# CLIENT GOALS AND DATA TOOL

The first step in any planning process is to learn as much as possible about our client. We do this with you through data gathering and goal setting. We provide a data gathering and goal setting tool to help in this process.

The Voeller Law Firm

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# PLANNING GOALS AND OBJECTIVES WORKBOOK

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*Please rank all the following goals in order of importance to you.*


____ Ensure lifetime financial independence (Protect Cash Flow)

____ Reduce Income Taxes

____ Protect my assets

____ Minimize estate taxes

____ Plan for disability

____ Maximize the amount I pass to my heirs

____ Reduce estate taxes

____ Plan for an orderly business succession

____ Make sure my heirs do not have to sell assets to pay estate taxes

____ Create or benefit a charitable organization

____ Create a plan to ensure wealth is preserved for many generations to come

____ Other ______________________________

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## *Which statements best reflect your thinking? (Check all that apply)*

____ I am used to complexity and view it as necessary and acceptable to accomplishing my goals.

____ I will tolerate some complexity if it will help me achieve my goals.

____ I have little tolerance for complexity but will endure it only if I can understand how it will help me achieve my goals.

____ I have no tolerance for complexity and would give up some of my goals if they make my life too complicated.

____ I understand that complexity is necessary to achieve my goals but would prefer to have someone else handle the details.

____ I want the least amount of complexity possible in my planning.

## *Which of the following aspects of wealth are important to you? (Check all that apply)*

____ Freedom to control my life.

____ Financial security/peace of mind.

____ Ability to help others in the community.

____ Ability to take care of my family.

____ Ability to direct my resources to make the world a better place.

____ Ability to start or invest in a new business.

____ Time to pursue personal interests or hobbies.

____ Other

*How well are your heirs prepared to manage your inheritance?*
*Rank 1-5 (1=could not manage, 3=could use more help, 5=could manage)*

1 2 3 4 5

| Name | Rank |
|---|---|
| | |
| | |
| | |
| | |
| | |
| | |

*Which of the following statements best reflects your thinking?*

_____ I do not wish to disclose or discuss the family's finances with my heirs.

_____ I wish to be completely open with my heirs regarding the family wealth and their future inheritance.

_____ I will disclose my plan to my heirs after they reach age _____ .

_____ I will disclose my plan to my heirs after they display more financial responsibility.

*What other information do you think would be important for us to know?*

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# *Client Information*

Client #1

Last Name ________________ First Name _____________ Middle Initial _____

Nickname_________________

Birthdate (MM/DD/YYYY) ______________

Home Address ________________________________________

City _____________ State __________ Zipcode ________________

Employer _______________________ Position ________________

___ Married ___ Divorced ___ Single ___U.S. Citizen

Client #2

Last Name ________________ First Name _____________ Middle Initial _____

Nickname_________________

Birthdate (MM/DD/YYYY) ______________

Home Address ________________________________________

City _____________ State __________ Zipcode ________________

Employer _______________________ Position ________________

___ Married ___ Divorced ___ Single ___U.S. Citizen

## *Family Information*

| Children's Names | Birthdate (MM/DD/YYYY) | Married (Y/N) |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

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## *Cash, Savings, CD's*

| Institution / Type / Account # | Client #1 | Client #2 | Joint |
| --- | --- | --- | --- |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |

## *Marketable Securities - Equities (Stocks)*

| Institution / Type / Account # | Client #1 | Client #2 | Joint |
| --- | --- | --- | --- |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |

# *Marketable Securities - Fixed Income (Bonds)*

| Institution / Type / Account # | Client #1 | Client #2 | Joint |
|---|---|---|---|
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |

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## *Annuities/Deferred Compensation*

| Institution / Type / Account # | Client #1 | Client #2 | Joint | Basis |
|---|---|---|---|---|
| | $ | $ | $ | $ |
| | $ | $ | $ | $ |
| | $ | $ | $ | $ |
| | $ | $ | $ | $ |
| | $ | $ | $ | $ |
| | $ | $ | $ | $ |
| | $ | $ | $ | $ |

## *Other Investments*

*Note: These include hedge funds, non-traded securities oil and gas interests, third-party real estate partnerships, notes owed to you and other passive interests.*

| Entity / Type / % of Ownership | Client #1 | Client #2 | Joint |
|---|---|---|---|
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |

## *Closely Held Business*

| Entity / Type / % of Ownership | Client #1 | Client #2 | Joint |
|---|---|---|---|
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |

## *Retirement Plans*

| Entity / Type / % of Ownership | Client #1 | Client #2 |
|---|---|---|
| | $ | $ |
| | $ | $ |
| | $ | $ |
| | $ | $ |
| | $ | $ |
| | $ | $ |
| | $ | $ |

## *Residential Real Estate*

| Entity / Location / % of Ownership | Client #1 | Client #2 | Joint | Yield | Growth |
|---|---|---|---|---|---|
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |

## *Investment Real Estate*

| Location / Description | Client #1 | Client #2 | Joint | Yield | Growth |
|---|---|---|---|---|---|
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |
| | $ | $ | $ | | |

# *Other Personal Assets*

| Autos | Client #1 | Client #2 | Joint | Growth |
|---|---|---|---|---|
| | $ | $ | $ | % |
| | $ | $ | $ | % |
| | $ | $ | $ | % |

| Other Personal Property | Client #1 | Client #2 | Joint | Growth |
|---|---|---|---|---|
| | $ | $ | $ | % |
| | $ | $ | $ | % |
| | $ | $ | $ | % |

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# *Personal Liabilities*

| Personal Liability / Corresponding Asset | Client #1 | Client #2 | Joint |
|---|---|---|---|
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |

# *Commercial Liabilities*

| Commercial Liability / Corresponding Asset | Client #1 | Client #2 | Joint |
|---|---|---|---|
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |
| | $ | $ | $ |

# *Insurance*

*Note: If term insurance, please include expiration date of policy*

| Company / Type of Insurance<br>Policies owned by client #1 | Insured | Policy # | Beneficiary | Premium | Cash Value | Death Benefit |
|---|---|---|---|---|---|---|
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |

| Policies owned by client #2 | Insured | Policy # | Beneficiary | Premium | Cash Value | Death Benefit |
|---|---|---|---|---|---|---|
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |

| Policies owned by Life Insurance Trusts | Insured | Policy # | Beneficiary | Premium | Cash Value | Death Benefit |
|---|---|---|---|---|---|---|
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |
| | | | | $ | $ | $ |

# *Data & Document Checklist*

## *Personal Documents*

_____ Personal Income Tax Returns (most recent 2 years)

_____ Wills

_____ Trusts

_____ Powers of Attorney

_____ Pre-Nuptial Agreements

_____ Investment Account Statements

_____ Employee Benefit Plans

_____ Deferred Compensation Agreements

## *Business Documents*

_____ Business Income Tax Returns (most recent 2 years)

_____ Recent Business Balance Sheet

_____ Recent Business Cash Flow Statement

_____ Business Operating Agreements

_____ Business Basis Information

_____ Buy Sell Agreements

_____ Employee Benefit Plans