of any changes that may be important to the probate. You must be certain to follow up on all items your advisers have indicated to you that you must address. There are strict time deadlines and rules for disclaimers, tax filings and legal actions.

Named Executor Signature

Named Co-Executor's Signature