



# Professional Fiduciaries Bureau

Post Office Box 989005  
 West Sacramento, CA 95798-9005  
 Telephone: (916) 574-7340 FAX (916) 574-8645  
 Website: [www.fiduciary.ca.gov](http://www.fiduciary.ca.gov)



PF Lic# _____
Expiration Date _____

## INITIAL ANNUAL STATEMENT LICENSED PROFESSIONAL FIDUCIARY

In addition to the other reporting responsibilities of a Licensed Professional Fiduciary, the Initial Annual Statement must be completed in its entirety and filed with the Bureau within 60 days of the issuance of the Professional Fiduciary License. Failure to file this report as required by law is cause for cite and fine or disciplinary action. The Initial Annual Statement filed shall report current information reflecting any changes since the date of filing the licensing application, or of the last report to the Bureau, as instructed below.

### PART 1. PERSONAL/BUSINESS INFORMATION

NAME Last	First	Middle
BUSINESS NAME OR AFFILIATION: (Optional)		
TYPE OF FIDUCIARY: <b>Select all that apply.</b> <input type="checkbox"/> Conservator <input type="checkbox"/> Guardian <input type="checkbox"/> Trustee <input type="checkbox"/> Agent Under Durable Power of Attorney <input type="checkbox"/> Other: _____		
<b>BUSINESS ADDRESS:</b> (Physical address)		
Number and Street		
City	State	Zip Code
Business Telephone	Business FAX	E-mail (Optional)
<b>ADDRESS OF PUBLIC RECORD:</b> (If different than above)		
Number and Street		
City	State	Zip Code
<b>HOME ADDRESS:</b> (Physical address)		
Number and Street		
City	State	Zip Code
Home Telephone	Home FAX	E-mail (Optional)
Have you ever served in the United States military?		<input type="checkbox"/> YES <input type="checkbox"/> NO

### PART 2. OTHER LICENSES/CERTIFICATES

Since the date of submission of your licensing application or of your last report to the Bureau, please indicate whether you have been issued a new license or professional certification in any state, territory, province, foreign country, or U.S. federal jurisdiction or whether there have been any changes to the information you last reported.	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, provide the following information for each license or certificate: (Attach additional sheets as needed.)	
Type	State/Country
License/Certificate #	Date Issued (mm/dy/year)
	Status
Has the license or certificate listed above ever been revoked, suspended, or subject to discipline?	<input type="checkbox"/> YES <input type="checkbox"/> NO

You <u>may</u> attach a statement of explanation.		Attached? <input type="checkbox"/> YES
Type		State/Country
License/Certificate #	Date Issued (mm/dy/year)	Status
Has the license or certificate listed above ever been revoked, suspended, or subject to discipline?		<input type="checkbox"/> YES <input type="checkbox"/> NO
You <u>may</u> attach a statement of explanation.		Attached? <input type="checkbox"/> YES

### PART 3. CLIENT MATTERS

#### VALUE OF CLIENT ASSETS UNDER MANAGEMENT

Provide the aggregate dollar value of all assets currently under your supervision as a Licensed Professional Fiduciary: \$ \_\_\_\_\_

#### CURRENT CLIENT INFORMATION

**SECTION 1. COURT APPOINTED:** For all conservatorships, guardianships, trusts, or other estate administration cases *appointed by the court* that you currently administer as the conservator (C), guardian (G), trustee (T) or personal representative (PR), provide the following information: (Attach additional sheets as needed.)

(C), (G), (T), (PR)	Case Name (if applicable)	Case # (if applicable)	Date Appointed (mm/dy/year)	Court Location

**SECTION 2. OTHER CLIENTS:** For all conservatorships, guardianships, trusts, or other estate administration cases that you currently administer as the conservator (C), guardian (G), trustee (T) or personal representative (PR), provide the following information: (Attach additional sheets as needed.)

(C), (G), (T), (PR)	Case Name (if applicable)	Case # (if applicable)	Date Opened (mm/dy/year)	Court Location

#### PREVIOUS CLIENTS

**SECTION 1. CLOSED COURT CASES:** For all conservatorships, guardianships, trusts, or other estate administration cases *appointed by the court* that are closed for which you have ever served as the conservator (C), guardian (G), trustee (T) or personal representative (PR), provide the following information: (Attach additional sheets as needed.)

(C), (G), (T), (PR)	Case Name (if applicable)	Case # (if applicable)	Date Closed (mm/dy/year)	Court Location

**SECTION 2. OTHER CLOSED CASES:** For all conservatorships, guardianships, trusts, or other estate administration cases that are closed for which you have ever served as the conservator (C), guardian (G), trustee (T) or personal representative (PR), provide the following information: (Attach additional sheets as needed.)

(C), (G), (T), (PR)	Case Name (if applicable)	Case # (if applicable)	Date Closed (mm/dy/year)	Court Location

(C), (G), (T), (PR)	Case Name (if applicable)	Case # (if applicable)	Date Closed (mm/dy/year)	Court Location
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**PART 4. BUSINESS MATTERS**

**SECTION 1. BUSINESS INTERESTS**

1. Do you or a family member hold any ownership or beneficial interest in any business or other enterprise that receives or has received payments from a client of yours?			<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, list the names of the applicable businesses or other enterprises and the names of your respective clients. (Attach additional sheets as needed.)			
Business/Enterprise	Client Name(s)	Date Payment Received	
You <u>may</u> attach a statement of explanation.			Attached? <input type="checkbox"/> YES
Business/Enterprise	Client Name(s)	Date Payment Received	
You <u>may</u> attach a statement of explanation.			Attached? <input type="checkbox"/> YES
Business/Enterprise	Client Name(s)	Date Payment Received	
You <u>may</u> attach a statement of explanation.			Attached? <input type="checkbox"/> YES
2. List the names of any persons or entities that have an interest in your professional fiduciary business. (Attach additional sheets as needed.)			
Person/Entity			
You <u>may</u> attach a statement of explanation.			Attached? <input type="checkbox"/> YES
Person/Entity			
You <u>may</u> attach a statement of explanation.			Attached? <input type="checkbox"/> YES
Person/Entity			
You <u>may</u> attach a statement of explanation.			Attached? <input type="checkbox"/> YES

**SECTION 2. BANKRUPTCY**

**Information reported herein shall reflect any bankruptcy filed after the date of submission of your licensing application or of your last report to the Bureau.**

Have you filed for bankruptcy or held a controlling financial interest in a business when that business filed for bankruptcy?	<input type="checkbox"/> YES Date: _____ <input type="checkbox"/> NO
You <u>may</u> attach a statement of explanation.	Attached? <input type="checkbox"/> YES

**PART 5. CONVICTIONS/FIDUCIARY ACTIONS**

**CONVICTIONS**

Omitting minor traffic violations resulting in a fine of \$499 or less, since the date of submission of your licensing application or of your last report to the Bureau, have you been convicted of, or pled guilty or nolo contendere to, any violation of any federal or state statute, city or county ordinance, or law of a foreign country? This includes all misdemeanor and felony convictions. (Any conviction that was subsequently dismissed pursuant to Penal Code section 1203.4 must also be disclosed.)	<input type="checkbox"/> YES <input type="checkbox"/> NO
You <u>may</u> attach a statement of explanation.	Attached? <input type="checkbox"/> YES

**FIDUCIARY ACTIONS**

**SECTION 1. BREACH OF FIDUCIARY DUTY**

Since the date of submission of your licensing application or of your last report to the Bureau, have you been found by a court to have breached a fiduciary duty?			<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, provide the following data associated with the breach of fiduciary duty for each specific case: (Attach additional sheets as needed.)			
Case Name	Case #	Court Location	Date of Breach (mm/dy/year)
You <u>must</u> provide copies of the court findings and orders related to this case.			Attached? <input type="checkbox"/> YES
You <u>may</u> attach a statement of the issues and facts pertaining to this case.			Attached? <input type="checkbox"/> YES
Case Name	Case #	Court Location	Date of Breach (mm/dy/year)
You <u>must</u> provide copies of the court findings and orders related to this case.			Attached? <input type="checkbox"/> YES
You <u>may</u> attach a statement of the issues and facts pertaining to this case.			Attached? <input type="checkbox"/> YES

<b>SECTION 2. REMOVAL</b>				
Since the date of submission of your licensing application or of your last report to the Bureau, have you been removed as a fiduciary by a court for breach of trust?				<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, provide the following data associated with the removal for each specific case: (Attach additional sheets as needed.)				
<b>Case Name</b>	<b>Case #</b>	<b>Court Location</b>	<b>Date of Removal (mm/dy/year)</b>	
You <b>must</b> provide copies of the court findings and orders related to this case.				Attached? <input type="checkbox"/> YES
Is there a pending appeal on your removal?				<input type="checkbox"/> YES <input type="checkbox"/> NO
Have all related appeals been taken?				<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the time for appeal expired?				<input type="checkbox"/> YES <input type="checkbox"/> NO
You <b>may</b> provide a statement of the issue and facts pertaining to this case.				Attached? <input type="checkbox"/> YES
<b>Case Name</b>	<b>Case #</b>	<b>Court Location</b>	<b>Date of Removal (mm/dy/year)</b>	
You <b>must</b> provide copies of the court findings and orders related to this case.				Attached? <input type="checkbox"/> YES
Is there a pending appeal on your removal?				<input type="checkbox"/> YES <input type="checkbox"/> NO
Have all related appeals been taken?				<input type="checkbox"/> YES <input type="checkbox"/> NO
Has the time for appeal expired?				<input type="checkbox"/> YES <input type="checkbox"/> NO
You <b>may</b> provide a statement of the issue and facts pertaining to this case.				Attached? <input type="checkbox"/> YES
<b>SECTION 3. RESIGNATION</b>				
Since the date of submission of your licensing application or of your last report to the Bureau, have you resigned as a fiduciary in a matter in which a complaint* has been filed with the court?				<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, provide the following data associated with the resignation for each specific case: (Attach additional sheets as needed.)				
<b>Case Name</b>	<b>Case #</b>	<b>Court Location</b>	<b>Date Complaint Filed</b>	<b>Date of Resignation (mm/dy/year)</b>
You <b>must</b> provide a statement of the issues and facts pertaining to the allegations for this case.				Attached? <input type="checkbox"/> YES
You <b>must</b> provide copies of the court findings and orders relating to this case.				Attached? <input type="checkbox"/> YES
<b>Case Name</b>	<b>Case #</b>	<b>Court Location</b>	<b>Date Complaint Filed</b>	<b>Date of Resignation (mm/dy/year)</b>
You <b>must</b> provide a statement of the issues and facts pertaining to the allegations for this case.				Attached? <input type="checkbox"/> YES
You <b>must</b> provide copies of the court findings and orders relating to this case.				Attached? <input type="checkbox"/> YES
<b>SECTION 4. SETTLEMENT</b>				
Since the date of submission of your licensing application or of your last report to the Bureau, have you settled as a fiduciary in a matter in which a complaint* has been filed with the court?				<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES, provide the following data associated with the settlement for each specific case: (Attach additional sheets as needed.)				
<b>Case Name</b>	<b>Case #</b>	<b>Court Location</b>	<b>Date of Settlement (mm/dy/year)</b>	
You <b>must</b> provide a statement of the issues and facts pertaining to the allegations for this case.				Attached? <input type="checkbox"/> YES
You <b>must</b> provide copies of the court findings and orders relating to this case.				Attached? <input type="checkbox"/> YES

<b>Case Name</b>	<b>Case #</b>	<b>Court Location</b>	<b>Date of Settlement (mm/dy/year)</b>
You <b>must</b> provide a statement of the issues and facts pertaining to the allegations for this case.		Attached? <input type="checkbox"/> YES	
You <b>must</b> provide copies of the court findings and orders relating to this case.		Attached? <input type="checkbox"/> YES	
<b>PART 6. AFFIDAVIT</b>			
Please read and sign the following:			
I, _____, hereby certify under penalty of perjury under the laws of the State of California to the truth and accuracy of all statements, answers, and representations made in this initial reporting document, including all supplementary statements.			
Signature of Applicant		Date	

\*A complaint means a civil complaint, a petition, motion, objection, or other pleading filed with the court against the licensee alleging the licensee has not properly performed the duties of a fiduciary.

**NOTICE: Effective July 1, 2012, the State Board of Equalization and the Franchise Tax Board may share taxpayer information with the Bureau. You are obligated to pay your State tax obligation and your license may be suspended if the State tax obligation is not paid.**