

# 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: \_\_\_\_\_

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 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 Representative Payee Report file 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 disbursement approved by the Court or covered by an Allowance?

- YES  NO

**If NO**, please explain: \_\_\_\_\_

**If YES**, because disbursement 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 Allowances: \_\_\_\_\_

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 circumstances.

10. Did you attach all of the financial statements for this Annual Account? (All bank statements, copies of returned check, brokerage statements, etc.)  
 **YES**    NO  
**If NO**, please explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Did you attach the Verification(s) of Deposit(s)?  
 **YES**    NO

12. Did you attached 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-owners?  
 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 an 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 the 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 Accounting 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’s 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 Guardianship that you would like to share with the Court: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SIGNED on _____, 20____ _____ Attorney
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