

CONSERVATORSHIP

1

Annual Account

Part 1: Petition for Approval of Annual
Conservator's Account

(Forms)

Self-Service Center

ANNUAL ACCOUNT OF CONSERVATOR

CHECKLIST

Use the forms and instructions in this packet only if the following factors apply to your situation:

- ✓ You have been appointed the conservator for an adult or minor; AND
- ✓ You have *completed* at least one annual account (the *first* account or Form 6) as a guardian or conservator for this case; AND
- ✓ You want to file court papers to have this annual account approved by the court.

READ ME: Consulting a lawyer before filing documents with the court may help prevent unexpected results. A list of lawyers you may hire to advise you on handling your own case or to perform specific tasks, as well as a list of court-approved mediators can be found on the Self-Service Center website.

CONSERVATORSHIP

PETITION FOR APPROVAL OF ANNUAL ACCOUNT

PART 1: THE COURT PAPERS

FORMS

This packet contains court forms and instructions to file for approval of an annual account for a conservatorship. Items in **BOLD** are forms that you will need to file with the Court. Non-bold items are instructions or procedures. Do not copy or file those pages!

Order	File Number	Title	# pages
1	PBCF7k	Checklist: You may use these forms if . . .	1
2	PBCF7ft	Table of Contents (this page)	1
3	PBCF70f	Coversheet for Conservator's Annual Account (AOC Form 7)	2
4	PBCF71f	Conservator's Account Form	10
5	PBCF62f	Amended Budget Form (Optional)	2
6	PBCF43f	Transaction Log (Optional*)	1
7	PBGCF45f	Fee Statement and Proof of Mailing	2
8	PBCF47f	Response to Court Accountant Report (if necessary)	1
9	PBCF48f	Notice of Hearing	1
10	PBCF49f	Court Order Regarding Petition for Approval of Annual Account	2

*You may use and follow the format of this form or present a copy of a checkbook register or printout of an account register from accounting software such as Quicken™.

The documents you have received are copyrighted by the Superior Court of Arizona in Maricopa County. You have permission to use them for any lawful purpose. These forms shall not be used to engage in the unauthorized practice of law. The Court assumes no responsibility and accepts no liability for actions taken by users of these documents, including reliance on their contents. The documents are under continual revision and are current only for the day they were received. It is strongly recommended that you verify on a regular basis that you have the most current documents.

Person Filing: _____
Address (if not protected): _____
City, State, Zip Code: _____
Telephone: _____
Email Address: _____
Lawyer's Bar Number: _____
Licensed Fiduciary Number: _____

For Clerk's Use Only

Representing Self, without a Lawyer or Attorney for Petitioner OR Respondent

SUPERIOR COURT OF ARIZONA IN MARICOPA COUNTY

In the Matter of the Conservatorship for

Case No. PB _____

SUBMISSION OF AND PETITION FOR APPROVAL OF CONSERVATOR'S ACCOUNT (FORM 7)

Name of Protected Person
 Minor (or)
 Adult (or person age 17.5 or older)

with BUDGET
 with BUDGET AMENDMENT
 with Fee Statement

INSTRUCTIONS: For approval of annual account, put a check mark in boxes 1, 2, 3, and complete number 1.

THE PETITIONER STATES UNDER PENALTY OF PERJURY:

1. This account covers the account reporting period *from* _____ (date) *to* _____ (date) and is *due* on _____ (date).
2. Attached is a correct statement of all financial dealings I had on behalf of the Ward or protected person during this account reporting period. The summary of all financial transactions I conducted or allowed on behalf of the Ward or protected person during this period of time are fully described, itemized, and summarized on the attached documents. I request that the Court enter an order approving this account.
3. Unless otherwise ordered by the court, attach the REQUIRED DOCUMENTS in the following order:

- SCHEDULE 1:** Statement of Receipts and Disbursements
- WORKSHEET A:** Other Receipts and Disbursements Detail
- Amended Budget** (if applicable)
- SCHEDULE 2:** Statement of Net Assets and Reconciliation
- WORKSHEET B** (if applicable): Other Inventory and Liabilities Detail
- SCHEDULE 3:** Statement of Sustainability of Conservatorship
- WORKSHEET C** (if applicable): Adjustments Detail
- Financial Statements**, which include the account, balance at the end of the account reporting period, for each financial account
- Transaction Log**, detailing all financial transactions during the current account reporting period just ended, reported by category

INSTRUCTIONS: For approval of fee statements, put a check mark in box number 4:

4. Attached is a copy of the **Fee Statement**, for which I request approval.
(If you check this box, attach the Fee Statement).

CONSERVATOR’S CERTIFICATION

I, the undersigned, acknowledge that I have read and reviewed this form, accompanying schedules, and attached supplements, and after reasonable inquiry have a good faith belief that the information in this report is true, accurate and complete to the best of my knowledge and belief.

Date

Conservator’s Signature

Printed Name

Form 7: Conservator's Account

Description of the Required Schedules and Worksheets

Schedule 1: Statement of Receipts and Disbursements	Provides budgeted and actual receipts and disbursements
Worksheet A	Supporting detail of Other Income, Expenses, and Administrative Fees and Costs
Schedule 2: Statement of Net Assets & Reconciliation	Provides a summary of the estate inventory & updated inventory values
Worksheet B	Supporting detail of Other General Assets, Money-Denominated Assets, Bills and Payables More Than 30 Days Old, and Debts
Schedule 3: Statement of Sustainability of Conservatorship	Calculates estimated sustainability of the estate
Worksheet C	Supporting detail of Adjustments to Net Assets or Net Income/(Net Expenses)

Do Not File this Instruction Page

Instructions on How to Navigate Throughout the Excel Document

1. Navigating from one schedule/worksheet to another:

- a. You may use the tabs located on the bottom of the screen labeled "Schedule 1, Worksheet A, etc.; by clicking on the tabs, you can select the specified schedule or worksheet you would like to complete.
- b. Once you leave a page, you may go back and forth between the pages by clicking on the tabs.

2. Additional Worksheets

- a. If you need additional space to provide supporting detail for either Worksheet A, Worksheet B, or Worksheet C, right click on the tabs below and select "unhide"; choose the specified worksheet you would like to complete.

3. Save/Print

- a. Remember to save your information, as you will need to use the information in subsequent accounts.
 - i. To save the document, click on the Office Button in the upper left corner and choose "Save As."
 - ii. To print, click on the Office Button in the upper left corner and choose "Print"
 - a. Once in print, you may print the schedules and worksheets individually by selecting "Print" while in the specified page; or
 - b. You can print the entire account by selecting "Print" and then click "Entire Workbook" in the print settings.

4. Automatic Calculations

- a. When completing the account in Excel, embedded formulas will automatically populate certain fields (i.e. totals, percentages, change from prior period, etc.). Fields that will be automatically calculated are shaded green; you will not need to do anything in these fields as the computer will generate the value.

In the matter of:

Case No.

Form 7: Conservator's Account

Schedule 1: Statement of Receipts and Disbursements

	Column A	Column B	Column C	Column D	Column E	Column F	Column G
	Past	Present			Future		
	Actual Results	Budget	Actual Results	Change from Budget	Change as Percent	Budget Current Year:	Budget Change
	Prior Period: See Prior Period Schedule 1, Column C	See Prior Period Schedule 1, Column F Period Just Ended:		Column C minus Column B	Column D divided by Column B and multiplied by 100		From Actual Results Period Just Ended Column F minus Column C
1 Start Date of Account Reporting Period: (Example: 07/01/2011)							
2 End Date of Account Reporting Period:							
Receipts (Money Received):							
3 Retirement and Disability Income							
4 Annuities, Structured Settlements, and Trust Income							
5 Wages and Earned Income							
6 Investment and Business Income							
7 Other Receipts (Attach WS A)							
8 Total Receipts (Add lines 3 through 7)							
9 Assets/Liabilities as Receipts							
10 Total Income Included in Receipts (Line 8 minus line 9)							
Disbursements (Money Spent):							
Money Spent for Protected Person:							
11 Food, Clothing, and Shelter							
12 Medical Costs							
13 Personal Allowance							
14 Payments on Debt							
15 Discretionary Expenses							
16 Other Disbursements (Attach WS A)							
17 Total Disbursements for Protected Person (Add lines 11 through 16)							
Money Spent for Administrative Fees & Costs:							
18 Fiduciary Fees and Costs							
19 Fiduciary's Attorney Fees and Costs							
20 Protected Person's Attorney Fees and Costs							
21 Other Administrative Fees and Costs (Attach WS A)							
22 Total Administrative Fees and Costs (Add lines 18 through 21)							
23 Total Disbursements (Add lines 17 and 22)							
24 Assets/Liabilities as Disbursements							
25 Total Expenses in Disbursements (Line 23 minus line 24)							
26 Total Surplus/(Total Shortfall) (Line 8 minus line 23)							
27 Net Income/(Net Expenses) (Line 10 minus line 25)							

In the matter of:

Case No.

Form 7: Conservator's Account

Schedule 2: Statement of Net Assets & Reconciliation

Section 1: Net Assets (Inventory)

1 Inventory Value Report Date: (Example: 07/01/2011)

Column A	Column B	Column C	Column D	Column E
Inventory Value From Prior Period: <small>See Prior Period Schedule 2, Column B</small>	Updated Inventory Value Just Ended:	Change from Prior Period <small>Column B minus Column A</small>	Change as Percent <small>Column C divided by Column A and multiplied by 100</small>	Explanation of Change

General Assets, Excluding Cash and Bank Accounts:

2 Real Estate				
3 Vehicle(s)				
4 Business Ownership Interests				
5 Household Items and Personal Effects				
6 Stocks, Bonds, and Mutual Funds - Not Tax-Deferred				
7 Tax-Deferred Assets				
8 Other General Assets (Attach WS B)				
9 Total General Assets (Add lines 2 through 8)				

Cash and Regular Bank Accounts:

10 Bank Accounts - Restricted Access				
11 Bank Accounts - Unrestricted Access				
12 Cash on Hand				
13 Other Money-Denominated Assets (Attach WS B)				
14 Total Cash and Bank Accounts (Add lines 10 through 13)				
15 Total Available Assets (Add lines 9 and 14)				

Liabilities (Debt):

16 Bills & Payables More Than 30 Days Old (Attach WS B)				
17 Other Debts (Attach WS B)				
18 Total Liabilities (Add lines 16 and 17)				
19 Net Assets (Line 15 minus line 18)				

Section 2: Reconciliation of Conservator's Account

Reconciliation of Cash and Regular Bank Accounts:

20 Starting Cash Balance (Enter Column A, line 14)		Starting Cash Balance comes from Column A, Line 14
21 Total Receipts (Schedule 1, Column C, line 8)		
22 Available Funds (Add lines 20 and 21)		
23 Total Disbursements (Schedule 1, Column C, line 23)		
24 Ending Cash Balance (Line 22 minus line 23)		Ending Cash Balance must equal Column B, Line 14

In the matter of:

Case No.

Form 7: Conservator's Account

Schedule 3: Statement of Sustainability of Conservatorship

	Column A	Column B	Column C	Column D	Column E
	Sustainability Estimated in Prior Period <small>See Prior Period Schedule 3, Column B</small>	Updated Sustainability Estimated	Change from Prior Period <small>Column B minus Column A</small>	Change as Percent <small>Column C divided by Column A and multiplied by 100</small>	Explanation of Adjustment in Column B
1 Report Date of Sustainability Estimate: (Example: 07/01/2011)					
Net Assets Available to Conservatorship:					
2 Net Assets (See Schedule 2, line 19)					
3 Adjustments (Attach WS C)					
4 Adjusted Net Assets (Add lines 2 and 3)					
Recurring Net Income/(Net Expenses):					
5 Net Income/(Net Expenses) (See Schedule 1, line 27)					
6 Adjustments (Attach WS C)					
7 Adjusted Net Income/(Net Expenses) (Add lines 5 and 6)					
8 Enter Adjusted Net Assets (Line 4)					
9 Enter Adjusted Net Income/(Net Expenses) (Absolute Value of line 7)					
10 Estimated Years of Sustainability (Line 8 divided by line 9)					
11 Is Conservatorship Sustainable? (Yes or No)					

12	Prior Period Management Plan (Complete if "No" is entered in Column A, Line 11: Provide Management Plan Going Forward as indicated in Prior Period Schedule 3)	Management Plan Going Forward (Complete if "No" is entered in Column B, Line 11)

NOTICE TO RECIPIENT OF THIS SCHEDULE:

The Conservator's estimates and analyses of Adjusted Net Assets, Adjusted Net Income/(Net Expenses), and Sustainability are good faith estimates based upon information that is reasonably available to the Conservator concerning the Protected Person. This information is provided for the limited purpose of assisting the court in its oversight of this conservatorship.

In the matter of:	Case No:		
Date of Amended Budget:			
AMENDED BUDGET <i>*Complete Only if Necessary</i>	<i>Column A</i>	<i>Column B</i>	<i>Column C</i>
	Previously Filed Budget <small>(Schedule 1, Column F OR Prior Amended Budget, Column B)</small>	Amended Budget	Explanation of Change
	Current Year		
1 Start Date of Account Period (See SCHEDULE 1, Column F, Line 1):			
2 End Date of Account Period (See SCHEDULE 1 Column F, Line 2):			
Receipts (Money Received):			
3 Retirement and Disability Income			
4 Annuities, Structured Settlements, and Trust Income			
5 Wages and Earned Income			
6 Investment and Business Income			
7 Other Receipts (Attach WS A)			
8 Total Receipts (Add lines 3 through 7)			
9 Assets/Liabilities as Receipts			
10 Total Income Included in Receipts (Line 8 minus line 9)			
Disbursements (Money Spent):			
Money Spent for Protected Person:			
11 Food, Clothing, and Shelter			
12 Medical Costs			
13 Personal Allowance			
14 Payments on Debt			
15 Discretionary Expenses			
16 Other Disbursements for Protected Person(Attach WS A)			
17 Total Disbursements for Protected Person (Add lines 11 through 16)			
Money Spent for Administrative Fees & Costs:			
18 Fiduciary Fees and Costs			
19 Fiduciary's Attorney Fees and Costs			
20 Protected Person's Attorney Fees and Costs			
21 Other Administrative Fees and Costs (Attach WS A)			
22 Total Administrative Cost (Add lines 18 through 21)			
23 Total Disbursements (Add lines 17 and 22)			
24 Assets/Liabilities as Expenses			
25 Total Expenses in Disbursements (Line 23 minus line 24)			
26 Total Surplus/(Shortfall) (line 8 minus line 23)			
27 Net Income/(Net Expenses) (line 10 minus line 25)			

Person Filing: _____
 Address (if not protected): _____
 City, State, Zip Code: _____
 Telephone: _____
 Email Address: _____
 Lawyer's Bar Number: _____
 Licensed Fiduciary Number: _____

FOR CLERK'S USE ONLY

Representing Self, without a Lawyer or Attorney for Petitioner OR Respondent

SUPERIOR COURT OF ARIZONA IN MARICOPA COUNTY

In the Matter of the (check one or both)

Guardianship and/or Conservatorship of:

Case Number: PB _____

FEE STATEMENT AND PROOF OF MAILING

an Adult or a Minor _____

INSTRUCTIONS: This document must be completed in all cases where fees are charged. All activities for which fees are charged must be specifically listed, such as telephone calls, meetings, staff meetings, conferences, document preparation, work in house or files, personal visits, and so forth.

STATEMENT OF FEES FOR SERVICES: The following is a statement of fees for services rendered from _____ (date) to _____ (date).

DATE	DESCRIPTION AND SERVICE PROVIDER	TIME	AMOUNT CHARGED

Case No. _____

NUMBER OF HOURS BILLED:

Total number of hours billed is _____ x \$ _____ per hour = \$ _____
TOTAL CHARGE

PROOF OF MAILING:

A copy of this document was mailed or delivered to the following persons:

NAME	ADDRESS

Today's Date: _____

Your Signature: _____

Person Filing: _____
Address (if not protected): _____
City, State, Zip Code: _____
Telephone: _____
Email Address: _____
Lawyer's Bar Number: _____
Licensed Fiduciary Number: _____

FOR CLERK'S USE ONLY

Representing Self, without a Lawyer or Attorney for Petitioner OR Respondent

SUPERIOR COURT OF ARIZONA IN MARICOPA COUNTY

In the Matter of (check one or both)
 Guardianship Conservatorship of

Case Number: PB _____

NOTICE OF NON APPEARANCE HEARING REGARDING ANNUAL ACCOUNTING

_____ an Adult a Minor

READ THIS NOTICE CAREFULLY. An important court proceeding that affects your rights has been scheduled. If you do not understand this Notice or the other court papers, contact an attorney for legal advice.

1. **NOTICE IS GIVEN** that the Petitioner has filed with the Court the following Petition and other court papers (List the title of the Petition and the titles of all papers you filed with the court):

- 1. _____
- 2. _____
- 3. _____
- 4. _____
- 5. _____

2. **COURT HEARING.** A non-appearance court hearing has been scheduled to consider the Petition and matters in the court papers as follows:

DATE AND TIME: _____

PLACE: _____

JUDICIAL OFFICER: _____

3. **RESPONSE TO PETITION.** This is a non-appearance hearing. You do not need to come to the hearing unless you disagree with the Petition. If you want the judge to know why you disagree with the Petition, you should come to the hearing and state your objection. You can also file a written objection at least 10 days prior to the hearing.

DATED: _____
(Month/Day/Year)

Petitioner's Signature

Person Signing Document: _____
 Address (if not protected): _____
 City, State, Zip Code: _____
 Telephone: _____
 Email Address: _____
 Lawyer's Bar Number: _____
 Licensed Fiduciary Number: _____

FOR CLERK'S USE ONLY

Representing Self, without a Lawyer or Attorney for Petitioner OR Respondent

SUPERIOR COURT OF ARIZONA IN MARICOPA COUNTY

In the Matter of the (check one or both)
 Guardianship Conservatorship of

Case Number: PB _____

 (Name of Ward or Protected Person)

COURT ORDER REGARDING PETITION FOR APPROVAL OF ANNUAL ACCOUNTING # _____ (1st, 2nd, 3rd, etc., Simplified or Final) AND FEE STATEMENT (if applicable)

NOTICE: This is an important court order that could affect your legal rights. Read it carefully. If you do not understand it, consult an attorney for legal advice.

FINDINGS OF THE COURT:

1. A Petition for Approval of Annual Accounting # _____ was filed by _____.
2. Notice of the Petition was given as required by law or waived by all interested persons or other:
3. The Petition for Approval has been reviewed by the Court Accountant and by the Court.

IT IS ORDERED:

1. **The Accounting is approved** as submitted for the period from _____ to _____, _____.

 - The date that the next accounting period shall be due: _____
 - The dates that the next accounting period shall cover: _____
 - The increase or decrease amount of the fiduciary bond, if appropriate. _____

OR

- The Accounting is approved but** with the following provisions:

OR

The Accounting is not approved. The Petitioner shall file with the court a written Response to the Court Accountant's Report, provide a copy of the Response to the Court Accountant and to all persons entitled to notice of the Annual Accounting, and shall address each and every recommendation of the Court Accountant by _____ (date). If additional documentation or amended schedules are required by the Court Accountant, they shall be attached to the Petitioner's Response.

Petitioner shall include a self-addressed, stamped envelope to the Court Accountant with the Response. Failure of Petitioner to fully address the Court Accountant's recommendations will result in the court setting a hearing date at which time the Petitioner will be required to appear in court to explain the accounting. The court may also order the Petitioner to personally bear additional expenses incurred in resolving the accounting issues.

2. **The fee statement is approved** and fees are allowed in the amount of \$ _____

OR

The fee statement is not approved and Petitioner is ordered to do the following things:

DONE IN OPEN COURT: _____

JUDICIAL OFFICER OF THE SUPERIOR COURT