

# GUARDIANSHIP ANNUAL ACCOUNTING CHECKLIST<sup>1</sup>

Cause No. \_\_\_\_\_ Estate of \_\_\_\_\_  
Accounting Period \_\_\_\_\_ to \_\_\_\_\_ Accounting # (e.g., 1<sup>st</sup>, 2<sup>nd</sup>) \_\_\_\_\_

ATTORNEY: _____ Attorney's phone _____
GUARDIAN: _____, Relationship to Ward: _____
Ward's name, age, and where living _____

1. This Guardian was appointed (check all that apply):

- Guardian of the Estate
- Guardian of the Person
- Trustee  Other

If other, please explain

\_\_\_\_\_

2. This Annual Account is for the:

- Guardian of the Estate
- Guardian of the Estate & Trustee (combined)
- Other (if Trustee only, use other checklist)

If other, please explain

\_\_\_\_\_

3. If Guardian of the Person, did this Guardian file the Report of the Person?

- YES  NO  This Guardian is not the GP

4. Did the Guardian receive Social Security benefits?

- YES  NO

If Yes, please attach the Annual Report filed with the Social Security Administration.

5. Is there a separate Trust for the Ward?

- Yes  No

If Yes, did the Guardian receive money from the Trust?  Yes  No If Yes, amount received this accounting period \_\_\_\_\_

If there is a Trust, did the Trustee file an Annual Account?

- YES  NO  Not due at this time

If there is a Trust, did the Guardian review the last Trustee's Annual Account?

- YES  NO

6. Is there an Investment Plan approved by the Court?

- YES  NO

If Yes, date it was approved \_\_\_\_\_

7. Does this Accounting balance?

- YES  NO (An Accounting can never be approved until it balances **OR** the Court can figure out why it doesn't balance.)

If No, please explain why:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Were all of the disbursements approved by the Court or covered by an Allowance?

- YES  NO

If No, please explain:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If Yes because disbursements approved, please attach a copy of the order(s) approving such disbursements or a list of such order(s) including the date and amount approved by the Court.

If Yes because covered by an Allowance:

- A. Please list the date of the order setting the Allowance: \_\_\_\_\_
- B. What is the Allowance amount? \$ \_\_\_\_\_
- C. Did the Guardian exceed the Allowance for this annual account?  
 YES  NO

If no allowance, please explain:

\_\_\_\_\_  
\_\_\_\_\_

9. Did you list or itemize all of the receipts and disbursements in your Accounting?

- YES**  NO

If the Guardian used cash for any disbursements, did you attach all of the receipts?

- YES  NO

<sup>1</sup> The "**YES**" answers that are highlighted and underlined indicate requirements that must be complied with before **any** Accounting can be approved, regardless of the circumstances.

10. Did you provide all of the financial statements for this Annual Account? (All bank statements, copies of returned checks, brokerage statements, etc.)

**YES**  NO

If No, please explain:

\_\_\_\_\_  
\_\_\_\_\_

11. Did you attach the Verification(s) of Deposit(s)?

**YES**  NO

12. Did you attach the Confirmation(s) of Safekeeping?

YES  NO (“YES” required if any safe-kept funds.)

13. Did you include the Bond Affidavit?

**YES**  NO

The Bond amount is \$ \_\_\_\_\_

14. Did you include the Tax Affidavit?

**YES**  NO

15. Does the Estate own real property?

YES  NO

Is the real property co-owned?

YES  NO

If Yes, please list the co-owners:

\_\_\_\_\_  
\_\_\_\_\_

Are all insurance premiums (real property) current?

YES  NO

16. Did the Guardian sell any property of the Estate (of any kind) in this accounting period?

YES  NO

If Yes, date the sale was approved and amount of the proceeds received by the Estate:

\_\_\_\_\_  
\_\_\_\_\_

17. Did the Guardian settle any lawsuits on behalf of the ward?

YES  NO

Did the guardian obtain Court Approval for the Settlements?

**YES**  NO (If “NO,” must get Court approval before Accounting can be approved.)

If Yes, date the settlement was approved and amount of the proceeds received by the Estate:

\_\_\_\_\_  
\_\_\_\_\_

18. Does the Ward have life insurance?

YES  NO

If Yes, did the court approve this insurance?

YES  NO If No, please provide a copy of the policy to the Court.

19. Did you (attorney or attorney’s office) prepare this Account?

YES  NO

If No, who prepared this Account and why:

\_\_\_\_\_

20. Did you (as the attorney) sign the Annual Account?

**YES**  NO

21. Did the Guardian(s) swear to the Annual Account?

**YES**  NO

22. Do you have any other Applications or Accountings pending before this Court?

YES  NO

If Yes, please list the Application(s) and /or Accounting(s) and the date(s) filed:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

23. Did you get Court approval for the payment(s) of all Attorney fees?

**YES**  NO (If “NO,” must get Court approval before Accounting can be approved.)

24. Please state any additional information concerning this Annual Account and /or this Guardianship that you would like to share with the Court:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SIGNED on \_\_\_\_\_ 20\_\_\_\_\_

\_\_\_\_\_  
Attorney