

## ASSET PROTECTION AND TRANSFER STRATEGIES CLIENT QUESTIONNAIRE

Name: \_\_\_\_\_

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

Home Tel.: \_\_\_\_\_ Cell Tel.: \_\_\_\_\_

Office Tel.: \_\_\_\_\_ Email: \_\_\_\_\_

DOB: \_\_\_\_\_

Marital Status: \_\_\_\_\_ Both U.S. Citizens: \_\_\_\_\_

Spouse's Name: \_\_\_\_\_ DOB: \_\_\_\_\_ SS#: \_\_\_\_\_

Number of Children: Over 18 \_\_\_\_\_ 18 and younger \_\_\_\_\_

Number of Grandchildren: Over 18 \_\_\_\_\_ 18 and younger \_\_\_\_\_

Do you own Real Estate? Y/N Value: \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

Do you own Insurance on your own life? Y/N Death Benefit: \$ \_\_\_\_\_ \$ Cash Value: \$ \_\_\_\_\_

Do you own Insurance on the life of another? Y/N Cash Value \$ \_\_\_\_\_ Death Benefit: \$ \_\_\_\_\_

Do you have Long-Term Care Insurance? Y/N Daily Benefit \$ \_\_\_\_\_ Duration: \_\_\_\_\_ Cap: \_\_\_\_\_

	Mr.	Mrs.	Joint
Do you own Individual Stocks? Y/N	\$ _____	\$ _____	\$ _____
Do you own Bonds? Y/N	\$ _____	\$ _____	\$ _____
Do you have Retirement Funds? Y/N	\$ _____	\$ _____	\$ _____
Do you have Brokerage Accounts? Y/N	\$ _____	\$ _____	\$ _____
Do you own any Business Interests? Y/N	\$ _____	\$ _____	\$ _____
Do you have Bank Accounts? Y/N	\$ _____	\$ _____	\$ _____
Do you have Certificates of Deposit? Y/N	\$ _____	\$ _____	\$ _____
Do you have Money Market Accts.? Y/N	\$ _____	\$ _____	\$ _____
Do you own Mutual Funds? Y/N	\$ _____	\$ _____	\$ _____
Do you own 529 College Plans? Y/N	\$ _____	\$ _____	\$ _____
Do you own boat/plane/automobile? Y/N	\$ _____	\$ _____	\$ _____
Do you own fine art/antiques? Y/N	\$ _____	\$ _____	\$ _____
Do you collect stamps/coins? Y/N	\$ _____	\$ _____	\$ _____
<b>TOTAL:</b>		\$ _____	

	Mr.	Mrs.
Monthly Social Security Income:	\$ _____	\$ _____
Monthly Pension Income:	\$ _____	\$ _____
Other Monthly Income:	\$ _____	\$ _____
TOTAL:	\$ _____	\$ _____

Do you have a Will? \_\_\_\_\_ Date Made: \_\_\_\_\_ State: \_\_\_\_\_  
Do you have a POA? \_\_\_\_\_ Date Made: \_\_\_\_\_ State: \_\_\_\_\_  
Do you have a Living Will? \_\_\_\_\_ Date Made: \_\_\_\_\_ State: \_\_\_\_\_  
Are you party to any Trust? \_\_\_\_\_ Describe: \_\_\_\_\_

Have you made any Gifts over \$12,000.00 w/in the past three years? \_\_\_\_\_

Do you have a pre-paid Funeral Contract? \_\_\_\_\_

Do you use the services of a Certified Public Accountant? \_\_\_\_\_

Do you use the services of a Financial Advisor? \_\_\_\_\_

Do you use the services of an Insurance Agent? \_\_\_\_\_

Does anyone currently assist you with your Financial Matters? \_\_\_\_\_

Are any of your bank or other accounts in joint names? \_\_\_\_\_

Does the same physician regularly treat/examine you? \_\_\_\_\_

Are any Family Members under any Disability? \_\_\_\_\_

Who are the first and second persons you would select to manage your money if you could not?

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**The purposes of the following questions and answers are to determine if asset protection planning is appropriate for you, what techniques are appropriate for you, and whether or not I should accept you as a client. If you choose not to answer questions, I may not accept you as a client. If you are reluctant to answer any question on the form, we can discuss your situation in person.**

Are you currently involved in any court or arbitration proceeding? Y/N

Have you been served with a complaint and summons to appear in court? Y/N

Has anyone notified you of the intent to file a lawsuit or arbitration proceeding? Y/N

Are you aware of any facts that might result in a lawsuit against you? Y/N

Have you received any notices of tax deficiency from the IRS or State of New Jersey? Y/N

Has any governmental agency notified you of any violations of ordinance, regulation or law? Y/N

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Have you received a cease and desist order from any governmental agency? Y/N

Do you have any judgments outstanding against you? Y/N

Do you have liens against your real or personal property? Y/N

Are you aware of any U.C.C. filings against your personal property? Y/N

Have you pledged any property as collateral for a loan? Y/N

Have guaranteed a debt for any other person or entity? Y/N

Have you applied for a loan in the past year? Y/N

Are you party to any contract? Y/N

Are you currently in contract negotiations? Y/N

Are you contemplating any new business ventures? Y/N

Have you ever been party to a voluntary or involuntary bankruptcy? Y/N

Have you ever been party to a mortgage foreclosure? Y/N

Do you intend to default on any current or future obligations? Y/N

Are you currently engaged in or do you intend to engage in any illegal conduct? Y/N

Are you currently engaged in or do you intend to engage in any unethical conduct? Y/N

Are you currently engaged in or do you intend to engage in any commercially questionable conduct? Y/N

Are you currently engaged in or do you intend to engage in any potentially culpable conduct? Y/N

Have you ever had any professional, drivers or other license suspended or denied? Y/N

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**ASSET PROTECTION AND TRANSFER STRATEGIES  
DOCUMENT CHECKLIST  
(Please provide copies of all documents that you have.)**

Name: \_\_\_\_\_

- \_\_\_ **DEEDS TO REAL PROPERTY**
- \_\_\_ **MORTGAGES**
- \_\_\_ **PROPERTY TAX STATEMENTS**
- \_\_\_ **PROPERTY SURVEY, TAX MAP, ETC.**
- \_\_\_ **LEASES**
- \_\_\_ **PROMISSORY NOTES**
- \_\_\_ **JUDGMENTS**
- \_\_\_ **CONTRACTS**
- \_\_\_ **DEFICIENCY NOTICES**
- \_\_\_ **CEASE & DESIST ORDERS**
- \_\_\_ **LAWSUIT SUMMMONS AND COMPLAINT**
- \_\_\_ **RETIREMENT ACCOUNT STATEMENTS**
- \_\_\_ **BANK ACCOUNT STATEMENTS**
- \_\_\_ **BROKERAGE ACCOUNT STATEMENTS**
- \_\_\_ **MONEY MARKET ACCOUNT STATEMENTS**
- \_\_\_ **MUTUAL FUND STATEMENTS**
- \_\_\_ **LIFE INSURANCE POLICY COVER SHEETS**
- \_\_\_ **LONG-TERM CARE INSURANCE POLICY COVER SHEETS**
- \_\_\_ **PRE-PAID FUNERAL CONTRACTS**
- \_\_\_ **ANNUITY CONTRACTS**
- \_\_\_ **BUSINESS FORMATION CERTIFICATES**
- \_\_\_ **SHAREHOLDER/PARTNERSHIP/OPERATING AGREEMENTS**
- \_\_\_ **529 COLLEGE SAVINGS PLAN STATEMENTS**
- \_\_\_ **TRUST DOCUMENTS**
- \_\_\_ **LAST WILL AND TESTAMENT**
- \_\_\_ **GENERAL DURABLE POWER OF ATTORNEY/ SPECIAL POWERS**
- \_\_\_ **ADVANCE HEALTH CARE DIRECTIVE**
- \_\_\_ **STOCK CERTIFICATES**
- \_\_\_ **BONDS**
- \_\_\_ **MILITARY DISCHARGE PAPERS (e.g. DD-214)**