

**Superior Court of the District of Columbia
Probate Division**

Auditing Branch Filing Checklist

Inventories, Accounts, Conservator's Reports, Reports of Guardian, and Requests for Compensation (or Motions to Late File Requests for Compensation) in matters under the jurisdiction of the Probate Division may be filed with the Duty Auditor in person or by mail. **Please assemble the accounts, pleadings, reports and other documentation using binder clips rather than staples to facilitate the imaging of the documents.** Upon receipt, each item will be reviewed for compliance with applicable statutes and rules. Please ensure that the following minimum requirements are met:

INVENTORY - DECEDENT ESTATES: D.C. Code §§ 20-102-103, 20-711, 712, 713, 20-715; SCR-PD 2, 3, 101, 109 and 409.

- Prescribed inventory form is used
- Original Affidavits of Publication are attached (unless previously filed)
- Bears original signature of personal representative
- Certificate reflects proper service on all interested persons or their counsel

INVENTORY - ESTATES OF MINORS AND FORMER LAW CONSERVATORSHIPS: D.C. Code §§21-142; SCR-PD 2, 3 and 204.

- Prescribed inventory form is used
- Inventory bears the original signature of guardian/fiduciary
- Inventory is signed under oath

INVENTORY - INTERVENTION ESTATES: D.C. Code §§ 21-2064; SCR- PD 2, 3 and 329.

- Prescribed inventory form is used
- Inventory is filed in conjunction with Conservator Plan
- Inventory bears the original signature of fiduciary
- Inventory is signed under oath
- Certificate reflects proper service upon the ward, all involved parties and their counsel, and those granted permission to participate

ACCOUNT - DECEDENT ESTATES: D.C. Code §§ 20-102, 20-721-724, 20-732, 20-734; SCR-PD 2, 3, 19, 20, 24, 101, 114, 116, 117, 118, 119, 125 and 414.

- Prescribed accounting form is used
- If the estate is unsupervised, the account references an order of the Court authorizing its filing
- Account is typed or machine printed
- Account indicates proper reporting period
- Beginning balance is consistent with the inventory in an initial account or with the ending balance of the previous account
- Account is balanced
- Account bears the original signature of fiduciary
- Certificate reflects proper service on all interested persons or their counsel and the notice requirement has been met
- Audit documentation for each line item is submitted or exhibited logically and in an orderly manner (including financial statements from date of death to closing the decedent's accounts and the establishment of the estate accounts)
- Cursory Review filing requirements are met (if cursory audit is requested)
- Court costs are paid
- An addressed envelope with court return address or a mailing label for each person to receive notice is provided

ACCOUNT - ESTATES OF MINORS AND FORMER LAW CONSERVATORSHIPS: D.C. Code §§21-143; SCR-PD 3, 204 and 206.

- Prescribed accounting form is used
- Account is typed or machine printed
- Account is balanced
- Account indicates proper reporting period
- The beginning balance is consistent with the inventory in an initial account or with the ending balance of the previous account
- Account bears the original signature of fiduciary
- Account is signed under oath
- Certificate reflects proper service on all parties and affected persons (or their counsel) and the notice requirement has been met

- ❑ Audit documentation for each line item is submitted or exhibited logically and in an orderly manner (including financial statements to support the beginning balance in the initial account from date of appointment)
- ❑ Court costs are paid
- ❑ An addressed envelope with court return address or a mailing label for each person to receive notice is provided

ACCOUNT - INTERVENTION ESTATES: D.C. Code §§ 21-2065; SCR-PD 3, 330 and 331.

- ❑ Prescribed accounting form is used
- ❑ Account is typed or machine printed
- ❑ Account is balanced
- ❑ Account indicates proper reporting period
- ❑ The beginning balance is consistent with the inventory in an initial account or with the ending balance of the previous account
- ❑ Account bears the original signature of fiduciary
- ❑ Account is signed under oath
- ❑ Certificate reflects proper service on all interested persons or involved parties and the notice requirement has been met
- ❑ Audit documentation for each line item is submitted or exhibited logically and in an orderly manner (including financial statements to support the beginning balance in the initial account)
- ❑ Court costs are paid
- ❑ Conservator's Report is filed with each account
- ❑ Certificate of unsettled liabilities is filed with the final account
- ❑ An addressed envelope with court return address or a mailing label for each person to receive notice is provided

REQUEST FOR COMPENSATION - DECEDENT ESTATE'S PRIOR TO JULY 1, 1995: D.C. Code §§ 20-102, 20-751, 21-143; SCR-PD 2, 3, 22, 101 and 124; Administrative Orders of the Chief Judge 04-06 & 04-07.

- ❑ Petition bears original signature of petitioner
- ❑ Petition is served upon all interested persons
- ❑ Certificate of service date is completed
- ❑ A proposed order is presented together with an addressed envelope with court return address or a mailing label for each person to receive notice
- ❑ Compliance with Administrative Order 04-06 or 04-07

**PETITION FOR COMPENSATION - DECEDENT ESTATE'S
AFTER JULY 1, 1995; D.C. Code §§ 20-102, 20-742, 20-751-753;
and SCR-PD 412 and 424.**

NOTE: A petition for compensation is not required. However, any interested person may file a petition for court review of the compensation.

- ❑ Petition bears original signature of petitioner
- ❑ Petition is served upon all interested persons (or their counsel)
- ❑ Certificate of service date is completed
- ❑ Is accompanied by a proposed order scheduling a hearing date together with an addressed envelope with court return address or a mailing label for each person to receive notice

**PETITION FOR COMPENSATION - ESTATES OF MINORS AND FORMER
LAW CONSERVATORSHIPS; SCR-PD 2, 3, and 225; Administrative Orders of
the Chief Judge 04-06 & 04-07.**

- ❑ Petition bears original signature of petitioner
- ❑ Petition is signed under oath
- ❑ Petition is served upon all parties and affected persons
- ❑ Certificate of service date is completed
- ❑ A proposed order is presented together with envelope with court return address or a mailing label for each person to receive notice
- ❑ Compliance with Administrative Order 04-06 or 04-07

**PETITION FOR COMPENSATION - INTERVENTION
ESTATES; D.C. Code §§ 21- 2060; SCR-PD 2, 3, 22 and 308;
Administrative Orders of the Chief Judge 04-06 & 04-07.**

- ❑ Petition is timely filed
- ❑ Petition bears original signature of petitioner
- ❑ Petition is signed under oath
- ❑ Certificate reflects proper service upon the ward, all involved parties (or their Counsel) and those granted permission to participate
- ❑ Certificate of service date is completed
- ❑ Petition is properly served at least twenty (20) calendar days prior to the filing of the petition
- ❑ A proposed order is presented together with an addressed envelope with court return address or a mailing label for each person to receive notice
- ❑ Compliance with Administrative Order 04-06 or 04-07 (as applicable)

REPORT OF GUARDIAN: * D.C. Code §21-2047; SCR-PD 3 and 328.

- ❑ Report indicates proper reporting period and is numbered (first, second, etc.)
- ❑ Report bears the original signature of the guardian
- ❑ Certificate reflects proper service upon the ward, all involved parties or their counsel, and those granted permission to participate
- * May also be filed in the Interventions and Trusts Section of the Division

Please note that this checklist is also available at:
<http://www.dccourts.gov/dccourts/superior/probate/faq.jsp>