Checklist: Documents to Obtain In Financial Exploitation Cases

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This checklist is intended for use by responding and investigating law enforcement officers and provides examples of documentary and other evidence to collect in suspected financial exploitation cases. It is not intended to be an exhaustive list of documentary evidence to collect in any given case.

Obtaining any and all of these documents may require a search warrant. We encourage investigating officers to consult with their prosecuting attorney's office on these matters.

____ Power of Attorney documents (current and past)

____ Will(s) and Trust(s)

____ Banking documents of the victim and suspect (closed and current accounts), including:
- ☐ bank statements for savings and/or checking account(s)
- ☐ copies of all checks written on victim's account (front and back)
- ☐ copies of all deposits into victim's account
- ☐ signature cards
- ☐ wire transfer records
- ☐ customer correspondence file
- ☐ power of attorney on file

____ All open or closed bank loan or mortgage documents, including:
- ☐ loan application(s)
- ☐ loan ledger sheet
- ☐ copy of loan disbursement document
- ☐ copy of loan repayment document
- ☐ any correspondence regarding loan
- ☐ collateral agreements
- ☐ credit reports
- ☐ notes or other instruments reflecting obligation to pay and payment schedule
- ☐ copies of real estate mortgages, chattel mortgages, or other security for bank loans
- ☐ annual interest paid statements
- ☐ loan amortization statements

____ Medical Assistance – Application file if person is on Medicaid, including information showing:
- ☐ other assets
- ☐ who applied (victim or suspect?)
- ☐ correspondence or notes between financial worker and applicant

____ Residential Health Care Facility (Assisted Living, Nursing Home) records, including:
- ☐ account history
- ☐ trust account history (is the suspect giving victim any spending money?)
- ☐ correspondence with suspect regarding non-payment
- ☐ admission agreement (is suspect listed as financially responsible party?)
- ☐ brochures, pamphlets advertising facility

____ Documentation of other assets/investments of the victim, including:
- ☐ annuities, mutual funds, bonds, stocks, securities
  - o account statements, annual interest statements
  - o documents reflecting purchase of investment
  - o documents reflecting redemption of investment
- ☐ relevant automobile titles and/or loan documents
- ☐ property appraisals

____ Documentation for any income that does not automatically go into the victim's bank account (to see who is endorsing checks and where they are being deposited/cashed), including:
- ☐ Social Security
- ☐ tax refunds
- ☐ pensions

____ Credit card records of victim and suspect

____ Credit report of victim and suspect

____ Capacity evaluation of victim by geriatric psychologist/psychologist (if capacity is an issue)

____ Medical records of victim, including psychological evaluations, from primary care provider and other specialists who may have seen or provided care to the victim dating back at least one year prior to incident (if capacity is an issue)

____ All past and current APS records pertaining to victim and suspect, including follow-up investigations conducted

____ Conservatorship and/or guardianship documents, including annual accountings

____ Probate Court records

____ Judgments, liens, bankruptcies against suspect

____ State and Federal tax filings of suspect

____ Suspect's computer, which may contain any of the above information and/or emails pertaining to same

____ Telephone records (cell phone and landline) for victim and suspect

____ Insurance policies on victim

____ Public records regarding transfers of victim's real property