

CONSERVATORSHIP ACCOUNT CHECKLIST

Case Name:	Hearing Date:
Case Number:	District:
Is Conservator a PPF? <input type="checkbox"/> Yes <input type="checkbox"/> No	If Yes, Name: _____
Registered? <input type="checkbox"/> Yes <input type="checkbox"/> No;	If Yes, #: _____
Has PVP been discharged? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If No, Name: _____	
Is conservatorship <input type="checkbox"/> Limited or <input type="checkbox"/> General? (For purposes of Court investigations, per §1850.5)	
If Limited, was there 30 day ntc to Regional, 1822(e)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Court Investigator Report recommends: _____	
Court Investigator's assessments paid? (LR 10.68, LR 10.73) <input type="checkbox"/> Yes <input type="checkbox"/> No	

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ACCOUNT OVERVIEW			
Account Period: _____ through _____			
	Yes	No	N/A
Notice (per §2621 for accountings, §2610 for Inventory and Appraisals) 15 days notice to :			
Conservatee?			
Conservator?			
Spouse or registered domestic partner?			
1 st degree relatives (if ct deemed necessary); (parents and children)?			
Requests for special notice (PC 2700)?			
List of persons filing special notice: _____ _____			
Was account mailed to Court Investigator? (LR 10.74)			
Change in Residence? (PC 2352; CRC 7.1063, GC-079, GC-080)			
Account Timely?			
If not, period of time over due (yrs/mos)? _____			
Account Current?			
If stale, by how many months? _____			
Final Account?			
Date of Death? _____			
Was notice given to personal rep, heirs and devisee(s)? (LR 10.70)			
Is there a separate account for period commencing with date of death?			
Is Bond posted?			
Amount: _____ Name of Surety: _____			
Bond Premium Paid to date?			
[After 1/1/2008] Does bond include reasonable amount for the cost of recovery such as attorney's fees and costs? (PC §2320, CRC 7.207) (10% up to 500,000; 12% to 1Mill; 2% above plus income, etc)			
Bond amount sufficient? (CRC 7.204; LR 10.73)			
If no, amount: _____			
Is Bond waived for good cause? (PC §2321(a))			
Is bond reduced? (PC 2329)			
If no bond, are accounts blocked? (LR 10.73)			
Receipts for blocked accounts filed?			
PC 2352.5(c) Care Plan filed w/in 60 days of appointment? Was I and A served, Order Appt conservator served? (LR 10.67)			

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INVENTORY & APPRAISAL [Filed after 7/1/07]			
	Yes	No	N/A
Timely? (PC 2610) Letters Issued: _____ Date Filed: _____ Within 90 days?			
Notice to: (PC §2610, 1460) (1 st Degree)			
Conservatee?			
Spouse or domestic partner?			
Attorney for Conservatee?			
1 st Degree relatives or next closest?			
Notice addresses how to file objections?			
Refers to Form?			
Court Investigator? (LR 10.74)			
Names and relationship to Conservatee of any who did not receive notice? _____ _____ _____			
Notice on petition for appt is second degree; PC 1822			
Objections filed timely on Judicial Council Forms: GC-042 & GC-045? (Within 30 days after Inventory and Appraisal filed) (PC 2614))			
Date filed: _____			
Cash in I & A			
Checking and Savings Accounts:			
Account numbers?			
Addresses?			
Phone numbers of institutions?			
If Conservatee receives any of the following, is it included in the inventory?			
Pension?			
Veteran's Benefits?			
Social Security?			
Other: _____?			
Securities in I & A:			
Listed with account numbers, addresses and phone numbers of the institution?			
If no, provide details regarding discrepancies: _____ _____			
Real Estate in I & A:			
Listed all real properties?			
With legal descriptions?			
Remedies Available for Failure to File I & A (§2614.6, 2615): Removal, sanctions, Conservator Liability for any injury to estate resulting from failure to file timely I&A, Liability on bond.			
Was Care Plan sent to Court Investigator?			

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ACCOUNT - GENERAL INFORMATION (PC 1060-1063; CRC 7.575)	Yes	No	N/A
Acct balances? (Credits equal charges) Form GC-400(SUM)/GC-405(SUM)			
Beginning Balance is Correct?			
First Account - Beginning balance is total of all inventories?			
Subsequent Accounts - Does beginning balance agree with carry value balance from last account?			
Which account current[2 nd , 3 rd , 4 th etc.]?:			
Tapes Run?			
Errors Found?			
If yes, is tape attached to this checklist?			
Statements (Financial & Medical)			
Perm to include original bill statements from consee's residential care facility [PC2620(c)(5)]			
Statements are required for all financial institutions, including checking, savings, trust, financial planner/advisor statements, investment company, securities, etc. per §2890			
Reconciled?			
Public Guardians: (PG does not file statements for medical facility)			
First acct only- original bank statement for period preceding 1 st acct only			
If attached, are they reconciled to inventory balances?			
PPF:			
Are bank statements, facility statements, brokerage statements for ALL accounts showing balance for ALL periods covered by this accounting lodged with the court? (2620(c)(3))			
Financial Caption Cover Sheet (Local Form)			
Reconciled? (10.73)			
Non-PPF or Non-PG:			
Original Bank statements for the end of the accounting period? (per §2620(c)(2), LR 10.74)			
Reconciled? 2620 (c)			
If sale of any property, is there an original, closing escrow statmt? (PC2620)			
Does this statement reconcile with both charges and credits?			
Schedule Totals Agree with:			
Summary?			
Schedule A: Receipts?			
Schedule B: Gains?			
Schedule C: Disbursements?			
Schedule D: Losses?			
Schedule E: Property on Hand (carry values and FMV)?			
PROPERTY ON HAND at Beginning of Account – STANDARD or SIMPLIFIED (CRC 7.575(b))			
All bank statements provided?			
Identify Missing Bank Account Statements:			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Do account balances reported on statements agree with total on schedule?			
Reconciliation needed?			
Are funds on deposit within FDIC limits? (No Account larger than \$100k)			

If not, identify financial institution(s): _____ Case Number: _____
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CONSERVATORSHIP ACCOUNT CHECKLIST

Are all accounts vested in Conservatorship?			
Other property on hand issues? If yes, describe:			

RECEIPT SCHEDULE- Schedule A	Yes	No	N/A
Are receipts categorized?			
If Simplified, are receipts chronological? (CRC 7.575)			
If Standard, are receipts organized by subject matter? (CRC 7.575)			
Public Benefits? (Any uncashed checks?)			
Social Security?			
Veterans Benefits?			
Other Public Benefit Income? Source?			
All public benefits received during account period? Identify source of missing public benefit(s): _____			
Identify missing payment(s) [month/year]: _____			
Does waiver per 2628 apply? (15,000 in estate, 2,000 income per/mo)			
Pension?			
All payments received?			
Identifying missing payment(s)? [month/year]			
Interest?			
All payments received?			
Identifying missing payment(s)? [month/year]			
Dividends?			
All payments received?			
Identifying missing payment(s)? [month/year]			
Other Receipts?			
Describe:			
All payments received?			
Identifying missing payment(s)? [month/year]: _____			

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PROPERTY ON HAND SCHEDULE - CARRY VALUES- Schedule E	Yes	No	N/A
All bank statements provided?			
Identify Missing Bank Account statements:			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Do account balances reported on statements agree with totals on schedule?			
Reconciliation needed?			
DISBURSEMENT SCHEDULE- Schedule C	Yes	No	N/A
Payments to care facilities?			
All payments made?			
Identify missing payment(s) [month/year]: _____			
Weekly/Monthly allowance paid to Conservatee?			
Conservator's fees itemized?			
Payments authorized by Court order?			
Date of Order: _____			
Duration of payments? _____			
Total Amount paid? _____			
Facts demonstrate necessity of payment? Rule 7.702, 7.751			
Attorney's fees Itemized? (PC 2640)			
Periodic attorney's fees paid?			
Reimbursable costs?			
Payments authorized by Court order?			
Date of Order: _____			
Duration of payments? _____			
Total Amount paid? _____			
Facts Demonstrate necessity of payment? 7.702, 7.751			
Estate Includes: Real Property?			
Occupied by Conservatee?			
Real Property Taxes Paid?			
Missing Installments?			
Rent Collected?			
Describe missing payment(s): _____			
Fire/liability Insurance?			

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Unusual Items Appearing in schedule? (Conflicts CRC 7.1059)			
PROPERTY ON HAND SCHEDULE - CARRY VALUES- Schedule E	Yes	No	N/A
All bank statements provided?			
Identify Missing Bank Account statements:			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Institution: _____ Balance: _____			
Do account balances reported on statements agree with totals on schedule?			
Reconciliation needed?			
Describe: _____			

Are funds on deposit within FDIC limits? (No Account larger than \$100,000)			
If not, identify financial institution(s):			
Are all accounts vested in conservatorship? LR 10.73			
Other property on hand issues?			
If yes, describe:			

Probate Code 1063 Schedules and Probate Code 1064 Disclosures			
	Yes	No	N/A
Is there a schedule re FMV at beginning of account (not required for first account) Carry Value and FMV			
Is there a schedule of liabilities? (Mortgages, Debts)			
All other schedules required per 1063 provided?			
Identify missing schedules:			
Is there a schedule re FMV at end of account period?			
Petition/Report includes PC disclosures as follows:			
Description of sales, purchases, exchanges?			
Explanation of unusual items?			
Compensation paid to fiduciary or attorney without court order?			
Disclosure re family or affiliate relationships?			
Cash invested and maintained in interest bearing accounts?			
Conflicts per CRC 7.1059?			
Allegations that certified copy of letters are recorded if r/p? (LR 10.66)			

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Remedies/Court Action §2620.2			
PPF:			
Written notice to conservator to file accounting w/in 30 days of date of notice			
Court approved additional 30 days for filing?			
*Cannot allow on ex parte			
Good cause shown?			
Bond adequate?			
If PPF does not file, then report to licensing board per §2620(c) (No 30 day extension; PC 2620.2)			
PG:			
Written notice to conservator to file accounting w/in 45 days of date of notice			
Other Court Remedies for all conservators:			
Failure to provide accounting w/in specified time, subject to:			
1) Citation to show cause why not in contempt			
2) Suspend powers; appoint temporary conservator			
3) Appoint legal counsel for conservatee; appoint temporary conservator			
4) Fees of temporary conservator and his/her counsel surcharged to conservator; PC 2620.2			
5) Removal per 2650, 2653(b)			
6) Other appropriate action in response to failure to file			
PC 2620(a) accounts must be filed "at the expiration of one year from the time of appointment (1 st Acct) and thereafter, not less frequently than biennially.. "			
Acct# _____ to be filed NLT _____ (date) and status rpt sent for _____ (date)			
Court Supervised Trusts; CRC 7.903			
Is there a trust?			
Is the trust court supervised? (CRC 7.903; LR 10.80, 10.81)			
Case #: _____			
When is trust Account?			
Is copy of acct mailed to CI? (LR 10.74)			

1/18/08

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