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Client intake form – QDRO preparation

1. PETITIONER'S INFORMATION
   a. Name: ____

   b. Address:____
   ____

   Home Telephone:__________________Work Telephone:___________________
   Cell Phone: _______________________ Email Address:____________________

   Date of birth: _______________ Social Security Number: _________________

   c. Is Petitioner represented by counsel? Yes ___ No____
   d. Preferred contact is with _____ client directly ____ counsel

   e. **Petitioner's Attorney:**

   Name:____

   Address:____
   ____
   Telephone:________________ Fax:_______________Email:_________________

2. RESPONDENT'S INFORMATION
   a. Name: ____

   b. Address:____
   ____

   Home Telephone:__________________Work Telephone:___________________
   Cell Phone: _______________________ Email Address:____________________

   Date of birth: _______________ Social Security Number: _________________

   c. Is Respondent represented by counsel? Yes ___ No____
   d. Preferred contact is with _____ client directly ____ counsel

   e. **Respondent's Attorney**
   Name:____

Address:____

____

Telephone:__________________ Fax:_________________Email:___________________

3. WAS THERE A MEDIATOR IN YOUR CASE? Yes ___________ No ________

If so, please provide the name, address, and telephone number of the mediator:

Name: ____
Address: ____
_____________________________________ Phone No.: ________________________

4. OUR REPRESENTATION OF YOU
   a. Is this office retained in a neutral capacity? Yes _______ No ________
   b. If not, whom do we represent?
      ☐ Petitioner (Name: ____)
      ☐ Respondent (Name: ____)
   c. **If jointly retained: is it okay to email the parties *jointly?*** Yes______ No______
5. MARITAL INFORMATION/DOCUMENTS
   a. Is there a current restraining order in place? Yes________ No_________

      Please provide a copy of any current RO.
   b. Was there a registered domestic partnership that pre-dated the marriage of these same parties? Yes______ No_________

      If so, please list the registration date: ___________________.

   c. Date of Marriage:_________________ Date of Separation: ______________________

   d. Do the parties agree on the date of separation? Yes_____ No________

   e. Is the agreed upon date of separation set out in a Judgment of Dissolution of Marriage? Yes_____ No_______

      If there is not an agreed upon date of separation, or the agreed-upon date of separation is not set out in a Judgment of Dissolution, please provide a copy of the Petition and the Response.

   f. Has a Judgment of Dissolution been entered by the Court which ends the marital status? Yes_______ No_________

      If so, please attach a copy of the Judgment of Dissolution of Marriage which ends the parties' status.

   g. Have any other orders been entered by the Court that contain provisions regarding the retirement benefits, pension benefits, 401(k)s or IRAs which were earned during the marriage? Yes__________ No_________

      If so, please attach a copy of these court orders and/or Judgments.

h. Have any other agreements been reached (e.g. private agreements or Marital Settlement Agreements) that contain provisions regarding retirement benefits, pension benefits, 401(k)s or IRAs which were earned during the marriage? Yes_________ No___________

If so, please attach a copy of these agreements.

IF YOU HAVE PROVIDED NO JUDGMENT OR PETITION/RESPONSE, PLEASE PROVIDE A COPY OF A COURT DOCUMENT THAT CONTAINS THE HEADINGS FOR THE CASE.

6. RETIREMENT PLAN OR ACCOUNT INFORMATION & DOCUMENTS

In general, there are two kinds of retirement benefits. A brief definition of each of those two kinds of benefits is listed below. Please read it carefully, so that you will be able to complete the remaining pages of this client intake form:

Defined Benefit Plans - A defined benefit plan is a "pension" or similar retirement plan which provides for payment in the form of monthly benefits starting at a defined retirement age. As a rule, defined benefit plans are funded by contributions by the employer, not the employee, although there are exceptions to this rule.

Additionally, defined benefit plans are often based on "years of credit" or some multiplier of employer contributions.

Defined Contribution Plans and Accounts - A defined contribution plan is a retirement plan with an "account", funded by the employees' contributions or by the employers' contributions or both, where the value of the account is exactly the same as the dollar balance in the account. Defined contribution plans include 401(k) plans, profit-sharing plans, 403(b) plans, and deferred compensation plans. Additionally, tax-sheltered annuities and IRA accounts are "defined contribution" accounts.

One "Defined Benefit Plan" page and one "Defined Contribution Plan" page are attached to this Client Intake Form. **Please photocopy those pages, so that you can complete a separate page for each plan or account.**

Please complete a separate page for each plan or account for which you need a Qualified Domestic Relations Order or an IRA Transfer Order. Additionally, please complete a separate page for any account which will be included in the calculations for a QDRO or IRA Transfer Order – for instance, if the Judgment names a number of plans or accounts and states that the accounts will be equalized, so that only one or two QDROs need to be drafted, please complete a separate page for each of those named plans or accounts.

DEFINED BENEFIT PLAN ("PENSION PLAN") INFORMATION FORM

INSTRUCTIONS:

Please complete this form as thoroughly as you can and please provide as many of the requested documents as you can. For instance, if you don't know the exact name of the plan, tell me what you think the name of the plan is or might be.

1. Participant's Name: ______________________________

2. Name of Plan: ______________________________

3. Name, address and telephone of plan administrator: ______________________________
____
____
____

4. Name, address and telephone of the company (employer) which sponsors the plan:
____
____
____

5. Date when the participant first earned credit in the plan: ______________________________

6. Has the participant retired? Yes ______ No ______

7. If the participant has not retired, does he or she still work for this employer?
Yes ____ No _____

   If not, when did the participant stop working for this employer? Date: ____________

8. Have you received any "valuation" of the community property interest in this plan, for instance, any valuation from an actuary or from the plan itself? Yes _____ No _____

   If so, please attach a copy of the valuation.

9. **Please attach any information (such as an account statement or annual statement) which shows the participant's credit or monthly pension benefit as of the date of separation.**

10. **Please attach the most recent information from the plan in regards to the participant's service credit or monthly benefit amount or the value of the pension.**

DEFINED CONTRIBUTION PLAN OR ACCOUNT INFORMATION FORM
(401(k) Plan/Profit-Sharing Plan/Deferred Compensation Plan/403(b) Plan/Tax-Sheltered Annuity Account/IRA Account)

INSTRUCTIONS: Please complete this form as thoroughly as you can and please provide as many of the requested documents as you can. For instance, if you don't know the exact name of the plan, tell me what you think the name of the plan is or might be.

1. Participant's Name: ____

2. Name of Plan: ____

3. Name, address and telephone of plan administrator: ______________________
____
____
____

4. Unless this is an IRA account, please provide the name and address of the company (employer) which sponsors the plan and telephone of the company (employer) which sponsors the plan: ____
____
____
____

5. On what date were contributions first made by or on behalf of the participant into this plan or account? Date: ______________

6. Was there a balance in participant's account on the date of marriage? Yes ___ No ____

   If the answer to this questions is yes, please attach an account statement or any other information you have in regards to the balance in the account on the date of marriage.

7. If this is a plan sponsored by an employer, does the participant still work for that employer? Yes ____ No ____

   If not, when did the participant stop working for that employer? Date: ____________

8. Were contributions made to this account (either by the participant or by the employer ***after*** the date of separation? Yes ____ No ____

9. Are contributions being made to the account at the present time? Yes ____ No ____

   If not, what is the most recent date on which contributions were made to this account? Date: ____________

10. **Please attach an account statement which shows the balance in the account on the parties' date of separation.**

11. **Please attach an account statement or other document showing the balance in the account at the present time.**