

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

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### 3-YEAR REVIEW MARKETING RESOURCES

|                  |  |
|------------------|--|
| <b>Exhibit 1</b> | ARTICLE: “Free Checkup Meetings Generate Lots of Revenue!” |
| <b>Exhibit 2</b> | 3-Year Review Checkup Reminder Postcard                    |
| <b>Exhibit 3</b> | Script for Calling Clients for 3-Year Review Meetings      |
| <b>Exhibit 4</b> | 3-Year Review Caller Results Log                           |
| <b>Exhibit 5</b> | Sample 3-Year Review Letter                                |
| <b>Exhibit 6</b> | Estate Plan Review Brochure                                |

### SUCCESSOR TRUSTEE SEMINAR & MANUAL RESOURCES

|                  |  |
|------------------|--|
| <b>Exhibit 7</b> | Information on Successor Trustee Seminar |
| <b>Exhibit 8</b> | Information on Successor Trustee Manual  |

### CLIENT E-MAIL NEWSLETTER

|                  |                                |
|------------------|--------------------------------|
| <b>Exhibit 9</b> | Sample Client Email Newsletter |
|------------------|--------------------------------|

### INITIAL CONTACT & BOOKING THE APPOINTMENT

|                   |  |
|-------------------|--|
| <b>Exhibit 10</b> | Receptionist Script for First EA Calls                       |
| <b>Exhibit 11</b> | First EA Checklist   |
| <b>Exhibit 12</b> | First EA Appointment Confirmation Letter – In-Person Meeting |
| <b>Exhibit 13</b> | First EA Appointment Confirmation Letter – Zoom Meeting      |
| <b>Exhibit 14</b> | First EA Appointment Confirmation Letter – Phone Appointment |
| <b>Exhibit 15</b> | Sympathy Card Sample & Resources                             |

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

---

|                   |   |
|-------------------|---|
| <b>Exhibit 16</b> | First EA No Appointment Follow-Up Letter #1 |
| <b>Exhibit 17</b> | First EA No Appointment Follow-Up Letter #2 |
| <b>Exhibit 18</b> | First EA No Appointment Follow-Up Letter #3 |
| <b>Exhibit 19</b> | Trustee Follow-Up Phone Script              |
| <b>Exhibit 20</b> | Trustee Follow-Up Letter (No Contact)       |

### PREPARATION BEFORE THE FIRST EA MEETING

|                   |   |
|-------------------|---|
| <b>Exhibit 21</b> | Trust Certification (First Death, 1 Trustee)                        |
| <b>Exhibit 22</b> | Trust Certification (Second Death or Single, 1 Trustee Bene)        |
| <b>Exhibit 23</b> | Trust Certification (Second Death or Single, 2 Trustees Benes)      |
| <b>Exhibit 24</b> | Instructions for Filing for an Employer Identification Number (EIN) |
| <b>Exhibit 25</b> | Authorization for Account Holder                                    |
| <b>Exhibit 26</b> | Authorization for Trust Assets (1 Trustee)                          |
| <b>Exhibit 27</b> | Authorization for Trust Assets (2 Trustees)                         |

### THE FIRST EA MEETING

|                   |   |
|-------------------|---|
| <b>Exhibit 28</b> | Estate Administration Questionnaire                 |
| <b>Exhibit 29</b> | Drafting Notes Page for Estate Planning Client File |
| <b>Exhibit 30</b> | Agreement to the Presence of Others                 |
| <b>Exhibit 31</b> | Conflict of Interest Disclosure                     |
| <b>Exhibit 32</b> | Estate Administration Fee Agreement                 |
| <b>Exhibit 33</b> | Estate Administration Disclosure                    |
| <b>Exhibit 34</b> | Acknowledgement Portability                         |

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

---

|                   |  |
|-------------------|--|
| <b>Exhibit 35</b> | Acknowledgement of Trustee Notification                |
| <b>Exhibit 36</b> | Acknowledgment of Information Given                    |
| <b>Exhibit 37</b> | Trustee Duties Upon Funding                            |
| <b>Exhibit 38</b> | Estate Administration Fee Schedule                     |
| <b>Exhibit 39</b> | Why Choose Us to Administer YOUR Trust or Estate Flyer |
| <b>Exhibit 40</b> | Not Retained Follow-Up Letter                          |

### ESTATE ADMINISTRATION DOCUMENTS

|                   |  |
|-------------------|--|
| <b>Exhibit 41</b> | Estate Administration Work-In-Process (“WIP”) Report |
|-------------------|--|

### INCAPACITY PACKAGE DOCUMENTS

|                   |  |
|-------------------|--|
| <b>Exhibit 42</b> | Doctor Letter Instructions Letter  |
| <b>Exhibit 43</b> | Incapacity Package Opening Letter  |
| <b>Exhibit 44</b> | Durable Power of Attorney Certification (1 Trustee)                        |
| <b>Exhibit 45</b> | Durable Power of Attorney Certification (2 Trustees)                       |
| <b>Exhibit 46</b> | Trust Certification (1 Trustee)  |
| <b>Exhibit 47</b> | Trust Certification (2 Trustees)   |
| <b>Exhibit 48</b> | <a href="#">Form SS-4 - Application for Employer Identification Number</a> |
| <b>Exhibit 49</b> | HIPAA Authorization (1 Trustee)  |
| <b>Exhibit 50</b> | HIPAA Authorization (2 Trustees)   |
| <b>Exhibit 51</b> | Letter to Transfer Title (1 Trustee)                                       |
| <b>Exhibit 52</b> | Letter to Transfer Title (2 Trustees)                                      |
| <b>Exhibit 53</b> | Affidavit of Change of Trustee   |

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

---

### SMALL ESTATE ADMINISTRATION PACKAGE DOCUMENTS

|                   |   |
|-------------------|---|
| <b>Exhibit 54</b> | Small Estate Administration Package Opening Letter (Deaths Before April 2022) |
| <b>Exhibit 55</b> | 13101 Declaration (Deaths Before April 2022)                                  |
| <b>Exhibit 56</b> | Small Estate Administration Package Opening Letter (Deaths After April 2022)  |
| <b>Exhibit 57</b> | 13101 Declaration (Deaths After April 2022)                                   |
| <b>Exhibit 58</b> | Affidavit of Death and Change of Trustee                                      |

### AB & ABC ALLOCATION & FUNDING OPENING DOCUMENTS

|                   |  |
|-------------------|--|
| <b>Exhibit 59</b> | AB & ABC Funding Opening Letter (NO 706)                 |
| <b>Exhibit 60</b> | AB & ABC Funding Opening Letter (WITH 706)               |
| <b>Exhibit 61</b> | Client To-Do List - Asset Collection                     |
| <b>Exhibit 62</b> | Assignment Form  |
| <b>Exhibit 63</b> | Fiduciary Statement Regarding Value of Personal Property |
| <b>Exhibit 64</b> | Authorization to Release Information                     |

### BENEFICIARY PACKAGE OPENING DOCUMENTS

|                   |  |
|-------------------|--|
| <b>Exhibit 65</b> | Beneficiary Package Opening Letter (with Trust Certification)    |
| <b>Exhibit 66</b> | Beneficiary Package Opening Letter (without Trust Certification) |
| <b>Exhibit 67</b> | General Trustee Procedures                                       |
| <b>Exhibit 68</b> | Beneficiary Notification Cover Letter                            |
| <b>Exhibit 69</b> | Beneficiary Notice (1 Trustee)                                   |
| <b>Exhibit 70</b> | Beneficiary Notice (2 Trustees)                                  |
| <b>Exhibit 71</b> | Heir Notification Cover Letter                                   |

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

---

### DOCUMENTS & FORMS FOR TRANSFERRING REAL ESTATE

|            |   |
|------------|---|
| Exhibit 72 | AB Trust Affidavit of Death of Trustee  |
| Exhibit 73 | Beneficiary Affidavit of Death of Trustee (1 Trustee)   |
| Exhibit 74 | Beneficiary Affidavit of Death of Trustee (2 Trustees)  |
| Exhibit 75 | Quitclaim Deed (1 Trustee)  |
| Exhibit 76 | Quitclaim Deed (2 Trustees)   |
| Exhibit 77 | <a href="#">Los Angeles County Preliminary Change of Ownership Report (PCOR)</a>                              |
| Exhibit 78 | <a href="#">Change in Ownership Statement Death of Real Property Owner (BOE-502-D)</a>                        |
| Exhibit 79 | <a href="#">Claim for Reassessment Exclusion for Transfer Between Parent &amp; Child (BOE-19-P – PROP 19)</a> |
| Exhibit 80 | <a href="#">Claim for Reassessment Exclusion for Transfer Between Grandparent and Grandchild (BOE-19-G)</a>   |
| Exhibit 81 | <a href="#">Claim for Homeowners' Property Tax Exemption (BOE-266)</a>  |

### REQUIRED NOTICES

|            |  |
|------------|--|
| Exhibit 82 | Notice to California Franchise Tax Board     |
| Exhibit 83 | Notice to Department of Health Care Services |

### DISCLAIMERS

|            |                                  |
|------------|----------------------------------|
| Exhibit 84 | Disclaimer Cover Letter          |
| Exhibit 85 | AB Funding Disclaimer            |
| Exhibit 86 | Disclaimer of Inherited Property |

### 706 EXHIBITS AND FORMS

|            |                         |
|------------|-------------------------|
| Exhibit 87 | 706 Exhibit Cover Pages |
| Exhibit 88 | 706 Schedules           |

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

---

|                   |   |
|-------------------|---|
| <b>Exhibit 89</b> | Cover Letter for Application for Form 706 Extension (Form 4768)   |
| <b>Exhibit 90</b> | <a href="#"><u>IRS Form 4768 – Application for Extension of Time To File a Return and/or Pay U.S. Estate (and Generation-Skipping Transfer) Taxes</u></a> |
| <b>Exhibit 91</b> | IRS Cover Letter (No Tax Due)   |
| <b>Exhibit 92</b> | <a href="#"><u>IRS Form 706 – Estate Tax Return</u></a>   |

### GATHERING ASSET INFORMATION

|                    |  |
|--------------------|--|
| <b>Exhibit 93</b>  | Asset Allocation Chart   |
| <b>Exhibit 94</b>  | Financial Institution Follow-Up Tracker                        |
| <b>Exhibit 95</b>  | Non-Trust Asset – Life Insurance                               |
| <b>Exhibit 96</b>  | Non-Trust Asset – Trustee is Beneficiary                       |
| <b>Exhibit 97</b>  | Non-Trust Asset (1st Death, Surviving Spouse is Owner)         |
| <b>Exhibit 98</b>  | Non-Trust Asset (Owned Jointly with Another Person)            |
| <b>Exhibit 99</b>  | Trust Asset – Life Insurance                                   |
| <b>Exhibit 100</b> | Trust Assets   |
| <b>Exhibit 101</b> | Procedures for Follow-Up Phone Calls to Financial Institutions |

### CLOSING DOCUMENTS

#### AB ALLOCATION & FUNDING CLOSING DOCUMENTS

|                    |   |
|--------------------|---|
| <b>Exhibit 102</b> | Estate Administration Portfolio Book TOC – AB Trust without 706 |
| <b>Exhibit 103</b> | Estate Administration Portfolio Book TOC – AB Trust with 706    |
| <b>Exhibit 104</b> | AB Letter of Instruction  |
| <b>Exhibit 105</b> | AB Personal Property Grant & Assignment                         |

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

---

|                    |   |
|--------------------|---|
| <b>Exhibit 106</b> | AB Funding Quitclaim Deed               |
| <b>Exhibit 107</b> | Assignment of Promissory Notes          |
| <b>Exhibit 108</b> | AB Survivor's Trust Certification       |
| <b>Exhibit 109</b> | AB Funding Letters                      |
| <b>Exhibit 110</b> | AB Exemption Trust Certification        |
| <b>Exhibit 111</b> | AB Letter to Income Tax Preparer        |
| <b>Exhibit 112</b> | AB Statement of Legal Services Rendered |
| <b>Exhibit 113</b> | AB Asset Allocation Signature Page      |

### **ABC ALLOCATION & FUNDING CLOSING DOCUMENTS**

|                    |  |
|--------------------|--|
| <b>Exhibit 114</b> | Estate Administration Portfolio Book TOC – ABC Trust without 706 |
| <b>Exhibit 115</b> | Estate Administration Portfolio Book TOC – ABC Trust with 706    |
| <b>Exhibit 116</b> | ABC Letter of Instruction  |
| <b>Exhibit 117</b> | ABC Personal Property Grant & Assignment                         |
| <b>Exhibit 118</b> | ABC Funding Letters  |
| <b>Exhibit 119</b> | Marital Trust Certification                                      |
| <b>Exhibit 120</b> | ABC Statement of Legal Services Rendered                         |

### **BENEFICIARY PACKAGE CLOSING DOCUMENTS**

|                    |   |
|--------------------|---|
| <b>Exhibit 121</b> | Beneficiary Package Cover Letter (Settlement Agreement)         |
| <b>Exhibit 122</b> | Beneficiary Package Cover Letter for Mailed Closings            |
| <b>Exhibit 123</b> | Final Settlement Agreement (1 Trustee)                          |
| <b>Exhibit 124</b> | Final Settlement Agreement (2 Trustees)                         |
| <b>Exhibit 125</b> | Beneficiary Package Cover Letter for Acknowledgement of Receipt |

# The Ultimate Estate Administration Procedures Training Package

## EXHIBITS TABLE OF CONTENTS

---

|                    |  |
|--------------------|--|
| <b>Exhibit 126</b> | Beneficiary Package Cover Letter for Acknowledgement of Receipt (Advance Distribution) |
| <b>Exhibit 127</b> | Beneficiary Package Cover Letter for Final Distribution from Reserve Account           |
| <b>Exhibit 128</b> | Acknowledgement of Receipt (1 Trustee)   |
| <b>Exhibit 129</b> | Acknowledgement of Receipt (2 Trustees)  |
| <b>Exhibit 130</b> | Acknowledgement of Receipt (Bequests)  |
| <b>Exhibit 131</b> | Beneficiary Package Cover Letter for Invoice   |
| <b>Exhibit 132</b> | Beneficiary Package Cover Letter for Acknowledgement of Receipt (PAT Certification)    |
| <b>Exhibit 133</b> | Personal Asset Trust <sup>SM</sup> Certification of Trust                              |
| <b>Exhibit 134</b> | Agreement Not to Fund the PAT  |
| <b>Exhibit 135</b> | Special Needs Trust Certification of Trust   |
| <b>Exhibit 136</b> | IRA Inheritance Trust <sup>®</sup> Certification of Trust                              |

### MISCELLANEOUS EXHIBITS

|                    |   |
|--------------------|---|
| <b>Exhibit 137</b> | Estate & Trust Administration Resources |
|--------------------|---|