

CONSERVATOR

For an Adult

1

**OR a person at least 17.5 years old,
to *become effective* at age 18**

Part 1: Preparing the First Court Papers

(INSTRUCTIONS)

CONSERVATORSHIP

GET A PERMANENT APPOINTMENT FOR AN ADULT or a person at least 17.5 years old to become effective at age 18

Part 1: Preparing the First Court Papers

(Instructions Only)

This packet contains court instructions to file for 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!

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* See the #2 "**SERVICE**" packet for forms and detailed instructions.

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.

**INSTRUCTIONS: HOW TO COMPLETE THE FORMS TO ASK THE COURT
TO APPOINT A CONSERVATOR OF AN ADULT**
or a person at least 17.5 years old *to become effective at age 18*

NOTE: This process, from time of filing to the signing of the court order, may take at least two months. If there is an **urgent** situation that requires the actions of a conservator in less than that amount of time **OR** conservatorship will only be needed for a period of **6 months or less**, see the Self-Service Center packet for **"TEMPORARY ORDERS"** for Guardianship/Conservatorship. Refer to the checklist in that packet to help determine whether you need to file for Temporary Orders *only*, or *in addition to* these papers for a "permanent" appointment of more than 6 months.

BE SURE YOU ONLY NEED TO ASK THE COURT TO APPOINT A CONSERVATOR ONLY, AND NOT A GUARDIAN ALSO (or *instead*). If you are not sure, see the "Checklist" at the beginning of the "Forms" packet. Note that the Self-Service Center has separate packets to request appointment of a guardian, a conservator, or both a guardian and conservator.

The person you say needs a conservator may be referred to by *any* of the following terms in the court forms or instructions:

- "the ward" or "the proposed ward",
- "the person to be protected" or "the person needing protection",
- "the person needing a conservator".

A. COMPLETE THE FORMS TO FILE WITH THE COURT:

Fill out all the forms completely and in **black ink**. Read and follow instructions on the individual forms.

FORM 1: PROBATE INFORMATION COVER SHEET (No copies required)

Fill in the information requested about:

- **the ward**, the person for whom the conservator is to be appointed,
- **the petitioner**, you, the person filling out and filing these forms, and
- **the fiduciary**, the person who is to serve as conservator.

Leave "Case Number" blank. A case number, will be stamped on the papers by the Clerk of the Court when you file the papers. Use this case number on all other papers you file with the court in this case.

- **Indicate whether an interpreter will be needed**, for **what language**, and **for whom**;
- Leave the boxes for "Reasons Fee Not Paid" blank, and
- For "**Nature of Action**", if filing for conservator **only**, go to #220, and check the box to indicate this is for an adult (age 17 and a half or older).

FORM 2: PETITION FOR APPOINTMENT OF CONSERVATOR including request for appointment of attorney, health professional (physician or other medical professional to evaluate the physical and/or mental health of the proposed ward), and court investigator. The Court will **always** appoint a physician or other medical professional to evaluate the mental and physical health of an **adult** said to need a **guardian**, and **may** appoint one in matters of **conservatorship**, whether involving adults or minors.

Regarding: (“A” and “B” below do not correspond to lettering on the Petition.)

- A. Appointment of Attorney:** A petition for appointment of a conservator must include a request for the court to appoint a lawyer to represent the person you say needs the conservator. **If** the proposed ward already has a lawyer **and** you want that lawyer to represent the ward in *this* matter, **list** the lawyer’s name and address **and explain any prior relationship or dealings between the lawyer and you, and between the lawyer and the person to be protected.**

If you are not providing the name of a specific lawyer you want to have appointed, call the Office of Public Defense Services after you file your Petition and other initial papers to get the name of a lawyer to be appointed by the court.

See the “Procedures” document in this packet for more specific information including the number to call and what to say when you call.

- B. Persons Entitled to Notice.** In this section, list every person (or agency) legally entitled to receive notice of your request to have a conservator appointed for the proposed ward. Arizona Revised Statutes **A.R.S. § 14-5405**, provides that in the matter of a conservatorship for an adult, notice shall be given to:

1. **The proposed ward and his or her spouse and parents or adult children.**
2. **Any person who is serving as guardian or conservator** who has the care and custody of the ward.
3. ***In case no other person is notified under #1 or 2 above, notice must be given to at least one of the ward’s closest adult relatives, if any can be found.***
4. **Any person who has filed a Demand for Notice** with the Clerk of the Court.

For more detailed information on how you are required or permitted by law to give Notice, refer to Self-Service Center packet #2 on “**SERVICE**”.

FORM 3: AFFIDAVIT OF PERSON TO BE APPOINTED. This document, required by Arizona law **A.R.S. §14-5106(A)**, must be completed **by the proposed guardian** and filed with the PETITION. The proposed guardian is usually, but not always, the same person as the Petitioner. **Read carefully, answer truthfully, and attach explanations as instructed on the document itself.**

B: COMPLETE OTHER COURT PAPERS: These forms are NOT filed with the Clerk, but you will need them later to schedule a court hearing.

- **PETITIONER’S INFORMATION SHEET TO COURT INVESTIGATOR.** This document provides important information to the Court Investigator which will aid the progress of your case. **Inaccurate or incomplete information may cause delay.** This is not filed but is needed before a hearing will be set.
- **NOTICE OF HEARING (PBGC18F).***
- **WAIVER OF NOTICE and WAIVER OF SERVICEMEMBERS CIVIL RELIEF ACT ***

*See and **Packet #2** on “**Service**” for how and when to use these.

NEXT: Read and follow instructions on the separate “**PROCEDURES**” document in this Instructions packet for what to do *after* you have completed these forms.

Law Library Resource Center

Procedures: How to Request Appointment of
Permanent Conservator for an Adult

Step 1. Make copies and separate into complete sets as follows:

<p>Set 1: Originals for the Clerk of Superior Court, Probate Administration</p> <ul style="list-style-type: none">• Probate Information Cover Sheet (pb10f)• Petition for Permanent Conservator (pbca11f)• Affidavit of Person to be Appointed (pbgc13f)	<p>Set 2: Copies for Judicial Officer (deliver <i>at least</i> 5 days before the hearing)</p> <ul style="list-style-type: none">• Petition for Permanent Conservator• Affidavit of Person to be Appointed
<p>Set 4 & More: Copies for Persons (or Agencies) to Receive Notice</p> <ul style="list-style-type: none">• Petition for Permanent Conservator• Affidavit of Person to be Appointed	<p>Set 2: Copies for You</p> <ul style="list-style-type: none">• Petition for Permanent Conservator• Affidavit of Person to be Appointed

2. Take the originals and all sets of copies to the Clerk of Superior Court to file:

**Yuma County Justice Center
Clerk of Superior Court
250 W. 2nd Street
Yuma, Arizona 85364**

3. Pay your filing fee plus the probate court investigator fee.

- A list of current fees is available from the Law Library Resource Center and from the Clerk of Superior Court's website. Look under "Probate" to find the fee for "Petition to Appoint Conservator", etc.
- If you cannot afford the filing fee and/or the fee for having the papers served by the Sheriff or by publication, you may request a deferral (payment plan) when you file your papers with the Clerk of Superior Court. Deferral Applications are available at no charge from the Law Library Resource Center.

4. Get your copies back. The Clerk of Superior Court will file the originals, stamp the copies with a case number to indicate the copies conform to (be the same as) original documents filed with the court, and return the copies to you. Note your case number and use it on every paper you file with the court in this matter from now on.

Note the following:

- The hearing will be scheduled for some 4-6 weeks from the date you submit your request, whether submitted by phone or in-person.
- You may file at any of the Clerk of Superior Court locations listed above, the hearing may however be scheduled at a different court facility.

5. Get the name and address of a court-appointed lawyer:

Who to call and what to say: The person you say needs a conservator must have a lawyer. If there is no lawyer already representing him or her in this matter, you must call the Clerk of Superior Court at 928-817-4165, between 8:00 a.m. and 5:00 p.m., Monday through Friday, to get the name of a lawyer to be appointed by the court.

What to say when you call: "I need a lawyer to be appointed in an adult conservatorship (or guardianship)."

Be prepared to provide the following information:

- The probate case number.
- The name of the person who needs the guardian or conservator.
- The address and telephone number where that person is currently living.
- The date and time of the scheduled court hearing and the name of the Judicial Officer (Judge or Commissioner) who will be hearing the matter.

7. Complete the "order appointing attorney, health professional*, And Court investigator."

A. List the name of the attorney obtained in Step 6 above.

8. B. (Optional) List the name of a "Health Professional", a physician or other medical professional

authorized by A.R.S. 14-5303(C) to evaluate and report on the proposed protected person's physical and/or mental health and need for a guardian or conservator. Appointment of such an evaluator is optional in matters of conservatorship alone where no guardianship involved.

The Court may choose to appoint an evaluator, or you may request one be appointed so that you may include the report as part of your case to show that the person to be protected is in fact disabled enough to need a conservator. To do this, simply write in the name and other information concerning your proposed evaluator (physician, registered nurse, or psychologist) in the space provided on the Petition, and on the "Order Appointing" document covered in Step 8 below.

Note that the Petitioner is responsible for any fees charged by the physician or other evaluator for the examination and for preparing the report to the Court.

NOTICE: Conservatorship grants authority to manage and protect the incapacitated person's income and/or assets; it does not include authority to place the ward in a hospital or other facility for treatment of mental or behavioral health issues. If such authority is needed, see the Law Library Resource Center packets concerning appointment of a Guardian, or of a Guardian and Conservator for an Adult. Note that court authorization for inpatient mental or behavioral health treatment requires recommendation by a licensed psychologist or psychiatrist. A.R.S. § 14-5312.01(B)

8. Give the "Order appointing" to the probate registrar: Mail or hand-deliver the original and 1 copy of the "Order" with the names of the attorney and (optionally) the name of a physician or other evaluator to the Probate Registrar at any of the Clerk of Superior Court locations listed in "2" above. The Registrar will sign and return the copy to you. If mailing, include a SASE (self-addressed, stamped envelope) for the Order to be mailed back to you. No SASE = no mail.
9. Serve notice: Fill out the Notice of Hearing form with the information about time and place of the hearing that you obtained in Step 5 above, and serve notice to everyone who is legally entitled to know about the court case and what you have asked the Court to order concerning the person to be protected. To "Serve" notice means to deliver notice as required or permitted by law.

Persons entitled to notice may sign a notarized Waiver of Notice (PBGC19f), which will allow you to NOT serve notice to those persons, unless they later file to reverse that waiver.

Notice can (or must) be given in different ways to different persons. Read "Information on legal notice" (PBGCA20h) in this packet, and see Law Library Resource Center packet #2, "Service and Notice of Court Hearing" for court forms and more detailed information on serving notice regarding conservatorship of an adult.
10. If a physician or other medical professional was appointed to evaluate the person said to need a guardian or conservator in Steps 7 and 8 above:
 - Provide that evaluator with the "Guidelines for Health Professional's Report" (PBGCA15f) and the case number.
 - The physician or other evaluator may use the form supplied with the guidelines or provide the information in any other format that appropriately conveys the necessary information.
 - Get the report back from the evaluator. *
 - Make sure the Report has the case number on it.
 - Present the Report plus two copies to the filing counter at least five (5) days before the scheduled date of the hearing. The Clerk of Superior Court will date-stamp them all, file one as the original, and return the others to you.
 - To keep the Report out of the public record, see "Special Handling for Confidential Documents", (PB13h) for information on filing as a "Confidential Document".
 - Get the date-stamped copies back from the Clerk of Superior Court, and
 1. Keep one to bring to court with you and keep for your records, and
 2. Deliver one to the attorney appointed in in Step 8 above.

* Due to concerns about federal patient privacy regulations some medical professionals may not be willing to turn the report over to you since your appointment as conservator or guardian is not yet final. If this is the case, the physician or other evaluator may file the report at or mail it to the Clerk of Superior Court at any of the locations listed in Step 2 above (even though the instructions on the Guidelines say "Please do not file your report with the Clerk of Superior Court").

If filing in person, do so at least five (5) days before the date of the scheduled hearing.
If mailing, it is recommended that the papers be posted at least 10 days before the hearing.

Read this:

After Giving Notice To All Interested Persons:

- Complete the "Declaration of Notice" stating how and when you gave notice.
- Make two (2) copies of the:
 - Notice of Hearing
 - Waiver of Notice (If any)
 - Declaration of Notice Provided
 - Order Appointing Attorney, Health Professional, Court Investigator
- If filing in-person, do so at least 5 days before the hearing.
- If you file the documents before the hearing, the Clerk of Superior Court will stamp and keep one set, and *return the copies* for you to bring with you to the hearing.
- If you are mailing these documents to the court:
 - Make a copy before mailing to keep and bring to the hearing;
 - It is recommended that you post them 10 full days before the hearing.
 - The Probate Clerk will file the originals for you and deliver the copies to the Judicial Officer assigned to the hearing.
 - Remember to bring your copies of the documents to the hearing.

Important: Conservators must complete court-approved training before permanent appointment!
See "Notice Regarding Training Requirements".

SPECIAL HANDLING for

CONFIDENTIAL DOCUMENTS*

DOCUMENTS DEFINED OR DESIGNATED AS “CONFIDENTIAL DOCUMENTS” SHALL BE SUBMITTED TO THE CLERK IN SEPARATE, UN-SEALED (9”x12”) ENVELOPES.*

The following documents are defined as “Confidential”:

- Medical Reports and Records
- Inventories and Appraisements
- Accountings
- Credit Reports
- Any other document ordered by the court to be “confidential”.

A separate envelope is required for *each* confidential document and
THE FOLLOWING INFORMATION MUST APPEAR ON THE OUTSIDE OF EACH ENVELOPE:

1. **Case Name and Number** (“In the Matter of xxxxx” and “2009xxxxxx”),
2. **Name of the document** (“Annual Accounting”, “Annual Report”, “Medical Records”. etc.)
3. **Name of the party filing the document**, and
4. the words “**Confidential Document**”

“CONFIDENTIAL INFORMATION” in Non-CONFIDENTIAL DOCUMENTS*

DOCUMENTS NOT LABELED AND SUBMITTED AS “CONFIDENTIAL” SHOULD NOT CONTAIN CONFIDENTIAL INFORMATION,* *such as*:

- the **Social Security Number** of a living person, and/or
- any **financial account numbers**, including those for credit card, bank and **brokerage accounts, insurance policy and annuity contract numbers**, etc. as well, *unless only the last 4 digits are displayed*.

The Court may order (or you may *request* that the Court order) that:

1. a document containing confidential information be filed as “a confidential document”,
or
2. confidential information contained in a non-confidential document be *redacted* (covered up or hidden).

*Rule 7, Arizona Rules of Probate Procedure

HELPFUL INFORMATION ON LEGAL NOTICE FOR GUARDIANSHIPS AND CONSERVATORSHIPS

1. WHAT IS “LEGAL NOTICE TO ALL INTERESTED PERSONS”?

After you have filled out and filed the guardianship and/or conservatorship petition and other documents with the Court, you must inform all “interested persons” of what you have filed and what you have asked the court to do. **Interested persons** are people (or agencies) who have a legal right to be notified of court actions that may affect the person said to need the guardian or conservator.

A. WHAT COURT DOCUMENTS AM I REQUIRED TO GIVE NOTICE OF? Copies of which documents have to be delivered according to law?

1. The “**Petition**” explains what you want the court to do and why.
2. The “**Affidavit of Person to be Appointed**” contains information about the person who is to serve as guardian or conservator.
3. The “**Notice of Hearing**” lists the time, date, and location of the court hearing and the name of the Judicial Officer assigned to hear the case.

After notice has been served to all those entitled to receive it and in a manner required or permitted by law, you must then fill out and file a **DECLARATION OF NOTICE PROVIDED** (see section C, below) to tell the Court **who** you gave notice to, **how** notice was given, **what** documents were provided, and when.

B. HOW AM I ALLOWED OR REQUIRED TO GIVE LEGAL NOTICE?

1. **Personal Service** (delivery by sheriff, private process server, or recipient signs an “ACCEPTANCE OF SERVICE”)
2. **Mail or Hand-Delivery** (not always permitted)
3. **Publication** (run a legal notice advertisement. This MAY be permitted if after all reasonable efforts you still cannot find the person or his or her address)

Personal Service requires that a registered process server or the sheriff serves the documents on the interested persons **or** that those persons voluntarily sign an **ACCEPTANCE OF SERVICE** form in the presence of a Notary Public or Deputy Clerk of Court. Personal service is NOT required in all cases. When personal service is required, it means the law is written to make sure that a person who needs notice of a case **gets** the notice. For more detailed information on *personal service*, refer to #4 below.

Mail and Hand-Delivery are less formal methods of giving notice, but are not permitted in all cases. When you are permitted to give notice by mail, 1st class postage-prepaid mail is usually acceptable to the court. Certified mail with return- receipt is an optional extra step you can take to prove delivery. Make sure you are allowed to use mail or hand-delivery in the type of case you are involved in, and for any particular persons you want to give notice to by these methods. See **3C** below for more information.

Publication of Notice is used when you do not know the address of the person to whom you need to give notice, and after you have done everything you could to try to find the person you are still unable to come up with an address. Notice is then published **at least 3 times** in a newspaper in the county where the court hearing is held.

WARNING! If the Court is not satisfied that you have made every reasonable effort to find an address and have the papers personally delivered, you may be required to take additional steps adding delay and expense to your case, and then have to *publish again*.

For more detailed information on Service by Publication, review the “**Procedures: How to Serve Legal Papers by Publication**”, which is in the #2 “**SERVICE**” packet.

C. HOW DO I SHOW THE COURT THAT I GAVE NOTICE?

- **Fill out and file a DECLARATION OF NOTICE PROVIDED** form with the court to show who you gave notice to, when, and how. Fill out this form **after** the documents have been delivered or you have otherwise served notice on all interested persons.
- **Submit other documents required to support the DECLARATION OF NOTICE PROVIDED. Depending on method(s) of service** (how Notice was given), **this may include one or more of the following:** (an)
 1. **Acceptance of Service** signed by the person receiving notice,
 2. **Affidavit of Publication** supplied by the newspaper if serving by publication,
 3. **Affidavit of Service** signed by the process server or sheriff.

D. WHEN CAN I SKIP GIVING LEGAL NOTICE?

1. **When a person entitled or required to receive notice signs a WAIVER** giving up the right to receive notice of court filings and proceedings in this matter. Please note: If an incapacitated *adult* for whom the guardian or conservator is to be appointed signs a Waiver, he or she must attend the hearing for service to be valid.
2. **When the person to receive notice is present at the hearing and will accept service.** Only rely on this method if you are **absolutely** certain the person will be at the hearing and will accept service.

2. WHEN MUST LEGAL NOTICE BE GIVEN? WHAT TIME FRAMES?

Generally, you must give **all** interested persons notice of the court papers **at least 14 days before the hearing**. If you are giving NOTICE BY PUBLICATION, *the date of the first publication* must be **at least 14 days before the hearing**.

Note: The newspaper will provide an **AFFIDAVIT OF PUBLICATION** after all 3 notices have been published to show proof that the ad has run.

3. WHO ARE “INTERESTED PERSONS”?

According to Arizona law (A.R.S. § 14-5309 AND 14-5405) notice must be given to:

- A. **THE PERSON TO BE PROTECTED** (incapacitated adult or a minor): **Personally serve the adult** (or a minor aged 14 or over) **said to need the guardian/conservator.**

Neither **ACCEPTANCE OF SERVICE** nor **WAIVER OF NOTICE** by the person said to need a guardian or conservator is legal **unless** he or she **also attends the court hearing.**

- B. **THE PARENTS AND SPOUSE** (if applicable) **of the person to be protected:**

1. **Personally serve the spouse and parents if they are in Arizona;**
2. **Serve by mail or hand-delivery if not in Arizona; or**
3. **Serve by publication if you do not know and cannot find the address *after all reasonable efforts.* You will have to describe those efforts to the court.**

- C. **OTHERS:** You may give notice by mail, hand-delivery or publication to:

1. **Any adult children of the person to be protected;**
2. **Any person who is serving as the guardian or conservator or who has the care and custody of the person to be protected;***
3. **If the person to be protected has no parent or spouse or adult children, then to the closest adult relative, *if any can be found,* AND**
4. **Any person who has filed a “DEMAND FOR NOTICE” with the Court.***

* This may also include *agencies* such as Adult Protective Services or the VA.

4. **THE METHODS OF PERSONAL SERVICE:**

PLEASE NOTE: “PERSONAL SERVICE” DOES NOT MEAN THAT YOU PERSONALLY HAND-DELIVER THE PAPERS*

*though you **MAY** be able to do that **if** the person receiving them is willing to voluntarily sign an **ACCEPTANCE OF SERVICE** as described below.

- A. **ACCEPTANCE OF SERVICE:** This method requires that you give or mail copies of the court papers and include an “**Acceptance of Service**” form. The other party must sign the “**Acceptance**” in front of a Notary and return it to you, or file it with the court himself (herself), but it can’t be signed in advance of the date you filed the petition with the court.

Signing this form does **not** mean the person agrees; only that he or she admits receiving the papers without being served in person by a Sheriff or Process Server.

- B. **PROCESS SERVER:** You must hire and pay a Registered Process Server yourself. You may locate process servers in the commercial section of the phone book under “PROCESS SERVER”, or online by using the search term “Arizona process servers” or similar, or at the web site of the Arizona Process Servers Association at:

<http://arizonaprocessservers.org/>

- **May offer greater flexibility in serving papers “after-hours” or on short notice.**
- **Are paid directly by you, not through the court.**
- **Fees may not be deferred or waived by the court.**
- **Fees vary. Compare.**

- C. **SHERIFF:** This method requires you to contact the Sheriff's Office in the county where the person to receive notice lives to arrange for a Sheriff's deputy to serve the papers. This method requires you to pay a fee to the Sheriff's office, unless you apply for and receive a fee deferral or waiver. A deferral or waiver application is available through the Court in the county service where notice is to be delivered for persons who cannot afford the cost. The Application will require you to explain **why** your circumstances call for service by sheriff.

5. **HOW DO I LET THE COURT KNOW NOTICE HAS BEEN GIVEN?**

You will be filing the "**Declaration of Notice Provided**" form and supporting documents referred to immediately above and in section "1.C." on page 2 of this document to inform the court of who you gave notice to, when, and how.

6. **WHAT ELSE TO KNOW ABOUT LEGAL NOTICE:**

A. **AFTER "INTERESTED PERSONS" RECEIVE NOTICE, THEY MAY:**

1. **Do nothing**, if they agree with, or at least do not want to file papers or show up in court to disagree with your request, **OR**
2. **File a Response**, *if* they want to:
 - **Object to what the Court has been asked to order,**
 - **Disagree with something stated in the Petition or other court papers, or**
 - **Tell the Judge/Commissioner something besides what is in the Petition.**

Filing a Response requires payment of a filing fee, unless *deferred* (granted a payment plan). If the Response is written, copies must be delivered to all the interested parties. The Self-Service Center has a packet titled "**Guardianship and/or Conservatorship: To Object to a Court Proceeding**" with court forms and instructions to file a response.

- B. **AFTER "NOTICE" COMES THE HEARING.*** Carefully read and follow the directions on the applicable instruction and procedure documents in the #2 **SERVICE** packet to properly serve notice and to then file your proof of service with the Court. See Self-Service Center packet #3, "**Preparing for and Attending the Court Hearing**" for court forms and instructions on how to complete the forms you will need to bring with you to the hearing and helpful information on how to otherwise prepare.

***IMPORTANT: BEFORE THE HEARING** the proposed guardian or conservator, if not a state-licensed fiduciary, must complete court-approved training. See "**Important Notice Regarding Training Requirements**" in this packet.

- C. **OTHER HELP:** Court employees can answer questions about court procedures but only an attorney can give legal advice. The Self-Service Center has a list of lawyers whom you can hire to advise you on how to handle your case yourself, or to help you on a task-by-task basis for a fee.

IMPORTANT NOTICE

TRAINING REQUIREMENTS

Effective September 1, 2012

The Arizona Supreme Court requires that any person who is not a state-licensed fiduciary (or a financial institution) must complete a training program approved by the Supreme Court **before** Letters of Appointment to serve as a guardian, conservator, or personal representative can be issued by the Clerk of the Court, or within 30 days of a temporary or emergency appointment.

TRAINING *SHOULD BE COMPLETED BEFORE* THE COURT HEARING
Additional time may be granted for good reason.

You may access and complete the training FREE online at:
www.azcourts.gov/probate/Training.aspx

Go to the section for “**Non-licensed Fiduciaries**” and click on the link to access a narrated slide-show presentation of the materials applicable to your situation.

You may also pick up a printout of the training materials in English or Spanish from the Self-Service Center. AFTER reviewing the materials, you will need to inform the Court that you have completed the training by filing either the Certificate available at the end of the online training and at the Law Library Self-Service Center. If you have questions about the training, contact the Law Library at 928-817-4165.

CONSERVATOR

For an Adult

1

**OR a person at least 17.5 years old,
to become effective at age 18**

Part 1: Preparing the First Court Papers

(Forms)

APPOINTMENT OF CONSERVATOR FOR AN ADULT (or person at least 17.5 years of age)

CHECKLIST

You may use the forms and instructions in this packet if . . .

- ✓ You want the court to appoint a conservator for an incapacitated adult, **or** for a person who is at least 17 and a half years of age who will need a conservator as an adult, AND
- ✓ A conservator will be needed for *longer than 6* months (See separate “**Temporary Orders**” packet if need for conservator expected to be 6 months or less), AND
- ✓ The person who needs the conservator lives or owns property in Yuma County, AND
- ✓ You know that the court does **not** need to also (or instead) appoint a *guardian*.*

A CONSERVATOR IS GENERALLY NEEDED:

- Because the person for whom the conservator is to be appointed has income or property which will be wasted or used up unless proper management is provided; funds are needed for his or her support, or the funds are needed for the support of persons legally entitled to support *from* the person said to need the conservator.

***A GUARDIAN IS GENERALLY NEEDED:**

- Because the person for whom the guardian is to be appointed is physically or mentally unable to take care of all of his or her own needs and requires someone legally authorized and responsible for acting in his or her best interests.

***Note:** You may file the papers to apply for the appointment of a Guardian or Conservator **for an Adult** for a person aged at least 17 and a half that will need a Guardian or Conservator as an adult. The appointment will become effective as of his or her 18th birthday.

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

Get a permanent appointment for an adult or a person at least 17.5 years old to become effective at age 18

PART 1: Preparing the First Court Papers (Forms Only)

This packet contains court forms and instructions to file a permanent appointment for an adult or a person at least 17.5 years old to become effective at age 18. 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	Title	#pages
1	Checklist: <i>You may use these forms if . . .</i>	1
2	Table of Contents (this page)	2
3	<i>Probate Information Cover Sheet</i>	2
4	<i>Probate Information Form for Guardianship/Conservatorship</i>	3
5	<i>Petition for Permanent Appointment of Conservator for Adult</i>	6
6	<i>Affidavit of Person to be Appointed</i>	3
7	<i>Petitioner's Information Sheet to Court Investigator</i>	2
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9	(Optional) <i>Guidelines for Health Professional's Report</i> (instructions and form together) *	6
10	<i>Notice of Hearing</i>	1
11	(Optional) <i>Waiver of Notice</i> and (Optional) <i>Waiver of Servicemembers Civil Relief Act</i>	4
12	<i>Conservatorship Training Manual</i>	15
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* In matters of conservatorship, unless specifically ordered by the Court, appointment of a physician or other health professional to evaluate the physical and/or mental health of the person to be protected is optional if no request for guardianship is involved.

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.

Do not
or file this page

SUPERIOR COURT OF ARIZONA
IN YUMA COUNTY

FOR CLERK'S USE ONLY

PROBATE COVER SHEET

Case Number: _____

A person needing a guardian or conservator is the “ward.” A person who died is the “decedent.”

Name(s) of the Ward(s), Decedent(s), Trust(s), or Individual(s):

1. _____
2. _____
3. _____
4. _____

The person who is filing this case is the “petitioner.”

Name(s), Address(es), Telephone Number(s), and Email Address(es) of the Petitioner(s):

1. _____
2. _____
3. _____
4. _____

Information About Petitioner's Attorney: ☐ Petitioner is not represented by an attorney, or

Name: _____ BAR #: _____

Telephone: _____ Email: _____

☐ An Interpreter is needed for this language: _____
(List Name(s) of) Person(s) who need interpreter:

Name: _____

Name: _____

Name: _____

STAFF USE ONLY: REASON FEES NOT PAID: ☐ Government Charge ☐ Deferred ☐ Waived

NATURE OF ACTION: Place an "X" next to number which describes the nature of the case. Check only one.

200 ESTATE

- ☐ 201 Formal Appointment of Personal Representative
- ☐ 202 Informal Appointment of Personal Representative
- ☐ 203 Ancillary Administration
- ☐ 204 Affidavit of Succession to Realty
- ☐ 205 Trust Administration
- ☐ 206 Formal Probate of Will
- ☐ 207 Informal Probate of Will
- ☐ 208 Proof of Authority
- ☐ 210 Other _____
Specify
- ☐ 211 Single Transaction/Limited Conservatorship
- ☐ 213 Request for Death Certificate

220 CONSERVATOR

- ☐ 221 Minor
- ☐ 222 Adult Incapacitated Person

230 GUARDIANSHIP

- ☐ 231 Minor
- ☐ 232 Adult (including those with Dementia, Alzheimer's)
- ☐ 233 Adult Requiring Inpatient Psychiatric Treatment

240 GUARDIANSHIP-CONSERVATOR COMBINATION

- ☐ 241 Minor
- ☐ 242 Adult (including those with Dementia, Alzheimer's)
- ☐ 243 Adult Requiring Inpatient Psychiatric Treatment

Today's Date: _____

Signature of Petitioner or Petitioner's Attorney

Notice: Submit this form with new cases only. If there is already a (Yuma County) Probate Court case number and you are filing in an existing Superior Court case in Yuma County, do not submit this form.

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 _____

SUPERIOR COURT OF ARIZONA YUMA COUNTY

In the Matter of:

Case Number: _____

Ward/Protected Person's Name, an Adult.

PROBATE INFORMATION FORM for GUARDIANSHIP/CONSERVATORSHIP

☐ **Updated** (Check this box if this is an updated form.)

INSTRUCTIONS:

1. Complete this form to the best of your knowledge and ability and then file it with your application or petition.
2. If you later learn of additional information that you omitted or if you later learn that any information in this form is incorrect, you must file an updated probate information form.
3. For purposes of this form, "Financial Institution" means a national banking association, a holder of a banking permit under Arizona law, a savings and loan association authorized to conduct trust business in Arizona, a title insurance company qualified to do business in Arizona, or a trust company holding a certificate to engage in trust business from the superintendent of financial institutions.
4. Items designated with an asterisk (*) constitute "contact information" under Rule 13, Arizona Rules of Probate Procedure. If contact information changes, you must file a notice of change of contact information.
5. This form is filed as a confidential document, so it is *not* available to the general public. In addition, you are *not* required to provide anyone with this form other than the court.

A. INFORMATION ABOUT THE NOMINATED GUARDIAN (if applicable):

Name: _____

Is this person or entity an Arizona Licensed Fiduciary? ☐ Yes ☐ No

If Yes, write that person or entity's Licensed Fiduciary Number on the line below:

Mailing Address:* _____

Physical Address:* _____

Work Telephone Number:* _____

Email Address:* _____

If the nominated guardian is an Arizona Licensed Fiduciary or a Financial Institution, proceed to section **B** below. Otherwise, complete the remainder of section **A**.

Home Telephone Number:* _____

Cellular Phone Number:* _____

Date of Birth: _____ Social Security Number: _____

Race: _____ Height: _____ Weight: _____

Eye Color: _____ Hair Color: _____ Sex: _____

B. INFORMATION ABOUT THE NOMINATED CONSERVATOR (If applicable or if different from **A**):

Name: _____

Is this person or entity an Arizona Licensed Fiduciary? ☐ Yes ☐ No

If Yes, write that person or entity's Licensed Fiduciary Number on the line below:

Mailing Address:* _____

Physical Address:* _____

Work Telephone Number:* _____

Email Address:* _____

If the nominated conservator is an Arizona Licensed Fiduciary or a Financial Institution, proceed to section **C** below. Otherwise, complete the remainder of section **B**.

Home Telephone Number:* _____

Cellular Phone Number:* _____

Date of Birth: _____ Social Security Number: _____

Race: _____ Height: _____ Weight: _____

Eye Color: _____ Hair Color: _____ Sex: _____

C. INFORMATION ABOUT THE PERSON WHO NEEDS A GUARDIAN OR CONSERVATOR:

Name: _____

Mailing Address:* _____

Physical Address:* _____

Work Telephone Number:* _____

Email Address:* _____

Home Telephone Number:* _____

Cellular Phone Number:* _____

Date of Birth: _____ Social Security Number: _____

Race: _____ Height: _____ Weight: _____

Eye Color: _____ Hair Color: _____ Sex: _____

I, _____ (your name), under the penalty of perjury, do hereby swear that the foregoing information is true and correct to the best of my knowledge and belief.

Date

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 YUMA COUNTY

In the Matter of the Conservatorship of:

Case Number: _____

PETITION FOR PERMANENT APPOINTMENT OF CONSERVATOR FOR AN ADULT, or

Name of Person to be Protected

☐ a Minor at least 17.5 years of age,
to become effective at age 18

UNDER OATH OR BY AFFIRMATION:

INFORMATION REQUIRED BY ARIZONA LAW (A.R.S. § 14-5404)

1. INFORMATION ABOUT THE PETITIONER (the person filing this petition)

(My) Name: _____
Address: _____
Telephone: _____ Date of Birth: _____
My interest in or relationship to the person to be protected is: _____

(examples: mother, father, sister, brother, grandparent, legal guardian)

2. INFORMATION ABOUT THE PERSON TO BE PROTECTED (also known as "*the proposed protected person*" or "*the ward*")

Name: _____
Address: _____
Telephone: _____ Date of Birth: _____

3. INFORMATION ABOUT THE PROPOSED CONSERVATOR: (Complete this **only** if proposed conservator is **not** the Petitioner.)

Name: _____

Address: _____

Telephone: _____ Date of Birth: _____

Relationship to the person to be protected is: _____

(examples: mother, father, sister, brother, grandparent, legal guardian)

The proposed conservator named above has priority for appointment under Arizona law A.R.S. § 14-5410, because he or she is:

- ☐ (Already) A conservator, guardian of property or other similar fiduciary appointed or recognized by the appropriate court of *any other jurisdiction* in which the person to be protected resides.
- ☐ An individual or corporation nominated by the protected person if the protected person is at least fourteen years of age and has, in the opinion of the court, sufficient mental capacity to make an intelligent choice.
- ☐ The person nominated to serve as conservator in the protected person's most recent durable power of attorney.
- ☐ The spouse of the protected person.
- ☐ An adult child of the protected person.
- ☐ A parent of the protected person, or a person nominated by the will of a deceased parent.
- ☐ Any relative of the protected person with whom the protected person has resided for more than six months before the filing of the petition.
- ☐ The nominee of a person who is caring for or paying benefits to the protected person.
- ☐ If the protected person is a veteran, the spouse of a veteran or the minor child of a veteran, the department of veterans' services.
- ☐ A fiduciary who is licensed pursuant to Arizona law, A.R.S. § 14-5651, other than a public fiduciary.
- ☐ A public fiduciary who is licensed pursuant to Arizona law **A.R.S. § 14-5651**.
- ☐ **OTHER. Explain:** _____

4. INFORMATION ABOUT OTHER CONSERVATOR OR GUARDIAN:

To the best of my knowledge: (Check one box.)

☐ No Guardian or Conservator has been appointed in any other court, and no court proceedings are pending for such appointment;

OR

☐ Someone *has* been appointed Guardian and/or Conservator, *or* court proceedings are pending. (If "yes", provide details below.)

Name: _____

Address: _____

Telephone: _____ Date of Birth: _____

Relationship to the person to be protected is: _____

Was appointed ☐ GUARDIAN ☐ CONSERVATOR for the ward named in #2 above in:

Name of Court: _____ Located in: _____

City and State: _____

Date Appointed: _____ Other Details: _____

☐ To my knowledge **there are no other court cases** concerning the person to be protected,

OR

☐ There **are** or **have been** other court cases involving the ward. (If other court cases of **any** type, including "*custody*" matters", describe below, including name of court, location, type of case, date).

☐ Information about *additional* court cases involving the ward are listed on attachment titled "Additional Cases" made part of this document by this reference.

5. INFORMATION ABOUT NEAREST RELATIVE:

(Check one or both. If the nearest relative is neither the petitioner nor the proposed conservator, explain.)

The nearest known relative is ☐ the petitioner ☐ the proposed conservator. (If "not", explain)

Name: _____

Address: _____

Telephone: _____

Relationship to the person to be protected is: _____

6. ASSETS OF THE PROPOSED PROTECTED PERSON ("the ward"): (Check one box)

☐ The ward has no substantial assets or income. No bond is required;

OR

☐ The ward has assets and/or annual income in the approximate amount of

\$ _____ List/Describe: _____

7. REASONS FOR CONSERVATORSHIP: The person to be protected needs a Conservator because he or she has property which will be wasted or used up unless proper management is provided, **AND**

(Check one or both boxes that apply):

☐ He or she needs funds for his or her support, care and welfare;

☐ Funds are needed for the support, care and welfare of others who are entitled to receive support **from** the protected person.

8. REASONS PERSON CANNOT MANAGE HIS or HER PROPERTY: (Check all that apply):

☐ Mental illness, mental deficiency, or mental disorder

☐ Physical illness or disability

☐ Chronic use of drugs

☐ Chronic intoxication

☐ Confinement

☐ Detention by a foreign power

☐ Disappearance

9. APPOINTMENT OF AN ATTORNEY: (The court cannot establish a conservatorship for an adult unless that person is represented by a lawyer appointed by the Court. See the instructions for information on **how** to get a lawyer appointed.) (Check one box only and fill in the information requested):

☐ The person I say needs a conservator **already has** an attorney who will represent him/her in court about this conservatorship:

NAME OF ATTORNEY: _____

ADDRESS: _____

TELEPHONE: _____ **Bar #** _____

The prior relationship (if any) between the attorney and the Petitioner **or the ward** consists of:

10. INFORMATION FOR APPOINTMENT OF A HEALTH PROFESSIONAL:

(Optional, unless ordered by the Court or you request it in matters of conservatorship)

I have the name, address, and telephone number of an authorized health professional (A.R.S. § 14-5303 (C)), a **physician, registered nurse, or psychologist**, who will examine the person I say needs protection and whose written report I will file with the court:

☐ Yes or ☐ No

11. REQUIRED STATEMENTS TO THE COURT, UNDER OATH OR AFFIRMATION:

(Check the box for each TRUE statement. If any of these statements are not true, do NOT file this Petition unless you have been directed to do so by an attorney licensed to practice in Arizona.)

- ☐ TRUE **Venue** (the court in which you are filing this Petition) is proper in this county because the person who is said to need a conservatorship lives in or is present in this county, or the person to be protected has assets in this county.
- ☐ TRUE The person who is requesting to be the conservator has completed the required document called **Affidavit of Person to be Appointed as Conservator for an Adult** and is filing that Affidavit with this Petition as required by Arizona law, A.R.S. § 14-5106.
- ☐ TRUE I or the person I request to be appointed in Paragraph 3 is a suitable and proper person to act as conservator and is entitled to consideration for appointment under Arizona Law, A.R.S. § 14-5106, 5311, and/or 5410.

12. PERSONS ENTITLED TO NOTICE of this matter under Arizona law **§14-5405** and to whom I will give notice of this case: (See instructions.)

	Name	Address	Relationship to the Ward
A.	_____	_____	_____
B.	_____	_____	_____
C.	_____	_____	_____
D.	_____	_____	_____

- ☐ Additional persons (or agencies) are listed on attachment (titled "Additional Parties Entitled to Notice", made part of this document by this reference.)

REQUESTS TO THE COURT: Petitioner asks the Court to:

1. Schedule a hearing to determine if a conservatorship is appropriate;
2. Appoint a lawyer to represent the proposed protected person, and if necessary, appoint a physician or other evaluator authorized by A.R.S. § 14-5303 (C), and a court investigator;
3. After Petitioner gives notice of the hearing to all entitled or required by law to receive notice, hold a hearing to determine if the Court should order a conservatorship;
4. Make a finding that the person needs protection under law including a conservator;
5. Appoint a conservator for the proposed protected person;
6. Make any other orders the Court decides are in the best interests of the person to be protected.

UNDER OATH OR AFFIRMATION

I swear or affirm under penalty of perjury that the contents of this document are true and correct to the best of my knowledge and belief.

Date

Petitioner's Signature

Printed Name

STATE OF _____

COUNTY OF _____

Subscribed and sworn to or affirmed before me this: _____ by
(date)

_____.

(Notary seal)

Deputy Clerk or Notary Public

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 YUMA COUNTY

In the Matter of the
Guardianship and/or Conservatorship of:

Case Number: _____

AFFIDAVIT OF PERSON TO BE APPOINTED GUARDIAN OR CONSERVATOR A.R.S. § 14-5106

☐ an Adult or ☐ a Minor

INSTRUCTIONS: As required by Arizona law A.R.S. § 14-5106, indicate whether statements 1-11 below are true or false, and provide the information requested to complete "12" and "13". Explain any "false" statements on separate page(s) and attach to this document before filing. Sign the document in the presence of a Clerk of the Court or a Notary Public, and file along with the ***Petition for Appointment of Guardian and/or Conservator***.

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM:

1. ☐ True or ☐ False. I have not been convicted of a felony in any jurisdiction.
2. ☐ True or ☐ False. I have not acted as a guardian or conservator for another person for at least three years before I filed this Petition.
3. ☐ True or ☐ False. I know and understand the powers and duties I would have as a guardian and/or conservator.
4. ☐ True or ☐ False. I have not had a power of attorney for anyone for at least three years before I filed this Petition.
5. ☐ True or ☐ False. To the best of my knowledge, neither I nor any business in which I have an interest is listed in the Elder Abuse Registry at the Office of the Arizona Attorney General.
6. ☐ True or ☐ False. If I have been a guardian/conservator before, I either filed the required documents on time, or within 3 months of receiving a notice from the court that the report/accounting was due.
7. ☐ True or ☐ False. I have never been removed by the court as a guardian or conservator.

8. ☐ True or ☐ False. Neither I nor any business in which I have an interest has ever received anything of value greater than a total of one hundred dollars in any one year by gift, or will, or inheritance from an individual or the estate of an individual to whom I was not related by blood or marriage and for whom I served at any time as guardian, conservator, trustee, or attorney-in-fact.
9. ☐ True or ☐ False. To the best of my knowledge, neither I nor any business in which I have an interest is named as a personal representative, trustee, devisee (beneficiary of a will), or other type of beneficiary for any individual to whom I am not related by blood or marriage and for whom I have ever served as guardian, conservator, trustee, or attorney-in-fact.
10. ☐ True or ☐ False. I have no interest in any business that provides housing, health care, nursing care, residential care, assisted living, home health services, or comfort care services to any individual.

(Explain every "false" above on separate page(s) and attach to this document before filing.)

11. **My relationship to the proposed person in need of protection is:**
(Examples: parent/grandparent/sister/caregiver/friend)

12. **I met the proposed ward under the following circumstances:**

OATH OR AFFIRMATION OF THE PERSON TO BE APPOINTED GUARDIAN AND/OR CONSERVATOR

I swear or affirm that I have read and understand the contents of this document, and that the information I have provided is true and correct to the best of my knowledge and belief.

Date

Signature

Printed Name

STATE OF _____

COUNTY OF _____

Subscribed and sworn to or affirmed before me this: _____ by
(date)

_____.

(notary seal)

Deputy Clerk or Notary Public

NOTE: IF YOU ANSWERED "FALSE" TO ANY QUESTION ABOVE, YOU MUST ATTACH AN EXPLANATION AS INSTRUCTED ON THE NEXT PAGE.
The page following is an instruction page only. Do NOT file it with the Court.

**EXPLANATIONS THAT MUST BE ADDED TO THE AFFIDAVIT OF A PERSON
WHO WANTS TO BE APPOINTED GUARDIAN OR CONSERVATOR**
(Required by Arizona Law: A.R.S. § 14-5106)

For any corresponding numbered statement on the Affidavit which you marked "False", ***explain the following*** on a separate page or pages and attach to your Affidavit. The information provided in the attachment is covered by the same oath or affirmation and penalty of perjury as the Affidavit.

FILE THE EXPLANATIONS WITH THE AFFIDAVIT, BUT DO NOT FILE THIS PAGE.

1. As to each felony for which you have been convicted, list:
 - a. The nature of the offense.
 - b. The name and address of the sentencing court.
 - c. The case number.
 - d. The date of conviction.
 - e. The terms of the sentence.
 - f. The name and telephone number of any current probation or parole officer.
 - g. The reasons why the conviction should not disqualify you from appointment.
2. If you have acted as guardian or conservator within three years before filing this petition, list:
 - a. The names of individuals for whom you are currently serving, and court case numbers.
 - b. The names of individuals for whom your appointment has been terminated within the three-year period, and the court case number.
3. State the total number of persons for whom you have served as a guardian or conservator. If you have acted under a power of attorney for the proposed ward/protected person, explain:
 - a. The date the power of attorney was signed.
 - b. The place where it was signed.
 - c. The actions you have taken pursuant to the power of attorney.
 - d. Whether the power of attorney is currently in effect.
4. If you do not have the required information, please explain how you intend to obtain this information.
5. State the reason for such listing on Elder Abuse Registry and the name of any business in which you have an interest that is listed on the Registry.
6. List the name and location of the court and the name and case number of the files in which you were delinquent in filing the required report.
7. List the name and location of the court, the name and case number of each file, and the circumstances of your removal.
8. State the number of occasions on which you and/or any business in which you have an interest received such gifts, list and describe the gifts, the dates received, and list the value of each.
9. State the number of occasions on which you or any business in which you have an interest have been named as a personal representative, trustee, or other type beneficiary listed.
10. List the name and address of each business and the extent and nature of your interest.

DO NOT FILE THIS SHEET
WITH THE CLERK'S OFFICE
INSTRUCTION SHEET ONLY

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

Representing ☐ Self, without a Lawyer ☐ Petitioner OR ☐ Respondent

☐ Interpreter Required

FOR CLERK'S USE ONLY

PETITIONER'S INFORMATION SHEET TO COURT INVESTIGATOR

Instructions to Petitioner: You must complete this form and send it to Court Administration. This information will assist the Court Investigator in scheduling and conducting an appointment with ***the proposed ward***, the person for whom a guardian and/or a conservator is said to be needed. **Incomplete or inaccurate information may cause the Court hearing on your Petition to be delayed.**

Your Case Number: _____

1. INFORMATION ABOUT THE PROPOSED WARD (the person said to need guardian or conservator):

Name: _____ Telephone: _____

Present Address: _____

Permanent Address: (if different) _____

Email Address: _____

Language person speaks: _____

Information about communication barriers: _____

PRIMARY WEEKDAY LOCATION

Monday-Friday, 8:00 A.M. TO 5:00 P.M., the Ward can usually be found at: (List full address below)

--

2. INFORMATION ABOUT THE PROPOSED GUARDIAN AND/OR CONSERVATOR:

	Petitioner	Co-Petitioner
Name:		
Address:		
City, State, Zip Code:		
Home Telephone:		
Work Telephone:		
Email Address:		

Race:		
Height:		
Weight:		
Color of Hair:		
Color of Eyes:		
Relationship to Ward:		

3. INFORMATION ABOUT THE COURT-APPOINTED PHYSICIAN (or other authorized evaluator):

Name:		Telephone:	
Address:			
If <u>not</u> a <i>physician</i> , the evaluator is a <input type="checkbox"/> Registered Nurse <input type="checkbox"/> Psychologist <input type="checkbox"/> Psychiatrist			
Email Address:			

4. INFORMATION ABOUT PETITIONER'S ATTORNEY:

Name:		Telephone:	
Address:			
Email Address:			

5. INFORMATION ABOUT CO-PETITIONER'S ATTORNEY:

Name:		Telephone:	
Address:			
Email Address:			

For Court Use Only:

Date and Time of Hearing: _____

Commissioner: _____

Person Filing: (A) _____

Address (if not protected): _____

City, State, Zip Code: _____

Telephone: _____

Email Address: _____

Lawyer's Bar Number: _____

Licensed Fiduciary Number: _____

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

FOR CLERK'S USE ONLY

SUPERIOR COURT OF ARIZONA IN YUMA COUNTY

In the matter of
Guardianship and/or Conservatorship for:

Case Number: _____

ORDER APPOINTING

- ☐ ATTORNEY,
☐ HEALTH PROFESSIONAL,* and
☐ COURT INVESTIGATOR
regarding Petition for: (check one or both)
☐ GUARDIANSHIP
☐ CONSERVATORSHIP

*a physician or other medical professional
authorized by A.R.S. § 14-5303 (C)*

☐ Name of Adult, or ☐ Minor Needing Protection

1. **Scheduled hearing:** A sworn Petition for Appointment of a Guardian and/or Conservator was filed and this court has scheduled a hearing to determine the merits of the Petition as follows:

Date and Time: _____

Location: _____

Judicial Officer: _____

2. **Attorney appointment:** An attorney is appointed to represent the person by appearing at the hearing:

NAME: _____ TELEPHONE _____

ADDRESS: _____

Counsel shall adhere to the Court's "Guidelines for Appointed Counsel".

Case No. _____

Case Number: _____

3. Health professional appointment and report: A physician or other medical professional authorized by Arizona law A.R.S. §14-5303(C) is appointed to examine the proposed ward and to prepare a written report about his or her physical and mental condition:

NAME: _____ TELEPHONE _____

ADDRESS: _____

The appointee, if other than a medical doctor, is a:

☐ Psychologist

☐ Registered Nurse (R.N.)

4. Court investigator: An investigator from the court shall visit the proposed ward and submit a written report to the Clerk of Superior Court, Probate Registrar at least ten business days before the hearing date and shall give a copy of the report to the Petitioner or his or her attorney and to the attorney for the proposed ward.

5. Other orders to petitioner:

- A. Within 24 hours from the date of this order, Petitioner must mail or deliver to the Court-appointed attorney named in "2" above, copies of:

1. The Petition for Permanent Appointment and all related court paperwork,
2. Any health professional's reports in his or her possession, and
3. Any Orders of the court.

- B. If an "Evaluator" is named in "3" above, no later than 10 business days before the hearing, Petitioner must:

1. File the original of the health professional's Report with the Clerk of Superior Court, Probate Registrar;
2. Mail or hand-deliver a copy of the Report to the:
 - a. Attorney named in paragraph 2,
 - b. Offices of the Judicial Officer named in paragraph 1, and
 - c. Court Investigator

- C. Other: _____

Done in open Court: _____

Judge/Commissioner

GUIDELINES FOR HEALTH PROFESSIONAL'S REPORT

FOR CLERK'S USE ONLY

INSTRUCTIONS TO PETITIONER: Fill in the information below and give this document to the physician, registered nurse, or psychologist appointed by the Court to evaluate the health of the person said to need protection immediately after the “**ORDER APPOINTING** (Attorney, Health Professional, and Court Investigator)” is signed. The complete written report should be given to everyone listed in the “**ORDER APPOINTING**” no later than **10 days before** the scheduled hearing.

COURT CASE NUMBER: _____

NAME OF EVALUATOR: _____

EVALUATOR'S PROFESSION:

☐ Physician ☐ Registered Nurse ☐ Psychologist

NAME OF PATIENT (subject of this evaluation): _____

(Person said to need guardian)

NAME OF PETITIONER: _____

PETITIONER'S TELEPHONE NUMBER: _____

DATE AND TIME OF COURT HEARING: _____

INSTRUCTIONS TO PHYSICIAN OR OTHER EVALUATOR: A court case has been filed that asks the court to appoint a guardian for the person named as “Patient” above. Before granting such a petition, the court must decide if mental, physical, or other cause exists which requires appointment of a guardian. To make that decision, the Court needs to know what you think about:

- the person's mental and physical health, and
- whether the person needs inpatient mental health treatment, and
- whether the person's driving privileges should be suspended.

The court has developed this form to make it easier for you to prepare your report. You may submit your report using this form *or in any format you choose*, but please provide the same type of information as provided for on this form. Note that if the Petitioner is seeking authority to consent to inpatient mental health treatment this report or a separate report recommending such authority must be signed by a licensed psychologist or psychiatrist. (A.R.S. § 14-5303(C))

After you complete the report, give the original report to *the Petitioner*, who is responsible for distributing copies to the proper parties. Please do not file your report with the Clerk of the Court.

PLEASE DATE AND SIGN YOUR REPORT. The Court realizes that your time is valuable.

THANK YOU FOR YOUR TIME AND ASSISTANCE.

QUESTIONS FOR HEALTH PROFESSIONAL TO ANSWER:

Note: If not enough space on this form to answer, write in "See attached" and respond on separate page. Please re-state the question on the attachment and use same number as from this document.

1. **What is the date you last saw the patient?**
(Include date of this report if patient seen that date) _____

2. **How long have you been treating the patient?** _____

3. **Why were you asked to do this evaluation?**
 - ☐ I have been the person's physician for many years.
 - ☐ I was asked to do so by the family.
 - ☐ I was selected by an attorney.
 - ☐ My office is close to the person's residence.
 - ☐ I am a ☐ doctor, ☐ registered nurse, or ☐ psychologist, for the person's nursing home.
 - ☐ Other: _____

4. **What is your area of specialty?** _____
Are you Board Certified in this area? ☐ Yes ☐ No
In any other areas? ☐ Yes ☐ No
If "yes", list: _____

5. **Does the person you are evaluating appear to be having difficulty in any of the following areas?**

<input type="checkbox"/> Mental disorder	<input type="checkbox"/> Physical illness
<input type="checkbox"/> Chronic intoxication or drug use	<input type="checkbox"/> Cognitive abilities
<input type="checkbox"/> Anything else (explain below)	<input type="checkbox"/> Physical illness ONLY

6. **If he or she is having difficulty, please specify the nature of the illness, disorder, etc., including diagnosis:**

7. **Has the person been treated or hospitalized before for this difficulty?** ☐ Yes ☐ No
If yes, when and where?

8. Is the person able to do the following things? Please check each applicable box.

- | | |
|---|--|
| <input type="checkbox"/> Pay his or her bills | <input type="checkbox"/> Take medication appropriately |
| <input type="checkbox"/> Obtain food | <input type="checkbox"/> Provide adequate housing |
| <input type="checkbox"/> Live alone | <input type="checkbox"/> Exercise daily self-help skills |
| <input type="checkbox"/> Make appropriate judgments that will protect him or her personally, physically, or financially | |
| <input type="checkbox"/> Drive a motor vehicle. (If "yes", explain below.) | |

If you believe a *guardianship* is warranted but you believe the person to be protected is capable of and *should be permitted to drive a motor vehicle*, please explain.

9. If the person is currently on medication, please list:

10. Do you believe that the medication is affecting the person's ability to respond coherently?

☐ Yes ☐ No

11. Do you believe that the medication is affecting the person's ability to ambulate?

☐ Yes ☐ No

12. Do you believe that a "medication holiday," if possible, would help you better evaluate the person?

☐ Yes ☐ No

13. Do you believe that any changes made in the type or amount of drugs the person is receiving would noticeably affect his or her mental or physical abilities?

☐ Yes ☐ No

14. Do you believe that any further medical evaluation or treatment would benefit the person?

☐ Yes ☐ No

If so, please give your recommendation:

15. Do you think the person would benefit from other types of therapy such as counseling?

☐ Yes ☐ No If yes, describe:

Case No. _____

16. Where do you think the person should live today?

- | | |
|---|---|
| <input type="checkbox"/> At home with a companion | <input type="checkbox"/> At home with a nurse |
| <input type="checkbox"/> In a group home | <input type="checkbox"/> In a boarding home |
| <input type="checkbox"/> In a supervisory care facility | <input type="checkbox"/> In a nursing home |
| <input type="checkbox"/> In a hospital | |
| <input type="checkbox"/> In an Inpatient Psychiatric Facility for inpatient mental health treatment. Explain. | |
| <input type="checkbox"/> Other -- please explain. | |

17. Do you believe that the person's condition could improve within 6 months to a year?

☐ Yes ☐ No

18. Is there any reason for the court to review this matter again within less than one year?

☐ Yes ☐ No

19. Please make any additional comments or suggestions you think would be helpful to the court in making this decision.

MENTAL HEALTH TREATMENT ISSUES (This section must be completed if the petitioner is requesting authority for a *guardian* to consent to inpatient mental health treatment, *and if so*, this report or a separate report covering this information must be completed and signed by a licensed psychologist or psychiatrist.)

Note: *If not enough space* on this form to answer, write in "See attached" and respond on separate page. Please re-state the question on the attachment and use same number as from this document.

1. Is it the opinion of the undersigned that the patient is incapacitated as a result of a mental disorder?

☐ Yes ☐ No

2. What is the mental disorder? _____

Case No. _____

3. **Is it the opinion of the undersigned that the patient is likely to need inpatient mental health care and treatment within the next year?** ☐ **Yes** ☐ **No** (The maximum term for which authority may be granted to place a patient in an Inpatient Psychiatric Facility and treatment is one year. This authority may be renewed or extended based on the evaluation and recommendation of a licensed physician or psychologist submitted with the annual report of the guardian. **A.R.S. § 14-5312.01(P)**)

4. **In the event that the answer to #3 is “Yes”, please explain the need for, and the anticipated onset and duration of the inpatient treatment:**

5. **What kind of treatment is the patient currently receiving for this disorder?**

6. **Give a comprehensive assessment of any functional impairments of the patient.**

7. **How and to what extent do these impairments affect the patient’s ability to receive or evaluate information needed in making or communicating personal and financial decisions?**

8. **What tasks of daily living is the patient capable of performing without direction or with minimal direction?**

9. **What is the most appropriate rehabilitation plan or care plan for the patient?**

10. **What would be the least restrictive living arrangement reasonably available for the patient?**

Case No. _____

11. Is there any reason why this patient should not personally appear in court? ☐ Yes ☐ No
If "yes", please explain.

12. Please make any additional comments or suggestions you feel would be valuable to the court:

DATE REPORT PREPARED: _____

SIGNATURE

PRINTED NAME, PROFESSIONAL TITLE (MD, RN, etc.)

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 YUMA COUNTY

In the Matter of
Guardianship and/or Conservatorship for:

Case Number: _____

NOTICE OF HEARING REGARDING

(Check one box)

☐ an Adult ☐ a Minor

☐ Guardianship ☐ Conservatorship
☐ Guardianship and Conservatorship

THIS IS A LEGAL NOTICE; Your rights may be affected.

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 paper indicated below (Check the box to indicate whether the Petition was for a Permanent or Temporary appointment, and a second box to indicate whether for Guardian and Conservator, or just one):

Petition for ☐ **Permanent** ☐ **Temporary** Appointment of a ☐ **Guardian and Conservator** (or)
☐ **Guardian or** ☐ **Conservator** (only)

Affidavit of Person to be Appointed

2. **COURT HEARING.** A 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.** You are not required to respond to this Petition, but if you choose to respond, you *may* do so by filing a written response *or* by appearing in-person at the hearing. *If you choose to file a written response:*

- File the original with the Court;
- Provide a copy to the office of the Judicial Officer named above; and
- Mail a copy to all interested parties at least five (5) business days before the hearing.

If you object to any part of the Petition or Motion that accompanies this notice, you must file with the court a written objection describing the legal basis for your objection at least three (3) days before the hearing date or you must appear in person or through an attorney at the time and place set forth in the notice of hearing. There is a FEE for filing a response. If you cannot afford the fee, you may file a *Fee Deferral Application* to request a payment plan from the Court.

DATED: _____
(Month/Day/Year)

Petitioner's 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 YUMA COUNTY

In the Matter of: _____

Case Number: _____

(Optional) **WAIVER OF NOTICE and
(Optional) WAIVER OF SERVICE MEMBERS
CIVIL RELIEF ACT(SCRA) RIGHTS
regarding:**

An incapacitated or protected **Adult** or ☐ **Minor**

☐ **Guardianship**

(check one or both)

☐ **Conservatorship**

UNDER PENALTY OF PERJURY, I SWEAR OR AFFIRM:

1. **MY RELATIONSHIP** to the incapacitated or protected person named above is:

(examples: parent, grandparent, guardian) _____

2. **I HAVE RECEIVED the Petition and/or other court papers indicated below:**

(Check the box next to [only] the documents you received.)

☐ **Petition for Permanent Appointment of:** ☐ **Guardian** ☐ **Conservator**

☐ **Petition for *Temporary/Emergency* Appointment of:** ☐ **Guardian** ☐ **Conservator**

☐ **Order Appointing Attorney, Health Professional, Court Investigator**

☐ **Affidavit of Person to be Appointed** ☐ **Consent of Parent** (*only* if regarding a minor)

or ☐ Petition for Approval of Accounting ☐ Annual Report of Guardian

☐ Other: _____

3. (Optional) ☐ **I WAIVE NOTICE** of all court filings and proceedings regarding this matter.

I understand that I can reverse this waiver by filing a written document with the court under this case number declaring that I no longer waive notice of hearings and other court proceedings.

4. MILITARY STATUS

☐ I am **NOT** on active duty in the U.S. military;

OR

☐ I **AM** on active duty in the U.S. military.

If you *are* on active duty with the U.S. military, see the information on your rights under the *Servicemember's Civil Relief Act* and the optional waiver of the right to delay this court proceeding under the Act on the page following.

SERVICEMEMBER'S CIVIL RELIEF ACT (SCRA) INFORMATION AND *OPTIONAL* WAIVER

NOTE: When military duty interferes with the ability to participate in a case, the **Servicemember's Civil Relief Act (SCRA)** may permit a service member to delay or overturn a civil court proceeding. Waiving this right does **NOT** affect your right to later request a change regarding court appointment of a guardian or conservator.

It is generally advisable to consult a military legal assistance attorney before waiving any rights under the Servicemember's Civil Relief Act. If Luke Air Force Base is the military installation closest to you, you can contact the legal office at **623-856-6901**. Otherwise, contact the legal office at the nearest military installation.

IF ACTIVE DUTY MILITARY and you do not wish to delay court proceedings in this matter, check the box below to **WAIVE** any right that may apply under the SCRA to cause the court to delay.

(Optional)

☐ I **WAIVE** any right I may have under the SCRA to delay this matter.

WAIVER OF NOTICE and *(if applicable)* **SERVICEMEMBER'S CIVIL RELIEF ACT (SCRA) WAIVER**

I have read and understand this **Waiver of Notice** and the separate **Servicemember's Civil Relief Act Waiver**. I understand that I am not required to either waive notice **or** any rights that may apply under the SCRA, but **if** I have waived either notice or any rights under the SCRA as indicated above or on the preceding page, I do so voluntarily.

UNDER PENALTY OF PERJURY

I swear or affirm that I have read and understand this document and that the information I have provided is true and correct to the best of my information and belief.

Date

Signature of Person Receiving Documents

Printed Name

STATE OF _____

COUNTY OF _____

Subscribed and sworn to or affirmed before me this: _____ by
(date)

_____.

(notary seal)

Deputy Clerk or Notary Public

CONSERVATORSHIP TRAINING MANUAL



This program was developed under grant number SJI-11-E-008 from the State Justice Institute. The points of view expressed are those of the faculty and do not necessarily represent the official position or policies of the State Justice Institute.

IMPORTANT NOTICE

TRAINING REQUIREMENT

Effective September 1, 2012

The Arizona Supreme Court requires that any person who is not a state-licensed fiduciary (or a financial institution) must complete a training program approved by the Supreme Court **before** Letters of Appointment to serve as a guardian, conservator, or personal representative can be issued by the Clerk of the Court.

TRAINING SHOULD BE COMPLETED BEFORE THE COURT HEARING.

The fiduciary may for good reason request additional time to complete the training.

You may access and complete the training FREE online at:
<http://www.azcourts.gov/probate/Training.aspx>

Go to the section for “**Non-licensed Fiduciaries**” and click on the link to access a narrated slide-show presentation of the materials applicable to your situation.

AFTER reviewing the materials, you will need to inform the Court that you have completed the training by filing either the Certificate available at the end of the online training, or the Declaration of Completion form available at the end of this training manual, or from the Self-Service Center. If you have questions about the training, contact the Law Library at 928-817-4165.

Conservatorship Training Manual

After viewing the contents of this manual you will be able to:

- Discuss the role and responsibility of the conservator
- Explain what a surety bond is and why it is required
- List some best practices for managing documents and records
- Discuss the importance of understanding projected sustainability
- Describe the forms required by the court and the general timeline/order in which to submit those forms
- Summarize how substituted judgment is used when making decisions regarding the welfare of the protected person
- Recall the steps needed to take when the protected person dies

Responsibilities of a Conservator

As a conservator, your first priority is to marshal and protect the assets of the conservatorship estate. When the court tells you to marshal an asset, do you know what they mean? The court wants you to take control of the assets, on behalf and for the benefit of, the conservatorship estate. There are a number of different ways that you can do this.

➤ “Certified” Letters

One of the first things you need to do is obtain a current “certified” copy of your letters of appointment. A certified copy is a copy issued by the Clerk of the Court in the county where your letters were issued. The certified copy states that it is a true and complete copy of the original letters on file with the issuing court, and that the conservatorship is currently in effect.

➤ Surety Bonds

When you are appointed conservator, the court will also order that a surety bond be posted to cover all the assets that belong to the protected person. A bond is an insurance policy so that if the conservator misappropriates the money, invests it badly, or makes some other mistake, the ward will not suffer as a result. The price of that insurance policy can be paid from the ward’s money, but the conservator must post the bond.

The amount of the bond will ordinarily be the principal value of the ward’s property plus one year’s anticipated income. If the value of the estate changes, you must request an Order of the Court either reducing or increasing the amount of the bond.

If you misuse the ward’s funds, do not maintain those funds, or if you do not keep accurate records, the court may require that your bonding company reimburse the ward’s account for any losses. The bonding company can then file a lawsuit against the conservator to recover the amount the company was required to pay, including, in some cases, the attorney’s fees incurred by the bonding company in seeking the reimbursement. A conservator can be removed by the

court when appropriate. Additionally, a conservator who misappropriates funds or engages in theft or fraud may be criminally prosecuted.

➤ **Record your Letters**

Once you have obtained a surety bond and a certified copy of your conservator letters you will want to record your letters with the county recorder in the county where the protected person resides.

You will also want to record your certified letters in any other county where the protected person may own property. By recording your letters of appointment you are putting the public on notice of your appointment. You are also creating a record that identifies you as the only person entitled to transfer property on behalf of the protected person in the event someone should attempt to sell or make any lien or other encumbrance against the real property.

➤ **Notice of Filing**

Once you have received the recorded copy of your letters of appointment back from the recorder's office (there will be a marking on the document that reflects it has been recorded and where that record can be found for future reference), you will need to file a Notice of Filing with the court to show that you have recorded the letters of appointment.

Marshal an Account

In order to marshal a bank or brokerage account, you will need to notify the financial institution of your appointment. When you first meet with the financial institution be sure to bring the original, stamped letters or the certified copy of your letters of appointment with you. Most banks' legal department will want to see a certified copy of your letters of appointment in order to allow you access to the account. Also, if you have access to the protected person's social security number, date of birth and bank account number(s) be sure to bring those with you as well.

How Should Assets be Titled?

Once you have presented your letters of appointment, the account(s) will be re-titled into the name of the conservatorship. The way the account is titled depends on the organization; some may title the account as "Jane Doe, conservatee, by John Doe, conservator"; others may title it as "Jane Doe" and then the next line will read "John Doe, conservator." The purpose of this is to notify the organization (bank, brokerage firm, Department of Motor Vehicles) that you are the only person who should be dictating how the asset is held, spent, or managed.

Recording Transactions

You should be very careful not to let any other individual have access to any bank accounts you manage. While there is no law that prohibits you from using a debit card or cash to transact business on behalf of the protected person, it is best to avoid using a debit card or cash whenever possible. Debit cards can be easily accessed by another individual and it is difficult to prove that a cash transaction was used for the benefit of the protected person. If it is necessary to use cash

for a purchase be sure and keep all receipts to prove the purchase was for the benefit of the protected person.

Re-Title Vehicles

You may also re-title vehicles in the name of the conservatorship. In order to do this, you will need to bring your letters of appointment to the Motor Vehicles Division. The MVD typically requires a certified copy dated within 60 days from the date of the re-title request. Vehicles may be cars, motorcycles, boats, recreational vehicles or motor homes.

Documents to File Within 90 Days

There are certain documents that need to be filed within 90 days of your appointment as conservator. Among these documents is an inventory or appraisal of the protected person's assets.

The value listed on the inventory for a particular asset is the value as of your first date of appointment, whether temporary or permanent. All assets of the protected person's estate should be listed on the inventory and appraisal. This list should include, but is not limited to the assets shown below:

- Bank accounts
- Brokerage accounts
- Annuities
- Life insurance policies (the cash surrender value)
- Real property (homes, vacant land, and burial plots)
- Automobiles
- Jewelry/Artwork/Antiques
- Household items
- Cash/Coins

How to Determine the Value of Assets?

The (cash) value of bank accounts, brokerage accounts, annuities and/or life insurance policies will be the value on the date you were appointed. A reliable way to determine the value of an automobile would be to use the Kelley Blue Book valuation.

➤ Provide a Reasonable Estimate

Determining the value of other assets may be a little more difficult. Appraisals may be obtained for homes, jewelry, artwork or antiques. Appraisals can be very costly so if it is not your intent to liquidate the asset in the very near future, it may be best to provide a reasonable estimate of the assets' value as the value can change significantly in a very short period of time, such as with real estate. If you provide an estimate for the value be sure to make note of this on the inventory.

Assets Detail

➤ How much detail should you include?

You should include as much detail as is necessary to reasonably identify the asset. For example, if the protected person has a checking account at Bank of America, you would document it as “Bank of America” and provide the checking account number.

➤ Documenting Assets

When documenting an automobile, you should include the make, model, year and vehicle identification number (VIN). You should include the address and parcel number for real estate.

Documenting household items on an inventory is a little more difficult. Some will include a lump sum value of miscellaneous household property and others will include details such as one sofa, one end table and one coffee table. No matter the amount of detail you choose to include for household items, you should always photograph or video tape the personal property.

Credit Report

As the conservator, you must include a copy of the protected person’s credit report from a credit reporting agency when you file your inventory and appraisal. The credit report must be dated within ninety (90) days of filing it with the court. You may obtain a copy of the credit report by writing a letter to the credit reporting agency or you may obtain one free of charge from AnnualCreditReport.com.

Budget

As the conservator, you must include a budget at the time of filing your inventory and appraisal. The first budget will be for the same time frame as your first annual accounting. A new budget must be submitted to the court every year thereafter with the annual accounting.

➤ Exceeding the Budget

The budget shall be completed on the form prescribed by the Supreme Court and can be located in the probate section of the Supreme Court’s website. You will need to monitor the budget closely to ensure that you are not exceeding any particular expense category by \$2,000 or 10% of the budgeted amount, whichever is less. If you reasonably believe you may exceed the budget, you must notify the court, and all interested parties, of the reason you will exceed the stated budget amount within thirty (30) days.

➤ Projected Sustainability

As the conservator, you must disclose to the court whether the estimated expenses of the estate exceed the annual income and if so, whether the other assets available to the protected person are sufficient to sustain the person during the time period the protected person needs care or fiduciary services. In other words, does the protected person have sufficient income and assets to meet their needs for the estimated remainder of their lifetime?

RULE 30.2. SUSTAINABILITY OF CONSERVATORSHIP

A. THE CONSERVATOR SHALL DISCLOSE WHETHER THE ANNUAL EXPENSES OF THE CONSERVATORSHIP EXCEED INCOME AND, IF SO, WHETHER THE ASSETS AVAILABLE TO THE CONSERVATOR LESS LIABILITIES ARE SUFFICIENT TO SUSTAIN THE CONSERVATORSHIP FOR THE DURATION OF TIME THE PROTECTED PERSON NEEDS CARE OR FIDUCIARY SERVICES.

B. THE ESTATE SUSTAINABILITY SHALL BE CALCULATED AS FOLLOWS:

[AVAILABLE ASSETS MINUS LIABILITIES OF THE ESTATE] ***DIVIDED BY***
[ANNUAL EXPENDITURES MINUS ANNUAL INCOME] ***EQUALS*** ESTATE
SUSTAINABILITY

C. IF THE ASSETS ARE NOT SUFFICIENT TO SUSTAIN THE ESTATE, THE CONSERVATOR SHALL ALSO DISCLOSE THE MANAGEMENT PLAN FOR THE NON-SUSTAINABLE CONSERVATORSHIP.

D. THE INFORMATION REQUIRED BY THIS RULE SHALL BE A GOOD FAITH PROJECTION BASED UPON THE INFORMATION THAT IS REASONABLY AVAILABLE TO

In order to determine the potential sustainability of the protected person's estate you will need to use a calculation outlined in the Arizona Rules of Probate Procedure, Rule 30.2 as follows on the succeeding pages.

$$\begin{array}{rcl} \$120,000 + \$20,000 - \$65,000 & & \\ \hline \$45,000 - \$20,000 & = & \text{Estate Sustainability} \\ \\ \$75,000 & & \\ \hline \$25,000 & = & \text{Estate Sustainability} \\ & & \text{of 3 years} \end{array}$$

Thus, if based on the conservator's knowledge of the protected person's medical condition and age, the conservatorship is not sustainable, the conservator shall explain how the protected person's expenses will be managed after three years.

The following example describes how the required disclosure is calculated: Assume a protected person's estate consists of a residence with a fair market value of \$120,000, \$20,000 in bank accounts and a \$65,000 mortgage. Further, assume that same protected person has annual expenses (including fiduciary and attorney fees) of \$45,000 and an annual income of \$20,000. From this example we can see the conservatorship is sustainable for 3 years.

Recordkeeping

➤ What types of records should you keep?

You are required to keep records of all income and expenses you manage as the conservator of the protected person's estate. You will need to keep copies of all bank statements, brokerage statements, invoices, receipts, and any other record you need to support your efforts as conservator.

Receipts are vital in that they show what was actually acquired, not just how much was paid. This can be used by the court to establish the fact that the expense benefited the protected person.

Invoices

Here are a few good practice tips for you as a conservator: first, develop and maintain a bookkeeping and receipt storage system for all the protected person's documents. Second, include a copy of any check used to pay an invoice to a copy of that invoice in your records. This will ensure all parties know the expenses you are making are for the benefit of the protected person.

Original Papers

Documents to maintain:

- Life insurance policies
- Insurance cards
 - Health, Car, Home
- Deeds
- Titles
- Birth certificates
- Death certificates

You should maintain the original papers for all important documents, such as life insurance policies, deeds, titles, birth certificates, death certificates and insurance cards (health insurance, car insurance).

Maintain Records

The length of time you maintain records for the protected person depends on a number of factors. At a minimum, it is recommended you keep all records regarding your activities as a conservator for as long as you are acting as conservator. Keep in mind however, that other laws may require you keep records for longer periods of time.

The typical recommendation is to follow the record retention requirements outlined by the Internal Revenue Service. The most recent information from the IRS indicates “**Note:** Keep copies of your filed tax returns. They help in preparing future tax returns and making computations if you file an amended return.”

- 1) If you owe additional tax and situations (2), (3), and (4), below, do not apply to you; keep records for 3 years.
- 2) If you do not report income that you should report, and it is more than 25% of the gross income shown on your return; keep records for 6 years.
- 3) If you file a fraudulent return; keep records indefinitely.
- 4) If you do not file a return; keep records indefinitely.
- 5) If you file a claim for credit or refund* after you file your return; keep records for 3 years from the date you filed your original return or 2 years from the date you paid the tax, whichever is later.
- 6) If you file a claim for a loss from worthless securities or bad debt deduction; keep records for 7 years.
- 7) Keep all employment tax records for at least 4 years after the date that the tax becomes due or is paid, whichever is later.

Pay/Transfer on Death

As the conservator, you have an obligation to maintain the estate plan of the protected person. Assets titled as payable-on-death or transfer-on-death to an individual are considered part of the protected person's estate plan. When you discover assets that are titled in this manner, you need to use those assets only after all other assets have been exhausted.

For example, if you have a checking account, savings account, brokerage account, and an IRA, and that IRA has a payable on death beneficiary, you must use all the other assets to maintain the protected person's welfare first, before you use the assets held in the IRA. The reason for doing this is to protect that asset and have it available for the beneficiary, thereby fulfilling the protected person's final wish.

This also applies to assets that are specifically gifted to a particular person in either the Last Will and Testament or trust of the protected person. You should be familiar with these documents and any designated beneficiaries named within them.

Restricted Assets

➤ What does it mean if the court “restricts” an asset?

When a court restricts an asset it means that you are not allowed to use, sell, or transfer that asset without the court's approval. The court can restrict any asset of the protected person's estate but typically restricts bank accounts, brokerage accounts or real property. When the court restricts an asset, the restriction is outlined on your letters of appointment so that all parties know what you can and cannot do as conservator.

If the court restricts an asset you will not need to bond for it. However, if you request that the restriction be lifted, the court will order that a bond be posted for that now unrestricted asset.

➤ Proof of Restricted Account

When the court restricts a bank or brokerage account, you must file a “Proof of Restricted Account” form with the court. This form outlines where the account is held, the account number and the current balance of the account. The form is signed by an officer or manager of the financial institution and indicates that the financial institution understands that the court has restricted the account and they will not allow anyone to remove funds from the account without an order from the court.

➤ **Restricted Real Property**

If there is a restriction on the protected person's real property this will be contained in the conservator's letters of appointment. When such an asset restriction exists, a title company should not allow the conservator to execute a sale document without providing an order from the court authorizing the conservator to do so.

Notice to Service Providers

- **Ensures payments to service providers are made on time**
- **Ensures service providers only take direction from you**

When contacting the protected person's service providers to request future statements be sent to your address for payment, it is good practice to provide a copy of your letters of appointment as conservator for their records. This request should be made as soon as practicable after your appointment. This will ensure that you receive the information necessary to pay the financial obligations of the protected person, as well as ensure that the providers only take direction from you regarding the account.

Change of Address

You should also process a “change of address” request with the United States Postal Service to ensure that you receive all correspondence of the protected person. This will ensure that you are aware of all debts owed by the protected person, and that you are aware of all assets of the protected person.

Annual Account Information

The annual account contains a listing of all financial transactions that have taken place in the previous year of your administration as conservator. It contains information about the beginning value of all assets held by the protected person's estate as of the date of your appointment as well as the ending balance of the assets as of the last date of the account period. The transactions (receipts, disbursements, gains, losses and other adjustments) outline what happened in the middle to cause the beginning and ending balances to change.

➤ **Additional Accounts**

In addition to the annual account, the conservator is responsible for providing a budget and a sustainability projection account along with the annual account.

➤ **When to File the Annual Account**

Your account must be filed by the first anniversary date of your permanent appointment. In other words, if you are appointed as the temporary conservator on January 1 and the permanent conservator on February 1, your account must be filed by February 1 the following year, but will include all transactions from January 1 forward.

➤ **First Account**

The first annual account should include all activity from the date of the first appointment (temporary or permanent if no temporary conservatorship established) through and including the last day of the ninth month following the permanent appointment. Using the example above, if you were appointed as the temporary conservator on January 1 and the permanent conservator on February 1, your account period would be from January 1 through November 30 (the last day of the ninth month following your permanent appointment). If you were appointed as the permanent conservator on January 1, your first account would go from January 1 through October 31.

➤ **Subsequent Accounting**

Each subsequent accounting will be from one day after the ending day through the same ending day as the previous year's accounting. For example, if the first accounting period ends December 31, 2012 then the second accounting period would cover from January 1, 2013 to December 31, 2013.

At the time of death of the protected person, the conservator is required to file the final account within 90 days from the date of death. The time frame for that account will be from the ending date of the previous account through the date of death.

Best Interest vs. Substituted Judgment

Your role as the conservator is to listen to the protected person and ensure that their preferences are being met as long as it does not cause harm. You are in a position to make decisions for the protected person in one of two ways; using either substituted judgment or the best interest standard.

➤ **Substituted Judgment**

You have an obligation to discuss the decision you are going to make with the protected person.

When making decisions using substituted judgment you are doing exactly as it sounds; making the decision that the protected person would make if they had the capacity to do so. To the extent the protected person can understand the issue at hand, you have an obligation to discuss the decision you are going to make with the protected person and listen to their preferences in that situation.

For example, if you believe it would be appropriate to liquidate an asset belonging to the protected person, you should discuss this with them. Try to put it in terms that they have the ability to understand. Discuss the benefits and the consequences of the decision you are about to make. Listen to their preferences and the reason for making the decision.

➤ **Stated Preferences**

When using substituted judgment it is also helpful to talk to other family members or friends about conversations they have had with the protected person. Has the protected person ever talked about their preference for liquidation of their assets? Did they want that particular asset to be set aside as a gift for a friend or family member? Your job is to determine what their preferences were when they were still capable of making those decisions.

Lifetime Disabled vs. Adult Disabled

Making decisions using substituted judgment may be easier for a conservator dealing with an elderly disabled individual as opposed to an adult who has been disabled since birth. When dealing with an elderly individual, they were likely competent and had the ability to understand cause and effect relationships. As such, they have likely discussed their preferences before and you may have a better understanding of what they want.

With an individual who has been disabled since birth, this may be more difficult. In those situations (or in situations where the protected person's preferences may cause serious harm or injury) you would be making your decision based on what you believe to be in the protected person's best interest.

Tough Decisions

It is never easy to make a decision for another adult that goes against their wishes but you must keep in mind that your friend or family member no longer has the ability to truly understand the consequences of their decision. This is why the court appointed you as the conservator – to make the tough decisions.

Ultimately, the decision is yours but if you are making a decision that is in contrast to the stated or demonstrated preferences of the protected person, you should be prepared to defend that decision.

Accepting Gifts from the protected person

The disclosure statement you must file as the conservator indicates that you have not accepted a gift from someone, who is not related to you by blood, of more than \$100.00. That being said, it is typically looked at as a conflict of interest for you to accept any gift from the protected person without first seeking court approval. The general rule is that you cannot and should not accept gifts from the protected person.

➤ **Giving Gifts**

- The protected person's estate plan
- Whether there is a pattern of prior gifting
- The potential tax savings if the gifts are authorized
- The size of the estate
- The protected person's income and expenses

- The physical and mental condition and life expectancy of the protected person (the court wants to ensure that the gift would not diminish the protected person's ability to meet their needs during the course of their lifetime)
- The likelihood that the protected person's disability may cease or improve
- The likelihood that the protected person would make this gift if they were able to consent (this is an example of how substituted judgment comes into play in your decision making process)
- The ability of the protected person to consent to the gifts

If you are seeking authority to provide a gift to someone from the protected person you should be prepared to supply the court with all the information shown on this page. Keep in mind, if you, as the conservator, authorize and pay a gift without court approval, you could be held liable and be required to reimburse the estate for the value of the gift.

Payment for Conservatorship

You are entitled to payment for your time as the conservator. If you intend to seek compensation from the estate of the protected person you are required to file a Notice of Compensation with the court. This will outline what you intend to charge as your hourly rate and why you believe you are entitled to that rate. The court may review your fees on an annual basis. You are also entitled to reimbursement from the protected person's estate for any money you pay out of pocket for their benefit. For example, if you pay for a filing fee with the court, you would be entitled to be reimbursed for that expense.

Attorney's Fees

➤ Can You Hire an Attorney?

Yes, you may hire an attorney and you are entitled to have the fees for that attorney paid for by the protected person's estate as long as the court determines that the fees are reasonable and necessary. Just as you would have to file a Notice of Compensation with the court, any attorney who intends to seek compensation from the ward's estate must also file the notice with the court.

When the Protected Person Dies

When the protected person dies, you must file a Notice of Death with the court within ten (10) days after the date of death. You must then file your final accounting with the court within 90 days from the date that the protected person died. The final account will go through the date of death of the protected person.

You may then be required to file a second, supplemental final accounting which shows the court what you did with the assets of the protected person's estate from the date of death until you turn the assets over to either the beneficiaries (on payable on death or transfer on death accounts) or to the individual responsible for managing the estate of the deceased protected person.

Unlike a guardian, your authority as conservator does not end on the day that the protected person dies. You still have the authority and responsibility to manage and protect the assets of the protected person. You want to ensure that you are only paying for necessary expenses of the protected person's estate after they pass away. For example, you may pay for burial or funeral services; you may pay to protect the assets of the protected person (such as insurance on assets or utilities on a home) or the final medical expenses of the protected person.

You want to be very careful in what you pay for and when as there are specific provisions under the law as to what creditors get paid first and what happens if there are not enough assets in the estate to pay all creditors. If you are in doubt, seek legal advice.

Thank you for viewing this training video. The welfare of the ward and/or protected person is of utmost importance to the court. For more information about Probate please visit the judicial branch website devoted to probate at www.azcourts.gov/probate

Your Name: _____
Your Address: _____
Your City, Zip Code: _____
Your Telephone No. _____
Represents ☐ Self OR ☐ Attorney for: _____
State Bar Number (if applicable): _____

FOR CLERK'S USE ONLY

SUPERIOR COURT OF ARIZONA IN YUMA COUNTY

In the Matter of the Estate of _____

Case Number: _____

DECLARATION OF COMPLETION OF TRAINING for NON-LICENSED FIDUCIARIES

A ☐ Deceased or ☐ Protected Person

Rule 27.1 of the Arizona Rules of Probate Procedure requires that a person to be appointed guardian, conservator, or personal representative of an estate, who is neither a state-licensed fiduciary nor a corporation, complete a training program approved by the Supreme Court of this state before permanent **Letters of Appointment** are issued.

UNDER PENALTY OF PERJURY

I state to the Court that in accord with Rule 27.1 of the Arizona Rules of Probate Procedure, I have completed the required training for non-licensed, non-corporate fiduciaries, as indicated below: (Check all that apply and provide applicable information.)

<input type="checkbox"/> Unlicensed Fiduciary	Date completed: _____
<input type="checkbox"/> Conservatorship	Date completed: _____
<input type="checkbox"/> Personal Representative	Date completed: _____
<input type="checkbox"/> Guardianship	Date completed: _____

Date: _____

Signature _____

Printed Name _____

INSTRUCTIONS: Fill out this Declaration completely and provide accurate information. Make at least one copy. You will need to file the original with the Clerk of Court and provide a copy to the Probate Registrar before receiving any *permanent* letters of appointment.

CONSERVATOR'S ACCOUNT FORMS TUTORIAL



This program was developed under grant number SJI-11-E-008 from the State Justice Institute. The points of view expressed are those of the faculty and do not necessarily represent the official position or policies of the State Justice Institute.

ABOUT THE CONSERVATOR'S ACCOUNT FORMS TUTORIAL

This tutorial contains valuable information useful to anyone serving as a court-appointed conservator in Arizona. The responsibilities of a conservator include submitting a variety of financial reports known as "Conservator Accounts" to the court as well as a number of other documents and worksheets over the term of the conservatorship.

Review of this material is highly recommended and may be ordered by the judicial officer assigned to your case, but is not part of the mandatory training required to be completed before your Letters of Appointment can be issued by the Clerk of the Court.

You may access and complete the training free online at:

www.azcourts.gov/probate/Training.aspx

If you were specifically ordered to review the *Conservatorship Account Forms Tutorial* by the judicial officer assigned to your case, after you have completed your review you will need to file either the Certificate of Completion available at the end of the online version, or the Declaration of Completion form at the back of this packet.

If you have questions about the conservator account forms, contact the Clerk's Office 928-817-7210

Conservator's Account Forms Tutorial

After viewing the contents of this tutorial you will be able to determine:

- Which forms are required of the fiduciary by the courts
- How each form is used to report different financial information
- Where to obtain the forms, and
- How to submit the forms

Annual Reporting

By state statute and Supreme Court rule, a conservator is required to file an annual report to the court that provides an account of the status of the protected person's finances. Until recently, courts across the state have required varying formats for providing this information.

Standardized Forms

In June 2011, the Committee on Improving Judicial Oversight and Processing of Probate Matters recommended standardized conservator account forms to bring uniformity and comparability to judicial oversight of conservatorships.

Financial Status

These standardized forms will give the judge and other interested parties a financial status of the conservatorship; they allow the court to view, in one document, last year's account information, this year's account information and the plan for the coming year.

Standardized Forms Start Date

Starting on September 1, 2012, all new conservatorship cases are required to use the standardized forms. If you are an existing conservator as of September 1, 2012, you should receive an order from the court after you file your next account indicating when you will be required to begin using the standard forms.

Filing the Form

The form the conservator needs to file depends on the phase of the conservatorship. The form technically is just a cover sheet providing information such as the case number, the name of the conservator and protected person, and a listing of the specific documents the conservator is required to file which comprises the conservator's account to the court.

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 FIRST ACCOUNT (FORM 6)
(Protected Person's Name)	<input type="checkbox"/> with BUDGET
<input type="checkbox"/> a Minor <input type="checkbox"/> an Adult	<input type="checkbox"/> with Budget Amendment
_____	<input type="checkbox"/> with Fee Statement
	(Assigned to the Honorable: _____)

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	<input type="checkbox"/> with BUDGET
<input type="checkbox"/> Minor (or)	<input type="checkbox"/> with BUDGET AMENDMENT
<input type="checkbox"/> Adult (or person age 17.5 or older)	<input type="checkbox"/> with Fee Statement

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 FINAL ACCOUNT (Form 8)
Name of Protected Person	<input type="checkbox"/> with Fee Statement
<input type="checkbox"/> a Minor	Assigned to the Honorable: _____
<input type="checkbox"/> an Adult	

Form 5: Conservatorship Estate Budget

Unless the court waives the requirement, every conservator is required to file the Conservatorship Estate Budget, Form 5, at the beginning of their appointment. This first budget covers only the first nine months of the conservatorship. In subsequent accounts, the conservatorship estate budget will include a full 12-month period.

Form 6: First Conservator's Account

After the completion of the first account reporting period, the conservator will file Form 6, the First Conservator's Account. This account covers the first 9 months of the conservatorship.

Form 7: Conservator's Account

For the second and subsequent account reporting periods, the conservator will file Form 7, the Conservator's Account. The conservator will continue to use Form 7 until the conservatorship ends.

Form 5: Conservatorship Estate Budget									
SCHEDULE 1: Statement of Receipts and Disbursements									
Column A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I	Column J
Actual Results	Budget	Actual Results	Change from Budget	Change as Percent of Budget	Budget Current Year	Budget Change from Prior Period	Budget Change as Percent of Prior Period	Budget Change from Prior Period	Budget Change as Percent of Prior Period
Prior Period	Period just ended	Prior Period	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended
1. Start Date of Account Reporting Period: (Example: 07/01/10)									
2. End Date of Account Reporting Period:									
3. Start Date of Account Reporting Period: (Example: 07/01/10)									
4. End Date of Account Reporting Period:									
5. Assets/Liabilities as Receipts									
6. Retirement and Disability Income									
7. Annuities, Structured Settlements, and Trust Income									
8. Wages and Earned Income									
9. Investment and Business Income									
10. Other Receipts (Attach VSA)									
11. Total Receipts (Add lines 6 through 10)									
12. Disbursements (Money Spent)									
13. Money Spent for Protected Person									
14. Food, Clothing, and Shelter									
15. Medical Costs									
16. Personal Allowance									
17. Payments on Debt									
18. Discretionary Expenses									
19. Other Disbursements for Protected Person (Attach VSA)									
20. Total Disbursements for Protected Person (Add lines 14 through 19)									
21. Money Spent for Administrative Fees & Costs									
22. Fiduciary Fees and Costs									
23. Fiduciary's Attorney Fees and Costs									
24. Protected Person's Attorney Fees and Costs									
25. Other Administrative Fees and Costs (Attach VSA)									
26. Total Administrative Fees and Costs (Add lines 22 through 25)									
27. Total Disbursements (Add lines 20 and 26)									
28. Assets/Liabilities as Disbursements									
29. Total Expenses in Disbursements (Line 27 minus line 28)									
30. Total Surplus/(Total Shortfall) (Line 11 minus line 29)									
31. Net Income/(Net Expenses) (Line 10 minus line 29)									

Form 6: First Conservator's Account									
SCHEDULE 1: Statement of Receipts and Disbursements									
Column A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I	Column J
Actual Results	Budget	Actual Results	Change from Budget	Change as Percent of Budget	Budget Current Year	Budget Change from Prior Period	Budget Change as Percent of Prior Period	Budget Change from Prior Period	Budget Change as Percent of Prior Period
Prior Period	Period just ended	Prior Period	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended
1. Start Date of Account Reporting Period: (Example: 07/01/10)									
2. End Date of Account Reporting Period:									
3. Start Date of Account Reporting Period: (Example: 07/01/10)									
4. End Date of Account Reporting Period:									
5. Assets/Liabilities as Receipts									
6. Retirement and Disability Income									
7. Annuities, Structured Settlements, and Trust Income									
8. Wages and Earned Income									
9. Investment and Business Income									
10. Other Receipts (Attach VSA)									
11. Total Receipts (Add lines 6 through 10)									
12. Disbursements (Money Spent)									
13. Money Spent for Protected Person									
14. Food, Clothing, and Shelter									
15. Medical Costs									
16. Personal Allowance									
17. Payments on Debt									
18. Discretionary Expenses									
19. Other Disbursements for Protected Person (Attach VSA)									
20. Total Disbursements for Protected Person (Add lines 14 through 19)									
21. Money Spent for Administrative Fees & Costs									
22. Fiduciary Fees and Costs									
23. Fiduciary's Attorney Fees and Costs									
24. Protected Person's Attorney Fees and Costs									
25. Other Administrative Fees and Costs (Attach VSA)									
26. Total Administrative Fees and Costs (Add lines 22 through 25)									
27. Total Disbursements (Add lines 20 and 26)									
28. Assets/Liabilities as Disbursements									
29. Total Expenses in Disbursements (Line 27 minus line 28)									
30. Total Surplus/(Total Shortfall) (Line 11 minus line 29)									
31. Net Income/(Net Expenses) (Line 10 minus line 29)									

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	Column H	Column I	Column J
Actual Results	Budget	Actual Results	Change from Budget	Change as Percent of Budget	Budget Current Year	Budget Change from Prior Period	Budget Change as Percent of Prior Period	Budget Change from Prior Period	Budget Change as Percent of Prior Period
Prior Period	Period just ended	Prior Period	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended	Period just ended
1. Start Date of Account Reporting Period: (Example: 07/01/10)									
2. End Date of Account Reporting Period:									
3. Start Date of Account Reporting Period: (Example: 07/01/10)									
4. End Date of Account Reporting Period:									
5. Assets/Liabilities as Receipts									
6. Retirement and Disability Income									
7. Annuities, Structured Settlements, and Trust Income									
8. Wages and Earned Income									
9. Investment and Business Income									
10. Other Receipts (Attach VSA)									
11. Total Receipts (Add lines 6 through 10)									
12. Disbursements (Money Spent)									
13. Money Spent for Protected Person									
14. Food, Clothing, and Shelter									
15. Medical Costs									
16. Personal Allowance									
17. Payments on Debt									
18. Discretionary Expenses									
19. Other Disbursements for Protected Person (Attach VSA)									
20. Total Disbursements for Protected Person (Add lines 14 through 19)									
21. Money Spent for Administrative Fees & Costs									
22. Fiduciary Fees and Costs									
23. Fiduciary's Attorney Fees and Costs									
24. Protected Person's Attorney Fees and Costs									
25. Other Administrative Fees and Costs (Attach VSA)									
26. Total Administrative Fees and Costs (Add lines 22 through 25)									
27. Total Disbursements (Add lines 20 and 26)									
28. Assets/Liabilities as Disbursements									
29. Total Expenses in Disbursements (Line 27 minus line 28)									
30. Total Surplus/(Total Shortfall) (Line 11 minus line 29)									
31. Net Income/(Net Expenses) (Line 10 minus line 29)									

Form 8: Final Conservator's Account

When the conservatorship terminates, the conservator will be required to file one last account, known as Form 8, the Final Conservator's Account.

Form 9: Simplified Conservator's Account

In certain situations, the Court may allow the conservator to use a simplified form, known as Form 9, the Simplified Conservator's Account. This form does not require as much information as the typical conservator's account, and is designed for smaller estates or estates with limited financial transactions.

In the matter of:		Case No.	
Form 9: Simplified Conservator's Account SCHEDULE 1: Statement of Receipts and Disbursements		Column A	Column B
		Past	Present
		Actual Results Prior Period:	Actual Results
		See Prior Period Form 9, Schedule 1, Column B	Period Just Ended:
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			
8 Total Receipts (Add lines 3 through 7)		0	0
Disbursements (Money Spent):			
Money Spent for Protected Person:			
9 Food, Clothing, and Shelter			
10 Medical Costs			
11 Personal Allowance			
12 Payments on Debt			
13 Discretionary Expenses			
14 Other Disbursements			
15 Total Disbursements for Protected Person (Add lines 9 through 14)		0	0
Money Spent for Administrative Fees & Costs:			
16 Fiduciary Fees and Costs			
17 Fiduciary's Attorney Fees and Costs			
18 Protected Person's Attorney Fees and Costs			
19 Other Administrative Fees and Costs			
20 Total Administrative Fees and Costs (Add lines 16 through 19)		0	0
21 Total Disbursements (Add lines 15 and 20)		0	0
22 Total Surplus/(Total Shortfall) (Line 8 minus line 21)		0	0

USING PROBATE FORMS

Forms and Schedules

Even though the account forms are given a distinct form number, the actual schedules and worksheets the conservator must complete for each account reporting period are essentially the same. The only difference is that certain columns within each schedule may not need to be filled out, depending on which account you are filing with the court. The schedules are formatted so you know which columns you need to complete.

Supporting Schedules

With each account, you will be required to complete up to three supporting schedules. Each schedule represents different aspects of the conservatorship.

Schedule 1: Statement of Receipts and Disbursements

The first schedule, Schedule 1: Statement of Receipts and Disbursements, summarizes the receipts and disbursements of the conservatorship. With this schedule, you are informing the court what money came into the estate and what money went out during the account reporting period.

Schedule 2: Statement of Net Assets & Reconciliation

The second schedule, Schedule 2: Statement of Net Assets & Reconciliation, provides the court a summary of the value of the estate. For this form you will summarize the information you initially provided in the inventory. In subsequent accounts, you will be required to update certain inventory values.

Schedule 3: Statement of Sustainability of Conservatorship

The last schedule, Schedule 3: Statement of Sustainability of Conservatorship provides information to the court about how long the protected person's estate will last before it runs out of money to support the protected person's needs. In other words, you are indicating to the court whether or not the estate is sufficient to cover the protected person's expenses for the duration of the conservatorship.

Sustainability

If, after calculating the estimated years of sustainability, you find the protected person's assets do not cover the total cost of care and services, the conservatorship is considered not sustainable. You must report this to the court on Schedule 3, along with your management plan going forward. This management plan must explain how you will protect and preserve the protected person's estate for as long as possible.

Worksheets

As you complete the schedules, you may have information that does not fit into any of the specified line items. If so, you need to report that information as an “other” item on the schedule. Any time you have to report an “other” item (such as other receipts, other disbursements for the protected person, or other general assets), you must complete a worksheet to list the item(s). For each schedule, there is a separate worksheet to provide this additional information.

Schedule 1 / Worksheet A

For Schedule 1, you would complete Worksheet A to show supporting detail for any other receipts, other disbursements for the protected person, or other administrative fees and costs.

In the matter of:		Case No.									
Start Date of Account Reporting Period Just Ended:											
WORKSHEET A Supporting Detail for Form 7, Schedule 1: Other Receipts; Other Disbursements; Other Administrative Fees and Costs		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center;">Category</th> <th style="text-align: center;">Column F: Total (For Page)</th> </tr> <tr> <td>Line 7: Other Receipts</td> <td style="text-align: right;">0.00</td> </tr> <tr> <td>Line 16: Other Disbursements</td> <td style="text-align: right;">0.00</td> </tr> <tr> <td>Line 21: Other Administrative Fees and Costs</td> <td style="text-align: right;">0.00</td> </tr> </table>		Category	Column F: Total (For Page)	Line 7: Other Receipts	0.00	Line 16: Other Disbursements	0.00	Line 21: Other Administrative Fees and Costs	0.00
Category	Column F: Total (For Page)										
Line 7: Other Receipts	0.00										
Line 16: Other Disbursements	0.00										
Line 21: Other Administrative Fees and Costs	0.00										
Other Receipts (Line 7)		Other Disbursements (Line 16)		Other Administrative Fees and Costs (Line 21)							
Description	Column F: Budget Current Year Amount	Description	Column F: Budget Current Year Amount	Description	Column F: Budget Current Year Amount						

Schedule 2 / Worksheet B

For Schedule 2, you would complete Worksheet B if you have other general assets or other money denominated assets to report. You would also use Worksheet B to list any bills and payables more than 30 days old, as well as any other debts owed by the protected person.

In the matter of:				Case No.													
Start Date of Account Reporting Period Just Ended:																	
WORKSHEET B Supporting Detail for Form 7, Schedule 2: Other General Assets; Other Money-Denominated Assets; Bills and Payables More Than 30 Days Old; Other Debts				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center;">Category</th> <th style="text-align: center;">Column B: Total (For Page)</th> </tr> <tr> <td>Line 8: Other General Assets</td> <td style="text-align: right;">0</td> </tr> <tr> <td>Line 13: Other Money-Denominated Assets</td> <td style="text-align: right;">0</td> </tr> <tr> <td>Line 16: Bills and Payables More Than 30 Days Old</td> <td style="text-align: right;">0</td> </tr> <tr> <td>Line 17: Other Debts</td> <td style="text-align: right;">0</td> </tr> </table>				Category	Column B: Total (For Page)	Line 8: Other General Assets	0	Line 13: Other Money-Denominated Assets	0	Line 16: Bills and Payables More Than 30 Days Old	0	Line 17: Other Debts	0
Category	Column B: Total (For Page)																
Line 8: Other General Assets	0																
Line 13: Other Money-Denominated Assets	0																
Line 16: Bills and Payables More Than 30 Days Old	0																
Line 17: Other Debts	0																
Other General Assets (Line 8)		Other Money-Denominated Assets (Line 13)		Bills and Payables More Than 30 Days Old (Line 16)		Other Debts (Line 17)											
Description/ Explanation of Change	Column B: Updated Inventory Value	Description/ Explanation of Change	Column B: Updated Inventory Value	Description/ Explanation of Change	Column B: Updated Inventory Value	Description/ Explanation of Change	Column B: Updated Inventory Value										

Schedule 3 / Worksheet C

For Schedule 3, you would complete Worksheet C if there are any adjustments to the value of net assets, or adjustments to net income, or expenses that impact the value of the estate going forward. For example, you would enter as a positive value any new and significant assets that you expect to come into the conservatorship in the next account reporting period, such as an inheritance or a personal injury award. You would enter as a negative value any assets that need to be used to satisfy any planned, one-time, significant expense such as a one-time medical cost or a large repair to the protected person's home.

In the matter of:		Case No.							
Start Date of Account Reporting Period Just Ended:									
WORKSHEET C									
Supporting Detail for Form 7, Schedule 3:									
Adjustments to Net Assets Available to Conservatorship; Adjustments to Recurring Net Income/(Net Expenses)		<table border="1"> <thead> <tr> <th>Category</th> <th>Column B: Total (For Page)</th> </tr> </thead> <tbody> <tr> <td>Line 3: Adjustments to Net Assets Available to Conservatorship</td> <td>0</td> </tr> <tr> <td>Line 6: Adjustments to Recurring Net Income/(Net Expenses)</td> <td>0</td> </tr> </tbody> </table>	Category	Column B: Total (For Page)	Line 3: Adjustments to Net Assets Available to Conservatorship	0	Line 6: Adjustments to Recurring Net Income/(Net Expenses)	0	
Category	Column B: Total (For Page)								
Line 3: Adjustments to Net Assets Available to Conservatorship	0								
Line 6: Adjustments to Recurring Net Income/(Net Expenses)	0								
*Note: If change is negative, place () around the amount or a minus sign in front of the amount									
Adjustments to Net Assets Available to Conservatorship (Line 3)		Adjustments to Recurring Net Income/(Net Expenses) (Line 6)							
Description/ Explanation of Adjustment	Column B: Updated Sustainability Estimated Adjustment Amount	Description/ Explanation of Adjustment	Column B: Updated Sustainability Estimated Adjustment Amount						

FILING PROCEDURE

Print or Electronic

Excel and PDF

- Available to complete by hand
OR
- Complete electronically
 - Automatically calculates
 - Carries information over

The forms will be available in Excel format and as fillable PDF documents. If you complete the schedules and worksheets electronically, using either format, formulas are included to perform the required calculations and to automatically enter some information. If you do not complete the forms electronically, you can print either the Excel version or PDF version to complete the form by hand.

Review Your Work

After you have completed the required schedules and worksheets, review all the documentation to ensure you have not left out any information. Remember, if you do not have any information to report in a certain category, enter a 0 on that line.

After you have completed the required schedules and worksheets, review all the documentation to ensure you have not left out any information. Remember, if you do not have any information to report in a certain category, enter a 0 on that line.

Sign the Conservator Certification Page

Once you have double checked your documentation, complete the form cover sheet and sign the conservator's certification at the bottom of the coversheet page. By signing the certification, you are acknowledging to the court that you have read and reviewed the accompanying schedules, worksheets and any other supporting details you are providing, and that you have a good faith belief the information is true, accurate and complete to the best of your knowledge.

Transaction Log, detailing all financial transactions during the current reporting period

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.

Jane Doe
<< Conservator Name>>

1/31/2012
<<Date>>

File the Form

You will file the account form with the Clerk of the Court or Probate Registrar of the court that appointed you as conservator. You must also provide copies of the account to all interested parties.

Other Tools

Form 10: Proof of Restricted Account

With each account, you will be required to provide other documentation in addition to the required schedules and worksheets. For example, a Form 10 may also be required if the court orders a restriction on the use of the protected person's bank account or accounts. Form 10 is known as the Proof of Restricted Account form. This is a mandatory form that must follow the format prescribed by the Arizona Supreme Court.

<p>Person Filing: _____ Address (if not protected): _____ City, State, Zip Code: _____ Telephone: _____ Email Address: _____ Lawyer's Bar Number: _____ Licensed Fiduciary Number: _____</p> <p>Representing <input type="checkbox"/> Self, without a Lawyer or <input type="checkbox"/> Attorney for <input type="checkbox"/> Petitioner OR <input type="checkbox"/> Respondent</p> <p style="text-align: center;">SUPERIOR COURT OF ARIZONA IN MARICOPA COUNTY</p> <table style="width: 100%; border: none;"><tr><td style="width: 45%; vertical-align: top;">IN THE MATTER OF THE) CONSERVATORSHIP FOR:) _____) (Protected Person's Name)) <input type="checkbox"/> a Minor <input type="checkbox"/> an Adult) _____)</td><td style="width: 5%; text-align: center; vertical-align: middle;">)</td><td style="width: 50%; vertical-align: top;">Case No.: PB _____ PROOF OF RESTRICTED ACCOUNT from FINANCIAL INSTITUTION</td></tr></table> <p>NAME OF FINANCIAL INSTITUTION: _____ BRANCH ADDRESS: _____ PHONE: _____</p>	IN THE MATTER OF THE) CONSERVATORSHIP FOR:) _____) (Protected Person's Name)) <input type="checkbox"/> a Minor <input type="checkbox"/> an Adult) _____))	Case No.: PB _____ PROOF OF RESTRICTED ACCOUNT from FINANCIAL INSTITUTION	<div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p style="color: gray; font-size: small;">For Clerk's Use Only</p>
IN THE MATTER OF THE) CONSERVATORSHIP FOR:) _____) (Protected Person's Name)) <input type="checkbox"/> a Minor <input type="checkbox"/> an Adult) _____))	Case No.: PB _____ PROOF OF RESTRICTED ACCOUNT from FINANCIAL INSTITUTION		

Inventory

When you file Form 5 (the Conservator's Estate Budget) you will need to also file an Inventory.

In the matter of: _____	Case No. _____				
INVENTORY (Use additional sheets if necessary)					
Inventory Date: _____					
CHECKING ACCOUNTS, SAVINGS ACCOUNTS, MONEY MARKET ACCOUNTS Include both Restricted and Unrestricted Bank Accounts					
Name of Bank	Bank Address	Account Type	Name Account is Under	Account Number	Value
STOCKS, BONDS, MUTUAL FUNDS AND OTHER INVESTMENTS Include Other Money-Denominated Assets, and Tax Deferred Assets					
Company Name	Company Address	Number of Shares or Units	Value Per Unit	Actual Value	

Statement of Asset Distribution

When you file your final account, Form 8, you will need to file a Statement of Asset Distribution.

In the matter of: _____	Case No. _____		
 Statement of Asset Distribution (Use additional sheets if necessary) End Date of Account Reporting Period: _____ 			
CHECKING ACCOUNTS, SAVINGS ACCOUNTS, MONEY MARKET ACCOUNTS Include both Restricted and Unrestricted Bank Accounts			
Name of Bank	Account Number	Value	Who Received Asset and Why
STOCKS, BONDS, MUTUAL FUNDS AND OTHER INVESTMENTS Include Other Money-Denominated Assets, and Tax Deferred Assets			
Company Name	Actual Value	Who Received Asset and Why	

Transaction Log

Once the court issues your letters of conservatorship you should begin recording receipts and disbursements (income and spending). A good practice for doing this is to use a Transaction Log. Additionally, a new transaction log should be started for each account reporting period the day following the prior account reporting's closing. This will also make completing Schedule 1 much easier if you already have the transaction information documented. The form and format shown below is optional. A report printed from financial software or even a legible copy of a detailed check register that provides the same information may also be acceptable.

In the matter of: 					Case No. 			
Transaction Log (Use additional sheets if necessary) End Date of Account Reporting Period: 								
Transaction Category	Date	Account No. <small>(include last 4 digits of account number)</small>	Transaction Type	Check number	Payer/Payee	Purpose/Description	Income Amount	Expense Amount

Filing an Amended Budget

There may also be occasions when you will have to file an amended budget. The Rules of Probate Procedure require that a conservator file an amended budget within 30 days of projecting that any expense for any budget category will exceed 10 percent or \$2,000 of the original budgeted amount, whichever is greater.

In the matter of: 		Case No: 	
Date of Amended Budget: 			
AMENDED BUDGET <i>*Complete Only if Necessary</i>	Column A	Column B	Column C
	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)		0.00	
8 Total Receipts (Add lines 3 through 7)	0.00	0.00	
9 Assets/Liabilities as Receipts			
10 Total Income Included in Receipts (Line 8 minus line 9)	0.00	0.00	
Disbursements (Money Spent):			
<i>Money Spent for Protected Person:</i>			

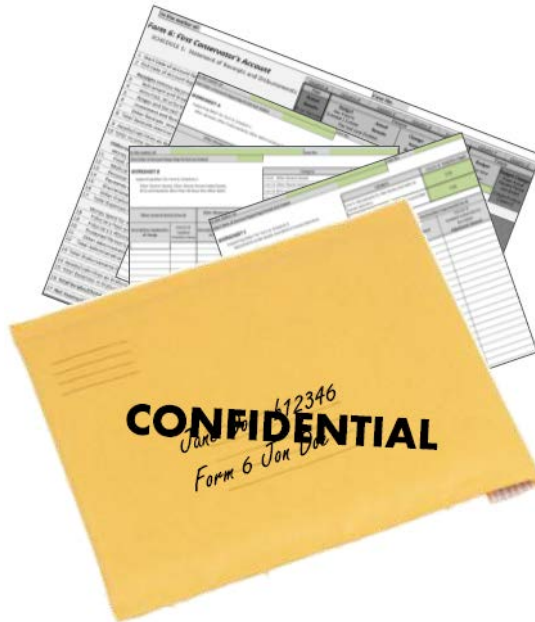
While these documents are required to be filed with the court, their format is not mandated. However, for your convenience there are optional forms provided for these reports on the Judicial Branch website at www.azcourts.gov/probate.

Important Reminders

Here are some good practices to keep in mind during your Conservatorship.

Keep Your Records - As conservator, you must maintain accurate and complete records of the financial activity for the protected person. It is important to save copies of all the forms, schedules and other required documentation you file with the court. You may need to refer to this information later if the court has a question about the information you provided, and you will need to use most of the information again in future accounts.

Remember Confidentiality. Except for the form coversheet, please remember that all other account documentation is considered confidential and not available for public inspection. When filing confidential documents, place the original document in an envelope that bears the case name and number, the name of the document being filed, the name of the party filing the document, and the label “**Confidential Document.**”



Refer to Instructions - If this is your first time serving as a conservator, we understand there is a lot of information you have to familiarize yourself with. Remember to refer to your instructions when completing the account forms. You may also find it helpful to review the definitions contained in the first section of your instruction booklet.

Probate Website

In addition to the instructions on the probate website at www.azcourts.gov/probate, you will find additional useful information to assist you in learning more about your role and responsibilities as conservator. From this site you can select the specific form you need to complete, along with the instructions associated with that particular form.

Thank you for viewing this information. The welfare of the protected person is of utmost importance to the court. Please remember to view the page on the Judicial Branch website devoted to Probate for additional information and resources.

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 YUMA COUNTY

In the Matter of the Estate of: _____

Case Number: _____

DECLARATION OF COMPLETION OF TRAINING for NON-LICENSED FIDUCIARIES

A ☐ Deceased or ☐ Protected Person

Rule 27.1 of the Arizona Rules of Probate Procedure requires that a person to be appointed guardian, conservator, or personal representative of an estate, who is neither a state-licensed fiduciary nor a corporation, complete a training program approved by the Supreme Court of this state before permanent **Letters of Appointment** are issued, or within 30 days of a temporary or emergency appointment.

UNDER PENALTY OF PERJURY

I state to the Court that in accord with Rule 27.1 of the Arizona Rules of Probate Procedure, I have completed the required training for non-licensed, non-corporate fiduciaries, as indicated below: (Check all that apply and provide applicable information.)

- ☐ Unlicensed Fiduciary
- ☐ Conservatorship
- ☐ Personal Representative
- ☐ Guardianship

Date completed: _____

Date completed: _____

Date completed: _____

Date completed: _____

Date: _____

Signature _____

Printed Name _____

INSTRUCTIONS: Fill out this Declaration completely and provide accurate information. Make at least one copy. You will need to file the original with the Clerk of Court and provide a copy to the Probate Registrar before receiving any *permanent* letters of appointment.