

## **General Instructions for Probate Bonds**

**Completed Application** – Please forward the original (signed and witnessed) application. If the applicant is married and not employed, we will require the signature of the spouse as well.

**The following information is required at the time of application:**

- **A list of all assets (preliminary inventory)**
- **A list of all known creditors and amounts due (Decedents' estates)**
- **A list of all estimated annual expenses (Minor/Incapacitated estates)**
- **Copy of Will on all Executor (Testate) Estates**
- **Affidavit for Small Estate (Applies only to Small Estates)**

***\*A Restricted Account may be required on all Conservator/Guardian and Trustee Bonds.***

**The following information will be required once the application has been approved and the bond has been issued:**

- **Court Approved Annual Accountings**
- **A filed-stamped copy of the inventory and all subsequent amendments**

**Premium Payment** – An Invoice will be included in your bond package. Please remit payment within 30 days from the issuance of the bond. If you wish to pay the bond premium via credit card, please call The Bar Plan at 877-553-6376 or visit [www.thebarplan.com](http://www.thebarplan.com) and click on the Pay Online link. ***\*\*\*Premium for all Small Estates is required to be paid prior to the issuance of the bond.***

**Please feel free to mail, fax or e-mail all required information to:**

**The Bond Department  
622 Emerson Road  
Suite 100  
St. Louis, Missouri 63141  
Fax 888 658-6761  
[bonds@thebarplan.com](mailto:bonds@thebarplan.com)**

**The Bar Plan Surety and Fidelity Company**  
**The Bar Plan Mutual Insurance Company**  
622 Emerson Road, Suite 100, St. Louis, Missouri 63141, (314) 965-3333,  
Fax (314) 965-7812 or Toll Free 877-553-6376, Fax (888) 658-6761  
**Probate & Fiduciary Bond Application**  
*Please print legibly or type*

Please check if you are requesting a pre-approval/bondability letter only

Type of bond requested, please check one:

Administrator (Intestate)     Executor\* (Testate)     Guardian     Conservator  
 Summary Admin.     Creditor's Refusal     Small Estate     Trustee

Name of applicant: \_\_\_\_\_

(Mr./Mrs./Ms.)      First Name                      Middle Initial                      Last Name

A/K/A or Alias Name: \_\_\_\_\_

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

City: \_\_\_\_\_                      State: \_\_\_\_\_                      Zip: \_\_\_\_\_

Social Security #: \_\_\_\_\_                      Birth Date: \_\_\_\_\_

Marital Status:     Single     Married     Divorced     Widowed

Provide the name of all banks at which you hold accounts.: \_\_\_\_\_

Do you own a home?: \_\_\_\_\_ Rent?: \_\_\_\_\_ Other: \_\_\_\_\_

Are you currently employed?: \_\_\_\_\_

Employer: \_\_\_\_\_

Position/If retired, previous position: \_\_\_\_\_

If self employed, explain nature of business \_\_\_\_\_

Address of Employer: \_\_\_\_\_

City: \_\_\_\_\_                      State: \_\_\_\_\_                      Zip: \_\_\_\_\_

Length of employment/ownership: \_\_\_\_\_

Applicant's relationship to Ward or Decedent: \_\_\_\_\_

Have you ever been convicted or pled guilty to a felony? \_\_\_\_\_

If yes, please explain: \_\_\_\_\_

Have you filed for personal bankruptcy?: \_\_\_\_\_ If yes, when?: \_\_\_\_\_

Are you indebted to Decedent/Conservatee? \_\_\_\_\_ If yes, amount \$ \_\_\_\_\_

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***\*Please fax a copy of the Will***

**Estate Information**

Name of decedent or ward: \_\_\_\_\_

Date of Birth of Conservatee/Minor \_\_\_\_\_

Marital Status of the Ward at the time of the declaration of incompetency: \_\_\_\_\_

Date of Death of Decedent: \_\_\_\_\_

Marital Status of the Decedent at the time of death: \_\_\_\_\_

Amount of cash in estate \$ \_\_\_\_\_ Value of Securities \$ \_\_\_\_\_

Value of Real Property \$ \_\_\_\_\_ Other Assets \_\_\_\_\_

Ward's Annual Income (All sources) \$ \_\_\_\_\_

Attach or list the deceased's known creditors and amounts due \_\_\_\_\_

Attach or list the Ward's estimated annual expenses \_\_\_\_\_

Bank where **ESTATE ACCOUNT** will be opened \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Does the estate contain an ongoing business? \_\_\_\_\_ If yes, name \_\_\_\_\_

Type \_\_\_\_\_ Will it be continued? \_\_\_\_\_

Has applicant had prior custody of the assets of the estate? \_\_\_\_\_

If yes, please explain \_\_\_\_\_

Has there been a prior fiduciary on this estate? \_\_\_\_\_

If yes, name of prior fiduciary: \_\_\_\_\_ Reason for change: \_\_\_\_\_

If yes, was that fiduciary bonded? \_\_\_\_\_

If yes, name of prior surety: \_\_\_\_\_ Reason for change: \_\_\_\_\_

Where will securities be kept? \_\_\_\_\_

(Safe deposit box, Brokerage Firm including name & address)

Bond to be filed in \_\_\_\_\_ Court in the County of \_\_\_\_\_, State of \_\_\_\_\_

Amount of Bond: \_\_\_\_\_ Estate Number: \_\_\_\_\_

On Bonds for Administrators and Executors, list heirs at law, devisees or legatees. On Bonds for Guardians and Conservators, list potential heirs of the incompetent.

NAME	DATE OF BIRTH	RELATIONSHIP TO WARD/DECEDENT	ADDRESS	RELATIONSHIP TO APPLICANT

***A Restriction may be required on all Conservator/Guardian/Trustee Estates. Do you agree to Restriction? Yes ( ) No ( ).***

***Do you understand the first year's bond premium is not refundable? Yes ( ) No ( )***

***Do you understand all increases and reductions of the bond must be ordered by the court? Yes ( ) No ( )***

***Do you understand that the bond is in effect until the Surety receives the approved final settlement or Order of Discharge? Yes ( ) No ( )***

***Do you understand the bond premium is to be paid annually? Yes ( ) No ( )***

***Do you understand you must retain an attorney throughout the administration of this estate/conservatorship? Yes ( ) No ( )***

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**Attorney Information**

Name of Attorney for Principal: \_\_\_\_\_ Bar # \_\_\_\_\_

Law Firm Name: \_\_\_\_\_

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

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone No. \_\_\_\_\_ Fax No. \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

How did you hear about our bond program? Please circle one choice below:

Print Ad

Direct Mailer

Conferences/Seminar

Internet/Banner

Prior Use

\*\* Delivery Method....Regular Mail \_\_\_\_\_, USPS Priority Mail average 2-5 days (at the cost of the client) \_\_\_\_\_ or Overnight (at the cost of the client) \_\_\_\_\_

Overnight Acct # \_\_\_\_\_

\*What % of your practice is in the Probate/Estate Planning/Trusts area? \_\_\_\_\_

Registered Agent Name: \_\_\_\_\_

Registered Agent Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

\*\* Please note: The Bar Plan does not guarantee delivery times of third party shippers, i.e. USPS, Fed-Ex or UPS.

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**Agent/Broker Information**

Name of Insurance Agent/Broker: \_\_\_\_\_

Name of Insurance Agency: \_\_\_\_\_

Agent/Broker/Agency Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone number: \_\_\_\_\_ Fax No.: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

SS# or FEIN for Payee: \_\_\_\_\_ Agent/Broker License #: \_\_\_\_\_

Are you paying fees to a subproducer? Y/N \_\_\_\_ If Yes, complete supplemental application.

*Note to Agent, Broker and/or Agency: Please submit a current copy of your Agent, Broker and Agency License with Application*

**Note: If the application is not completed in its entirety, it may cause delay in issuing the bond.**

**Anti-Fraud Notice**

**The following disclaimer applies only to applicants in the states of Washington and Florida.**

"Any person who knowingly and with intent to injure, defraud, or deceive any insurer files a statement of claim or an application containing any false, incomplete, or misleading information is guilty of a felony of third degree."

**Anti-Fraud Warning**

**Applicable to Maine, Tennessee and Virginia Applicants only**

"It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits".

**Anti-Fraud Warning**

**Applicable to New York Applicants only**

"Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information, or conceals for the purpose of misleading information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime and shall also be subject to a civil penalty not to exceed five thousand dollars and the stated value of the claim for each such violation."

**Anti-Fraud Notice**

**Applicable to Kentucky Applicants Only**

"Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any materially false information, or conceals for the purpose of misleading information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime."

**Anti-Fraud Notice**

**Applicable to Ohio Applicants Only**

"Any person who, with intent to defraud or knowing that he is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud."

**Anti-Fraud Notice**

**Applicable to New Mexico, West Virginia, Rhode Island and Louisiana Applicants Only**

"Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison."

**Anti-Fraud Notice**

**Applicable to DC Applicants Only**

"WARNING! It is a crime to provide false or misleading information to an insurer for the purpose of defrauding the insurer or any other person. Penalties include imprisonment and/or fines. In addition, an insurer may deny insurance benefits if false information materially related to a claim was provided by the applicant."

**Anti-Fraud Notice  
Applicable to Indiana Applicants Only**

"Any person who knowingly, and with intent to defraud an insurer, files a statement of claim containing false presents, incomplete or misleading information commits a felony."

**Anti-Fraud Notice  
Applicable to Hawaii Applicants Only**

"For your protection, Hawaii law requires you to be informed that presenting a fraudulent claim for payment of a loss or benefit is a crime punishable by fines or imprisonment or both."

**Anti-Fraud Notice  
Applicable to New Jersey Applicants Only**

"Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties."

**Anti-Fraud Notice  
Applicable to Pennsylvania Applicants Only**

"Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information or conceals for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties."

**Anti-Fraud Notice  
Applicable to Oklahoma Applicants Only**

"WARNING! Any person who knowingly, and with intent to injure, defraud or deceive any insurer, makes any claim for the proceeds of an insurance policy containing any false, incomplete or misleading information is guilty of a felony."

**Anti-Fraud Notice  
Applicable to Colorado Applicants Only**

"It is unlawful to knowingly provide false, incomplete or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete or misleading facts or information to a policyholder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claimant with regard to a settlement or award payable from insurance proceeds shall be reported to the Colorado division of insurance within the department of regulatory agencies."

**Anti-Fraud Notice  
Applicable to Maryland Applicants Only**

"Any person who knowingly or willfully presents a false or fraudulent claim for payment of a loss or benefit or who knowingly or willfully presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison."

**Anti-Fraud Notice  
Applicable to Alabama Applicants Only**

"Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or who knowingly presents false information in an application for insurance is guilty of a crime and may be subject to restitution fines and confinement in prison, or any combination thereof."

**AGREEMENT OF INDEMNITY-PLEASE READ CAREFULLY**

**MUST EXECUTE AND FAX BACK PRIOR TO ISSUANCE**

**In consideration of the execution by The Bar Plan Surety and Fidelity Company or The Bar Plan Mutual Insurance Company, St. Louis, Missouri (whichever issues or continues said bond being hereinafter called "Company"), of the bond herein applied for, I hereby agree:**

1. To pay to the Company the premium for the bond in accordance with the rates filed by the Company in the State where the bond shall be filed and further agree to pay annually in advance thereafter the annual renewal charges which are due and to continue to pay such renewal premium charges which shall be due until satisfactory evidence of the release of the Company from all liability under the bond shall have been furnished to the Company, it being understood the usual evidence required is a release from the court signed by the presiding judge specifically releasing the surety from further liability.
2. To hereby waive service of notice of any premium claim filed against the estate related to the bond issued from this application. This is a Waiver of Service of Notice of Premium Claim.
3. To indemnify the Company against all loss, liability, costs, damages, attorney's fees and expenses whatever, which the Company may sustain or incur by reason or in consequence of having executed said bond and in enforcing any of the agreements herein contained.
4. I will not assign or disclaim his/her interest in the estate to anyone without the written consent of the Company.
5. The Company shall have the right, and is hereby authorized but not required, to adjust, settle, or compromise any claim, demand, suit, or judgment upon said bond unless the undersigned shall request the Company to litigate such claim or demand or defend such suit or to appeal from such judgment, and if the undersigned makes such request the undersigned shall deposit with the Company collateral satisfactory to the Company in kind and amount.
6. This Agreement is an instrument executed under seal and will be governed by and construed in accordance with the laws of the State of Missouri. The Company shall have the right to institute any action for collection of any amounts due under this Agreement against Undersigned in the Circuit Court of St. Louis County, Missouri. The Company shall have the right to give notice or to serve process on the Undersigned for the purpose of pursuing any and all remedies against Undersigned in said court. The Undersigned explicitly consents to the jurisdiction and venue of said court. The Undersigned agrees to accept personal service of process with respect to any legal action filed to collect any amounts due under this Agreement.
7. The Company shall have the absolute right to procure its release from said bond under any law for the release of sureties, and the Company is hereby released of and from any damages that may be sustained by me by reason of such release.
8. At any time, and until such time as the liability of the Company is terminated, the Company shall have the right to reasonable access to the books, records, and accounts of the applicant and estate and any bank depository, or other person, firm, or corporation is hereby authorized to furnish the Company any information requested.
9. The agreements herein shall bind me and my heirs, executors, administrators, successors and assigns, jointly and severally.
10. Applicant(s) hereby expressly authorize The Bar Plan Mutual Insurance Company or The Bar Plan Surety and Fidelity Company to access his/her/its credit records and to make such pertinent inquiries as may be necessary from third party sources for the following purposes: (a) to verify information supplied to Company; (b) for underwriting purposes; and (c) upon receipt of a notice of claim or potential claim, for debt collection.

Signed and Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Applicant

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Applicant's Spouse

\_\_\_\_\_  
Printed Name of Applicant's Spouse