

# Personal Financial Affairs

*Your Book of Records*



## **Personal Financial Affairs Record of:**

**Information contained here is current as of (date):** \_\_\_\_\_

We are pleased to present this booklet to you as a convenient method of recording information about your personal financial affairs. The information you collect in your Record of Personal Financial Affairs can have several practical uses:

- Summarize your present financial position,
- Inform your attorney and other advisors of your assets and objectives, and
- Assist your family members in the event of your absence or incapacity.

We recommend that you first review the booklet to determine the information that will be needed to complete it. Then collect the certificates, documents, records and other information you will need to record accurate financial data.

Preparing your record of Personal Financial Affairs may reveal areas where you will want to make changes or take some additional action. After these actions are taken, make it a point to keep the booklet up-to-date. An annual review is strongly recommended.

The time you spend completing this booklet can be very rewarding. You will have the satisfaction of knowing that your financial affairs are in order and that you have taken steps to assure the effective management of your assets.

If we can be of assistance to you, please feel free to call.

### Individual and Family Background

Legal residence \_\_\_\_\_  
\_\_\_\_\_

Occupation \_\_\_\_\_  
\_\_\_\_\_

Social Security # \_\_\_\_\_

Date and place of birth \_\_\_\_\_  
\_\_\_\_\_

married  single  divorced  widowed

Date and place of marriage \_\_\_\_\_  
\_\_\_\_\_

Prior marriages (date and place) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Children: name, birth date, natural, adopted or stepchild? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Other close relatives (if any):

Name \_\_\_\_\_

Relationship \_\_\_\_\_

Address \_\_\_\_\_

Name \_\_\_\_\_

Relationship \_\_\_\_\_

Address \_\_\_\_\_

### Employment, Compensation and Benefits

Employer \_\_\_\_\_

Date of hire \_\_\_\_\_

Position/title \_\_\_\_\_  
\_\_\_\_\_

Salary \$ \_\_\_\_\_ per \_\_\_\_\_

Bonus/commission \_\_\_\_\_

Check all that apply:

Medical Insurance

Group Life Insurance

Amount \$ \_\_\_\_\_

Primary beneficiary \_\_\_\_\_

Secondary beneficiary \_\_\_\_\_

Disability Insurance

IRA (specify:  Traditional  Roth)

Pension/Profit Sharing/ 401(k) Plan

Value of death benefits \_\_\_\_\_

Beneficiary \_\_\_\_\_

Form of payout elected \_\_\_\_\_

Other employment benefits (describe)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Wills and Trusts

### Will

Have you executed a will? \_\_\_\_\_

Date of execution \_\_\_\_\_

By whom was it drafted? (Name and address of attorney) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name and address of executor of will \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Special instructions to executor or beneficiaries \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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### Trusts

Have you created a living trust agreement? \_\_\_\_\_

\_\_\_\_\_

How many? \_\_\_\_\_

\_\_\_\_\_

Are these agreements

revocable?

irrevocable?

Are any of the trusts related to a pour-over provision in your will? \_\_\_\_\_

Names and addresses of the trustees \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Names and addresses of the beneficiaries \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Approximate value of trusts \$ \_\_\_\_\_

Nature of properties included in trusts \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name and address of the attorney drafting the trust(s) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If the property is not in your name alone, who is/are the co-owner(s)? \_\_\_\_\_  
\_\_\_\_\_

Is there a right of survivorship? \_\_\_\_\_

- Have you executed  
 power of attorney?  
 health care proxy?  
 living will?

### Non-Residential Real Estate

Location of property #1 \_\_\_\_\_  
\_\_\_\_\_

Description \_\_\_\_\_  
\_\_\_\_\_

Approximate value \$ \_\_\_\_\_

Mortgagor \_\_\_\_\_  
\_\_\_\_\_

Mortgage \$ \_\_\_\_\_

Is property leased? \_\_\_\_\_

Name of lessee \_\_\_\_\_  
\_\_\_\_\_

Duration of lease \_\_\_\_\_

Annual rent \$ \_\_\_\_\_

If the property is not in your name alone, who is/are the co-owner(s)? \_\_\_\_\_  
\_\_\_\_\_

### Inventory of Assets

#### Residential Real Estate

Location #1 \_\_\_\_\_  
\_\_\_\_\_

Description \_\_\_\_\_  
\_\_\_\_\_

Approximate value \$ \_\_\_\_\_

Mortgage \$ \_\_\_\_\_

Mortgagor \_\_\_\_\_  
\_\_\_\_\_

If the property is not in your name alone, who is/are the co-owner(s)? \_\_\_\_\_  
\_\_\_\_\_

Is there a right of survivorship? \_\_\_\_\_

Location #2 \_\_\_\_\_  
\_\_\_\_\_

Description \_\_\_\_\_  
\_\_\_\_\_

Approximate value \$ \_\_\_\_\_

Mortgage \$ \_\_\_\_\_

Mortgagor \_\_\_\_\_  
\_\_\_\_\_

Is ownership

- tenancy-in-common?
- joint tenancy?
- community property?

Location of property #2 \_\_\_\_\_  
\_\_\_\_\_

Description \_\_\_\_\_  
\_\_\_\_\_

Approximate value \$ \_\_\_\_\_

Mortgagor \_\_\_\_\_ Duration of lease \_\_\_\_\_  
 \_\_\_\_\_ Annual rent \$ \_\_\_\_\_

Mortgage \$ \_\_\_\_\_ If the property is not in your name alone, who  
 is/are the co-owner(s)? \_\_\_\_\_

Is property leased? \_\_\_\_\_  
 Name of lessee \_\_\_\_\_

\_\_\_\_\_ Is ownership  
 \_\_\_\_\_  tenancy-in-common?  
 \_\_\_\_\_  joint tenancy?  
 \_\_\_\_\_  community property?

**Stock**

Shares	purchase date	cost	value

Name of co-owner, if any \_\_\_\_\_  
 Special dividend arrangements are \_\_\_\_\_

**Bonds**

Denomination	purchase date	cost	value

**Mutual Fund Shares**

Shares	purchase date	cost	value

If any shares are not solely owned by you, the co-owner(s) is/are \_\_\_\_\_  
 \_\_\_\_\_

**Bank Accounts and Certificates**

**Checking Accounts**

Bank	Account Number	Co-owner	Avg. Balance
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Savings Accounts**

Bank	Account Number	Co-owner	Avg. Balance
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Life Insurance Policies**

**1) Policies on your own life**

Policy number \_\_\_\_\_

Company \_\_\_\_\_

Principal amount \$ \_\_\_\_\_

Cash value \$ \_\_\_\_\_

Beneficiaries \_\_\_\_\_

Loans against the policy \$ \_\_\_\_\_

Location of policy \_\_\_\_\_



Loans against the policy \$ \_\_\_\_\_

Location of policy \_\_\_\_\_

**2) Policies you own on the life of another**

Policy number \_\_\_\_\_

Company \_\_\_\_\_

Principal amount \$ \_\_\_\_\_

Cash value \$ \_\_\_\_\_

Beneficiaries \_\_\_\_\_

**Certificates of Deposit**

Institution holding \_\_\_\_\_

Amount \$ \_\_\_\_\_

Maturity date \_\_\_\_\_

Co-owners \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Institution holding \_\_\_\_\_  
\_\_\_\_\_

Amount \$ \_\_\_\_\_

Maturity date \_\_\_\_\_

Co-owners \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Business Interests**

***Nature of Ownership***

Do you have ownership in a business or profession? \_\_\_\_\_

Is the business

- a proprietorship?
- a partnership?
- a corporation?     C     S
- a family limited partnership?
- a limited liability company?

If you do not have sole interest, what is the percent of your ownership? \_\_\_\_\_

Other owners of the business or profession:

Name \_\_\_\_\_

Age \_\_\_\_\_

Percentage of ownership \_\_\_\_\_

Name \_\_\_\_\_

Age \_\_\_\_\_

Percentage of ownership \_\_\_\_\_

Name \_\_\_\_\_

Age \_\_\_\_\_

Percentage of ownership \_\_\_\_\_

***Sale of the Business after Death***

Is your estate committed to sell the business after your death? \_\_\_\_\_

Indicate the parties to this agreement \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of agreement \_\_\_\_\_

Sources of funds to carry out transaction \_\_\_\_\_  
\_\_\_\_\_

What is the value of the business \$ \_\_\_\_\_

Your interest in it \_\_\_\_\_  
\_\_\_\_\_

**Tangible Personal Property**

Do you maintain a list of your valuable possessions? \_\_\_\_\_

Where is the list located? \_\_\_\_\_  
\_\_\_\_\_

Indicate the major items of value within each category:

Automobiles \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Home furnishings \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Jewelry \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Antiques and art \_\_\_\_\_ Amount \$ \_\_\_\_\_  
 \_\_\_\_\_ Location of note \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Due date \_\_\_\_\_  
 \_\_\_\_\_ Collateral \_\_\_\_\_  
 \_\_\_\_\_

Other tangibles \_\_\_\_\_ Terms of payment \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ I owe money or am financially obligated to \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Other assets (describe) \_\_\_\_\_ Amount \$ \_\_\_\_\_  
 \_\_\_\_\_ Location of note \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Due date \_\_\_\_\_  
 \_\_\_\_\_ Collateral \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Terms of payment \_\_\_\_\_  
 \_\_\_\_\_

**Liabilities**

I owe money or am financially obligated to \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Amount \$ \_\_\_\_\_  
 Location of note \_\_\_\_\_  
 \_\_\_\_\_  
 Due date \_\_\_\_\_  
 Collateral \_\_\_\_\_  
 \_\_\_\_\_  
 Terms of payment \_\_\_\_\_  
 \_\_\_\_\_  
 I owe money or am financially obligated to \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Personal Advisors**

Indicate the name, address, telephone number and email of your:  
 Physician(s) \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Clergy \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Insurance agent \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Attorney \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Trust officer \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Accountant \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Investment broker \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Financial planner \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Other \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Location of Key Documents**

Birth certificate \_\_\_\_\_  
\_\_\_\_\_

Marriage certificate \_\_\_\_\_  
\_\_\_\_\_

Prenuptial agreement \_\_\_\_\_  
\_\_\_\_\_

Divorce papers \_\_\_\_\_  
\_\_\_\_\_

Naturalization (citizenship) papers \_\_\_\_\_  
\_\_\_\_\_

Passport \_\_\_\_\_

Employment records (including benefits) \_\_\_\_\_  
\_\_\_\_\_

Tax returns \_\_\_\_\_  
\_\_\_\_\_

Last will and testament (original) \_\_\_\_\_  
\_\_\_\_\_

Funeral/burial instructions \_\_\_\_\_  
\_\_\_\_\_

Deeds to real estate \_\_\_\_\_  
\_\_\_\_\_

Stock certificates, bonds, mutual fund shares \_\_\_\_\_  
\_\_\_\_\_

Living will \_\_\_\_\_  
\_\_\_\_\_

Power of attorney \_\_\_\_\_  
\_\_\_\_\_

Health care proxy \_\_\_\_\_  
\_\_\_\_\_

Safety deposit box \_\_\_\_\_  
\_\_\_\_\_

Business buy-sell agreements \_\_\_\_\_  
\_\_\_\_\_

