



Scott, Tokernud & McCarty, P.C.  
Attorneys and Counselors

## CLIENT INFORMATION ORGANIZER

*ESTATE PLANNING and ADMINISTRATION*

Eight 3rd Street North, Suite 507

D.A. Davidson Building

Post Office Box 1484

Great Falls, Montana 59403

(406) 727-2200 or (406) 727-2227 Facsimile

[www.MontanaEstateLawyer.com](http://www.MontanaEstateLawyer.com)

**SIMPLE BACKGROUND INFORMATION**

The information you provide in this section provides us with important objective information

**Client 1 Information**

Full Legal Name \_\_\_\_\_  
(Name most often used to title property and accounts)

Also Known As \_\_\_\_\_  
(Other names used to title property and accounts)

Please print how you want your name to appear on your documents: \_\_\_\_\_

Prefer to be called \_\_\_\_\_ Birth date \_\_\_\_\_ SS# XXX-XX-\_\_\_\_\_ US Citizen? \_\_\_\_\_

Home Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Home Telephone \_\_\_\_\_ County of Residence \_\_\_\_\_

Business Telephone \_\_\_\_\_ Cell Phone \_\_\_\_\_

What is the best way to contact you during working hours Monday through Friday? \_\_\_\_\_

Employer \_\_\_\_\_ Position \_\_\_\_\_

E-mail Address \_\_\_\_\_ Is it okay to communicate with you via email? Yes  No

Never Married  Married  Widowed  Divorced  US Veteran  Spouse of US Veteran

Is either of your parents still living? Yes  No

Is either of your grandparents still living? Yes  No

**Client 2 Information**

Full Legal Name \_\_\_\_\_  
(Name most often used to title property and accounts)

Also Known As \_\_\_\_\_  
(Other names used to title property and accounts)

Please print how you want your name to appear on your documents: \_\_\_\_\_

Prefer to be called \_\_\_\_\_ Birth date \_\_\_\_\_ SS# XXX-XX-\_\_\_\_\_ US Citizen? \_\_\_\_\_

Home Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Home Telephone \_\_\_\_\_ County of Residence \_\_\_\_\_

Business Telephone \_\_\_\_\_ Cell Phone \_\_\_\_\_

What is the best way to contact you during working hours Monday through Friday? \_\_\_\_\_

Employer \_\_\_\_\_ Position \_\_\_\_\_

E-mail Address \_\_\_\_\_ Is it okay to communicate with you via email? Yes  No

Never Married  Married  Widowed  Divorced  US Veteran  Spouse of US Veteran

Date of Marriage \_\_\_\_\_ Existing Pre- or Postnuptial Agreement? \_\_\_\_\_

Is either of your parents still living? Yes  No

Is either of your grandparents still living? Yes  No

**STEP**

**2**

# CHILDREN, GRANDCHILDREN AND OTHER POTENTIAL “INDIVIDUAL” BENEFICIARIES

Identify all children and grandchildren. Also identify other individuals who you may wish to be beneficiary of your estate. Please use full legal names. Note: Listing a person in this section is not a firm indication of your decision to provide for a particular individual. Rather, it is simply a means of identifying individuals for discussion purposes. (Use additional sheet (page 3), if necessary)

**Special Note When Identifying Children:** For “Children” use “JT” if both spouses are the parents, “H” if husband is the parent, “W” if wife is the parent, “S” if a single parent.

Name/Address/Telephone Number	Birth date	Relationship to Client (s)
1 _____ _____	_____	_____
2 _____ _____	_____	_____
3 _____ _____	_____	_____
4 _____ _____	_____	_____
5 _____ _____	_____	_____
6 _____ _____	_____	_____

**Please use the next page of this organizer for additional children, grandchildren and potential beneficiaries.**

Do any of the above individuals have special educational, medical or physical needs, or receive governmental benefits?  
 Yes     No

Do any of the above individuals have any potential problems with drug or alcohol abuse?     Yes     No

Are you concerned with any of the above individuals’ ability to handle/manage money?     Yes     No

Have any of the above individuals suffered a divorce?     Yes     No

Are you concerned with your children’s ability to get along with one another?     Yes     No

# CHILDREN, GRANDCHILDREN AND OTHER POTENTIAL “INDIVIDUAL” BENEFICIARIES (CONTINUED)

**Special Note When Identifying Children:** For “Children” use “JT” if both spouses are the parents, “H” if husband is the parent, “W” if wife is the parent, “S” if a single parent.

Name/Address/Telephone Number	Birth date	Relationship to Client (s)
7	_____	_____
8	_____	_____
9	_____	_____
10	_____	_____
11	_____	_____
12	_____	_____
13	_____	_____
14	_____	_____
15	_____	_____
16	_____	_____

**STEP**

**3**

## POTENTIAL "CHARITABLE" BENEFICIARIES

Many, but not all, of our clients desire to direct a portion of their estate toward charities or other non-profit organizations. Whether it is your church, college, social club, or favorite philanthropy, you may have the same desires. Take a moment and contemplate whether you would ever include such a bequest within your legacy plan. Note: Listing a particular organization in this section is not a firm indication of your decision to make a bequest. Rather, it is simply a means of identifying charities or non-profit organizations for discussion purposes.

**Name of Charity or Non-Profit Organization**

**Address**

1 \_\_\_\_\_

\_\_\_\_\_

2 \_\_\_\_\_

\_\_\_\_\_

3 \_\_\_\_\_

\_\_\_\_\_

4 \_\_\_\_\_

\_\_\_\_\_

**4**

## PEOPLE WHO ADVISE YOU

Your various advisors play a key role in the establishment of your estate plan. We believe in a team approach to planning. At a minimum, we may need to contact, your financial advisor and life insurance agent to confirm and/or change beneficiary designations and titling of accounts, and we may need to contact your accountant relative to income tax matters.

**MAY WE CONTACT YOUR ADVISORS?**  **Yes**  **No**

**Name**

**Telephone**

Tax Advisor (CPA, EA, etc.) \_\_\_\_\_

\_\_\_\_\_

Family Attorney \_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

Financial Advisor \_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

Banker \_\_\_\_\_

\_\_\_\_\_

Other Advisor \_\_\_\_\_

\_\_\_\_\_

Other Advisor \_\_\_\_\_

\_\_\_\_\_

# CONCERNS & ANXIETIES

Our objective is to assist clients in identifying their concerns and anxieties. All too often in the planning process, a client will discover that there are other more pressing concerns than the one that caused them to begin the planning process. Please review the following risks that we frequently hear from clients, identify those risks which concern you, and provide us with some sense about how concerned you are with that particular risk. This information will assist us in focusing our conversations towards the issues that are the most pressing to you.

**If the responses in this section are different as to Client 1 and 2, please indicate those differences.**

	<u>Level of Concern (if any)</u>			
	None	Low	Medium	High
<b>Tax Concerns</b>				
Risk of the IRS “inheriting” half the estate when we die ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of capital gains taxes paid on the sale of property ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unnecessary income taxes being paid on investment assets ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Financial Concerns</b>				
Risk that you will be unable to maintain your standard of living during retirement ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that assets will be completely consumed to provide for care in the event of disability ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Family Concerns</b>				
Risk of persons other than those we select gaining custody of any minor children.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that assets left to your spouse (whether by virtue of joint tenancy or by will) might not pass to your intended heirs as a result of your spouse remarrying.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of a child or other beneficiary losing his or her inheritance due to creditors, lawsuits or to a divorcing spouse.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of a child or other beneficiary losing his or her inheritance due to mismanagement of the money ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that upon the death of a child or other beneficiary, any inheritance received by that person might pass to a spouse (who may later remarry) rather than passing to a grandchild or other preferred heir.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that an inheritance passing to a minor child or grandchild might be squandered or stolen by the person in charge of managing the money for that grandchild ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that an inheritance received by a child or other beneficiary who has a disability would render them ineligible for governmental benefits ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unnecessary litigation from heirs who receive less than they think they are entitled to ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of estate passing unequally due to nature of assets owned (i.e., when a business or a parcel of real estate comprises most of the value of the estate)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## CONCERNS & ANXIETIES (CONTINUED)

	<u>Level of Concern (if any)</u>			
	None	Low	Medium	High
Risk that heirs will not fully appreciate the values and virtues used to create the inheritance ... ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that parents, who may need financial assistance, are not provided for...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that children will not provide grandchildren with funding for education...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Disability Concerns</b>				
Risk of loss of control over your assets in event of your disability .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of legal guardianship and conservatorship in event of your disability ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unwanted efforts made to save your life if you feel that it's best to cease such efforts and die peaceably and without pain... ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that health care personnel will not disclose health care information to loved ones due to lack of proper HIPAA releases .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of an unnecessary conservatorship over an incapacitated adult child in order to make health care decisions for that child .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Creditor Concerns</b>				
Risk of lawsuits against you..... ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of loss of your assets to a nursing home .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that a co-owner's creditor may seize the property you co-own jointly, in order to satisfy the debt of the co-owner .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Post-Death Concerns</b>				
Risk of unnecessary cost and delays associated with the estate passing through probate .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of having to sell assets in a "fire sale" in order to create the liquidity needed to pay taxes and expenses .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that the person (s) charged with managing your affairs after you've passed will innocently make mistakes because he or she is unaware of what is required and is unaware of the personal liability for those mistakes .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of private matters unnecessarily being made public .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## CONCERNS & ANXIETIES (CONTINUED)

	<u>Level of Concern (if any)</u>			
	None	Low	Medium	High
Risk that real property you intend to devise to your children will be reassessed for property taxes upon transfer .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that property you intend to preserve in the family will have to be sold upon your death.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Business Concerns</b>				
Risk that corporate shield will fail to protect corporate assets because corporate meetings have not been held annually, corporate minutes kept, officers elected, etc.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of lawsuits by employees due to out-of-date or non-existent employee agreements ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of business failure due to the lack of a business succession plan.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unnecessary expenses associated with the sale of a business because of the absence of an exit plan having been prepared ahead of time .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk of unintended financial results stemming from a Buy/Sell Agreement that is out of date and/or underfunded ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that your business will fail on your disability or death .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that key employees will leave the business on your disability or death .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Risk that the business will not sell for full value after your disability or death.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**STEP****6****APPOINTMENTS - PEOPLE TO ASSIST YOU**

One of the most important aspects of any estate plan is the “appointment” of various persons to assist you and your family in times of need - particularly when death or disability strikes. These appointed “helpers” are called by different names depending on the type of estate plan you elect to implement. In this Section, we try to avoid labels. Instead, we focus on the roles these helpers play in protecting your family and your estate.

**Successor to you**

Who will serve as guardian for your minor children (if any)?

		Client 1 Responses	Client 2 Responses
<b>Guardians</b>	<b>First Choice</b>		
	<b>Second Choice</b>		
	<b>Third Choice</b>		

If you were incapacitated for any period of time, who would you choose to handle your financial affairs?

		Client 1 Responses	Client 2 Responses
<b>Financial Successor</b>	<b>First Choice</b>		
	<b>Second Choice</b>		
	<b>Third Choice</b>		

If you were incapacitated for any period of time, who would you choose to make health care decisions for you

		Client 1 Responses	Client 2 Responses
<b>Health Care Successor</b>	<b>First Choice</b>		
	<b>Second Choice</b>		
	<b>Third Choice</b>		

If you are deceased, who would you choose to administrate and distribute your estate?

		Client 1 Responses	Client 2 Responses
<b>Estate Fiduciary</b>	<b>First Choice</b>		
	<b>Second Choice</b>		
	<b>Third Choice</b>		

# ASSET ASSESSMENT

Determining the ownership, value and character of your assets is important to your estate and legacy plan. The title “ownership” is important for tax and transfer matters. The “value” will be significant in determining potential tax liability. The “character” is relevant in assessing the manner by which the asset can transfer.

ASSETS	CLIENT 1		CLIENT 2		JOINT OWNERSHIP	
	# of Assets	Total Value	# of Assets	Total Value	# of Assets	Total Value
Cash Accounts (i.e. checking, savings, CD, Money Market)						
Investment Accounts (i.e. brokerage accounts)						
Bonds (not held in an investment account)						
Stocks (not held in an investment account)						
Company Stock Options						
Personal Effects (i.e. jewelry, household items, art, vehicles, boats, planes, RV's other “toys,” etc.)						
Retirement Plans (401k, IRAs, etc.)						
Pension Plans						
Life Insurance Policies (death value)						
Annuities						
Partnership & LLC Interests						
Corp. Business Interests (S-Corp or LLC)						
Sole Proprietorship Interest						
Oil, Gas, and Mineral Interest						
Monies Owed to You (promissory notes)						
Personal Residence						
Other Montana Real Property						
Other Out-of-State Real Property						
Other Assets						
Anticipated Inheritance, Gift, or Judgment						
<b>TOTAL ASSET VALUE</b>						
<b>LIABILITIES</b>						
Loans Payable						
Accounts Payable						
Real Estate Mortgages						
Other Liabilities						
<b>TOTAL LIABILITIES</b>						
<b>NET ESTATE</b> (Total Assets minus Total Liabilities)						

## ABOUT YOUR GOALS & OBJECTIVES

Before we meet, it is important to us to better understand what prompted you to schedule this appointment. Don't focus on the tools to be used but rather on the outcomes to be achieved.

### About Your Goals & Objectives

Goals	Consequences if Goal Isn't Accomplished
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

### Additional Documentation

**General Document Request.** In some instances, it is necessary for us to review other documents before we can make planning recommendations. If possible, please bring with you to the initial interview the following documentation:

1. Copies of existing planning documents, including wills, trusts, powers of attorney, health care directives, etc.
2. Pre or Postnuptial Agreement (if applicable).
3. Divorce Decree or Property Settlement Agreement for divorce under which continued obligations exist.

**Congratulations on completing this organizer.**

**YOU ARE NOW ONE STEP CLOSER TO MAKING YOUR LEGACY MATTER.**