#### IN THE SUPERIOR COURT OF WASHINGTON FOR THE COUNTY OF KING

In Re the Guardianship/Trust/Settlement of: ) No.

)

) FIDUCIARY’S

) INVESTMENT PLAN

)

)

**I. General Information**

1. Name of Fiduciary: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Prof. License # \_\_\_\_\_\_\_\_\_\_\_
2. Effective date of this Investment Plan: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Date this Plan will next be reviewed by the Fiduciary: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Date this Plan was reviewed with Beneficiary, if appropriate: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
5. Date last Investment Plan approved by Fiduciary: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
6. Name of Lifetime Beneficiary: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Age: \_\_\_\_\_\_\_\_\_

**II. Investment Plan**

1. Purpose of estate or trust: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Primary factors affecting plan: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Estate planning and tax impact of plan: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Investment goal and objectives: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Investment strategies to be employed to attain objectives: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Target annual rate of return on equities: \_\_\_\_\_\_\_\_\_\_ % ; on income assets: \_\_\_\_\_\_\_\_\_\_%
2. Timetable for implementation of plan: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Changes from last investment plan: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Estimated life of account with current rate of expenditures: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**III. Annual Income and Expense** : Annual Amounts

1. Annual income expected from investments during period of Inv. Plan: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Fixed income expected from other sources (Soc. Sec., Annuity, etc.): $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Receipts from additional/other sources of funds: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Total annual income for period of Investment Plan**: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Annual ongoing budgeted expenses for Investment Plan period: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Total annual one-time/extraordinary expenses for Plan period: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Total annual expenses for period of Investment Plan**: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Difference** (net cash flow): $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**IV. Current Asset and Liabilities Information and Portfolio Profile**:

Net Value or Current Proposed

**Cash/ Cash Equivalents** Current Amount

1. Checking/ Savings Accounts $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
2. Money Market Accounts $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
3. Treasury Bills $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
4. Certificates of Deposit $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
5. Other $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

TOTAL CASH/ CASH EQUIVALENTS $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

**Bonds**

1. Treasury & Government Bonds $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
2. Corporate Bonds rated A or higher $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
3. Bonds rated lower than A (any service) $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

TOTAL BONDS $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

**Stocks & Other Securities**

1. Stock in public-traded corps. & funds $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
2. Portion in closely held corps. & business $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
3. Portion in other securities. $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

TOTAL STOCKS $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

# Real Estate and Other Investments

1. Commercial property $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
2. Rental residential property $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
3. REI or LLC trust $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %
4. Real estate contracts $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

5. Family residence & vacation property $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

6. Non-performing assets $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

TOTAL REAL ESTATE & OTHER $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

**GRAND TOTAL OF ALL ASSETS** $\_\_\_\_\_\_\_\_\_ 100 % 100 %

**V. Balance of Portfolio by Goal: (should = 100%)**

1. Portion of estate in income-prod. assets $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

2. Portion of estate in equity/growth assets $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

3. Portion of estate in non-performing assets $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

TOTAL VALUE OF PORTFOLIO $\_\_\_\_\_\_\_\_\_ 100% 100%

**VI. Physical Location of Investment Assets: (Should = 100%)**

1. Certificates, documents & assets located ***in*** U.S. $\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

2. Assets & accounts physically located ***outside*** U.S.$\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ % \_\_\_\_\_\_\_\_ %

TOTAL VALUE OF PORTFOLIO $\_\_\_\_\_\_\_\_\_ 100% 100%

**VII. Plan for Security and Protection of the Assets:**

# General Fiduciary Information

1. Name of specific individual supervising this Estate: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Amount of Fiduciary’s general surety bond, if any: $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Policy limits of Fiduciary’s errors & omissions insurance: $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Total value of assets of ***all*** Estates under Fiduciary’s control: $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
5. Total of assets of ***all*** Estates individually bonded or in blocked accounts: $ \_\_\_\_\_\_\_\_\_\_\_
6. Number of court-supervised Estates under Fiduciary’s control: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
7. Percent of assets of ***all*** estates held by Fiduciary, which are invested in pooled or common financial accounts, funds or securities: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ %

# Individual Client Information

1. Market value of this Estate’s investment portfolio: $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2. Amount of Fiduciary’s individual surety bond for this Estate, if any: $ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# Portfolio Balance by Court-Ordered Restriction of Assets: (should = 100%)

Amount Percentage

1. Assets in blocked or restricted financial accounts $\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ %

2. Assets in unrestricted financial accounts $\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ %

3. Assets not held in financial accounts (e.g. real estate,

stock options, interests in closely-held corporations) $\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ %

4. TOTAL VALUE OF ESTATE ASSETS: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 100 %

**Balance of Portfolio by Government Insurance: (should = 100%)**

1. Assets in government/insured accounts $\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ %

2. Assets in ***not*** in government/insured accounts $\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ %

3. TOTAL VALUE OF ESTATE ASSETS: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 100 %

**VIII. Annual Administrative Costs of Investment Program:**

Amount

**Estimated Annual *Fiduciary* Fees for All Investment Activities:**

1. Pooled account & common trust fund fees $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2. Flat fees $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

3. Transaction fees $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4. Hourly fees $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

5. Percentage fees charged (to be charged) $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

6.Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

TOTAL INVESTMENT FEES OF FIDUCIARY: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Estimated Annual *Outside* Fees for all Investment Activities:**

1. Estimated annual cost of fund manager $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

2. Estimated attorney fees related to investment $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

3. Estimated cost of securities purchases and sales $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4. Estimated cost of premiums, loads, points to be paid $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

5. Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_\_\_\_\_\_\_\_\_

TOTAL ***OUTSIDE*** FEES FOR ALL INVESTMENT SERVICES: $\_\_\_\_\_\_\_\_\_

**IX. Information on *Outside* Investment Manager, Financial Planner or Advisor If Any:**

1. Name of outside Investment Manager(s) or Service, Financial Planner or Advisor, if any: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Qualifications of outside investment advisor named in #1 above: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

3. What relationship does any financial advisor have to the Fiduciary (such as, friend /relative /arms-length professional): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4. Describe any contractual or financial relationship or arrangement which exists between the Fiduciary and each financial advisor named in #1 above: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

5. Who selected the outside advisor (Fiduciary / family / attorney/ other\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_):

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. For how many of the Fiduciary’s cases is this person the financial advisor? No.: \_\_\_\_\_\_

Percent? \_\_\_\_\_\_\_\_\_\_\_%

**Signed this on \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, \_\_\_\_\_, at \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, Washington.**

**Fiduciary’s Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Title: \_\_\_\_\_\_\_\_\_\_\_\_\_**

**Fiduciary’s Printed Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Prof. License #: \_\_\_\_\_\_\_\_\_\_\_\_\_\_ Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Telephone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ City, State, Zip: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**