

Insert Court Examiner's Name

ANNUAL REPORT OF GUARDIAN

_____ COURT OF STATE OF NEW YORK

COUNTY OF _____

Index No. _____

In the Matter of the Annual Report of

As Guardian for _____

An Incapacitated Person.

Accounting Period:

1/01/_____to

12/31/_____

General Instructions

1. All guardians must complete **Sections I and II**
2. All guardians must attach a copy of the order of appointment.
3. If you have been appointed guardian for the personal needs of the incapacitated person, please complete **Section III**.
4. If you have been appointed guardian for the property management of the incapacitated person, please complete **Section IV, the summary and the attached schedules**.
 - (a) When listing property on a schedule, please be specific. For instance -with bank accounts, list name and address of bank, number of account and balance; with stocks, list number of shares, name of stock, type and value.
 - (b) Gains or losses should be listed in Schedule B or C, whichever applies. If a schedule does not supply enough space, attach additional sheets with reference to the schedule to which the information applies.
 - (c) In any schedule, if there is nothing to list, state "NONE".

5. You must file your original annual report in the county clerk's office.
6. You must send a copy of the annual report to the incapacitated person by mail, unless the court has ordered otherwise.
7. You must send a copy of the annual report to the Court Examiner assigned to this matter. If you are not aware of the name and address of the Court Examiner, the information may be obtained from the New York State Supreme Court, Appellate Division, Fourth Department at (585)530-3225.
8. If the incapacitated person resides in a facility, you must send a duplicate of the annual report to the chief executive officer of that facility.
9. If the incapacitated person resides in a mental hygiene facility, you must send a duplicate of the annual report to Mental Hygiene Legal Service, M. Dolores Denman Courthouse, 50 East Avenue, Suite 402, Rochester, New York 14604.
10. If Mental Hygiene Legal Service was appointed as the court evaluator or counsel for the incapacitated person at the time of the guardianship proceeding, you must send a duplicate of the annual report to Mental Hygiene Legal Service at the address noted above, if so ordered by the Court.

**SECTION I INFORMATION PERTAINING TO THE GUARDIAN
(all guardians must complete this section).**

1. REPORT:

Date of initial report: _____

Date of last annual report: _____

Date of this report: _____

Period covered by this report: January 1, 2____ through December 31, 2____.
(INSTRUCTIONS: except for the first and last year of guardianship, the accounting covers the period from January until the end of December of the year preceding the report, or any other period upon order of the court).

2. GUARDIAN:

Name: _____

Address (include mailing address, if different):

Telephone no.: _____

3. APPOINTMENT:

Date of order: _____

Court: _____

Name of Judge/Justice: _____

4. **BOND:**

Bonding company name: _____

Bonding company address: _____

Value of bond (If the bonding requirement was waived, so state): _____

5. **VISITS:** (guardians are required to visit the incapacitated person at least four [4] times a year or more frequently as specified by court order).

Have you visited the incapacitated person?

Yes ___ No ___

If yes, please provide the date and place of such visits:

<u>Date</u>	<u>Place</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

If no, please explain:

6. **EARNINGS:**

Have you used or employed the services of the incapacitated person?

Yes _____ No _____

Have any moneys been earned by or received on behalf of the incapacitated person based upon such services?

Yes _____ No _____

If yes, please set forth date, source and amount of moneys earned or derived from such services:

<u>Date</u>	<u>Source</u>	<u>Amount</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

7. **WILL:**

To your knowledge, has the incapacitated person executed a will?

Yes ____ No ____

If yes, please provide location of the will:

8. **POWER OF ATTORNEY:**

To your knowledge, has the incapacitated person executed a Power of Attorney?

Yes ____ No ____

If yes, please provide the name and address of the person with the Power of Attorney:

9. **ADDITIONAL INFORMATION:**

Please provide any additional information which is required by your order of appointment as guardian (In addition to information provided in Sections I, II, III, and IV of this report)

10. **TYPE OF GUARDIANSHIP:**

Have you been granted powers over the personal needs of the incapacitated person?

Yes ____ No ____

If yes, complete **Sections II and III**

Have you been granted powers regarding property management of the incapacitated person?

Yes ____ No ____

If yes, complete **Sections II and IV**

11. **CHANGE IN POWERS:**

Is there any reason for any alteration of your powers as guardian?

Yes ____ No ____

If yes, please specify change requested:

If you want to change your authorized powers, you must make an application within TEN (10) days of filing this annual report and provide notice to the persons specified in your order of appointment as entitled to such notice. If you fail to comply with this provision, any person entitled to commence a proceeding under this article may petition the court for a change in the powers on notice to you and the persons entitled to such notice as specified in the order of appointment.

**SECTION II INFORMATION PERTAINING TO THE INCAPACITATED PERSON
(all guardians must complete this section)**

1. **INCAPACITATED PERSON:**

Name: _____

Address (If residential facility, include name of the Director or person responsible for care):

Telephone no. _____

Date of Birth _____

Has there been any substantial change in the incapacitated person's mental or physical condition?

Yes ____ No ____

If yes, please explain:

Has there been any substantial change in the incapacitated person's medication?

Yes ___ No ___

If yes, please explain:

2. EXAMINATION:

Please state the date and place the incapacitated person was last examined or otherwise seen by a physician and the purpose of such visit:

<u>Date</u>	<u>Physician</u>	<u>Purpose</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

Please attach a statement by a physician, psychologist, nurse clinician or social worker, or other person who has evaluated or examined the incapacitated person within three (3) months prior to the filing of this report, regarding an evaluation of the incapacitated person's condition and current functional level.

SECTION III PERSONAL NEEDS

If you have been granted powers with respect to the personal needs of the incapacitated person, please provide the following information:

1. RESIDENTIAL SETTING:

Is the current residential setting suitable to the needs of the incapacitated person?

Yes ___ No ___

If no, please explain:

2. TREATMENT:

What professional medical treatment, if any, has been given to the incapacitated person during the preceding year?

<u>Date</u>	<u>Treatment</u>
_____	_____
_____	_____
_____	_____

3. TREATMENT PLAN:

Describe the treatment plan for the coming year for the incapacitated person regarding:

(a) Medical treatment

(b) Dental treatment

(c) Mental health treatment

(d) Additional related services

4. SOCIAL SKILLS:

Please provide information concerning the social condition of the incapacitated person, such as the incapacitated person's social skills and needs and the social and personal services used by the incapacitated person.

SECTION IV PROPERTY MANAGEMENT

If you have been granted powers regarding the property management of the incapacitated person, please provide the following information, consistent with your order of appointment, pertaining to your fulfillment of your responsibilities to the incapacitated person to provide for property management:

1. Have you identified, traced and collected assets of the incapacitated person since your appointment?

Yes ___ No ___

If no, please explain:

2. Have all of the incapacitated person's past and current income tax returns and payments been brought up to date?

Yes ___ No ___

If no, please explain:

Complete the following schedules and summary. If you have nothing to list on a schedule, state "NONE".

SCHEDULE A
Assets on Hand at the Beginning of the Accounting Period

Please list all assets of the incapacitated person over which you had sole control as guardian as of the beginning of the accounting period. Do not include in this schedule trust principal in which the incapacitated person has an income interest, property under joint control of any court or real property not transferred to the guardian.

1. **BANK ACCOUNTS AND CASH** - please list the name and address of institutions, account numbers and balance deposited in banks or other financial institutions. Please also list any cash on hand not in bank accounts. You must send a copy of corresponding bank statements with this report.

<u>Bank/Financial Institution</u>	<u>Address</u>	<u>Account #</u>	<u>Balance</u>

2. **CORPORATE AND GOVERNMENT SECURITIES (e.g., CORPORATE STOCKS AND BONDS; FEDERAL, STATE OR MUNICIPAL BONDS AND NOTES)**

SCHEDULE B

Assets Received During Accounting Period

Please list all principal assets received during the period of this report (show date received, source and amount or value).

<u>Date Received</u>	<u>Source</u>	<u>Amount/Value</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SCHEDULE C

Income Received During Accounting Period

Please list all income received during the period from property interests listed in Schedules A and B (show date received, source and amount).

<u>Date Received</u>	<u>Source</u>	<u>Amount</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SCHEDULE D
Losses Incurred During Accounting Period

Please list all realized losses incurred on principal assets, whether due to sale or liquidation, indicating the asset involved, the date and amount of loss.

<u>Date</u>	<u>Asset</u>	<u>Amount of Loss</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SCHEDULE E
Monies Paid Out During Accounting Period

Please list all disbursements, excluding investments, during the period, including date of payment, payee and amount.

<u>Date</u>	<u>Payee</u>	<u>Amount</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SCHEDULE F
Assets On Hand At End Of The Accounting Period

Please list assets of the type listed in Schedule A on hand at the end of the period and value thereof (see Schedule A for further instructions)

1. **BANK ACCOUNTS AND CASH.**

2. **CORPORATION AND GOVERNMENT SECURITIES.**

3. **PRESENT OR FUTURE INTERESTS.**

4. **OTHER PERSONAL PROPERTY.**

5. **REAL PROPERTY.**

SUMMARY

PART I.

Total beginning balance, as shown on **Schedule A**, \$ _____

Total additional assets, as shown on **Schedule B**, \$ _____

Total income received during accounting period,
as shown on **Schedule C** \$ _____

TOTAL PART I: \$ _____

PART II.

Total losses during accounting period,
as shown on Schedule D \$ _____

Total moneys paid out during accounting period,
as shown on Schedule E \$ _____

TOTAL PART II: \$ _____

BALANCE ON HAND AT END OF ACCOUNTING PERIOD
(Total Part I minus Total Part II) \$ _____

(This amount should be the same as Schedule F)

VERIFICATION

STATE OF NEW YORK)

SS:

COUNTY OF ()

, being duly sworn, states that I am the Guardian of the within named incapacitated person and that the attached annual report and schedule(s) are, to the best of my knowledge and belief, a complete and true statement of my activities as such Guardian; receipts and payments on behalf of such incapacitated person; money and other property which has come into my possession or has been received by others pursuant to my order or authority since the date of my appointment or last report; and the value of such property. I do not know of any error or omission in the report or schedule(s) to the prejudice of such incapacitated person.

Signature

(Your name, address and telephone number)

Sworn to before me this _____ day

of _____, 20____ .

Notary Public