CONTENTS

-	face nowledgments	xxvii xxix
1.	Essential Terms and Definitions Utilized in Surrogate's Court Practice	1
	Chapter Outlook	1
	Terms and Definitions	1
	1. Abatement	1
	2. Administrator	2
	3. Administrator c.t.a.	2
	4. Administrator d.b.n.	2
	5. Ancillary Administrator	2
	6. Ancillary Executor or Administrator c.t.a.	2
	7. Bequest	2
	8. Codicil	3
	9. Creditor	3
	10. Demonstrative Disposition	3
	11. Devise	3
	12. Devisee	3
	13. Distributee	3
	14. Executor	3
	Renunciation of Nominated Executor	4
	15. Fiduciary	4
	Confidential Relationship	4
	Letters	6
	Qualification of a Fiduciary	6
	16. General Disposition	8
	17. Guardian	8
	18. Insolvent Estate	8
	19. Intestacy	8
	20. Legatee	8
	21. Limited Letters of Administration	8
	22. Marital Disposition	8
	23. Person Interested	9
	24. Person Under a Disability	9
	25. Petition	9

xii	Contents
26. Preliminary Executor	9
•	10
	10
	10
* *	10
	10
* '	11
26. Preliminary Executor 27. Process 28. Public Administrator 29. Residuary Disposition 30. Specific Disposition 31. Temporary Administrator 32. Testacy 33. Trust Testamentary Trust Lifetime Trust 34. Voluntary Administrator 35. Will Nuncupative Will Holographic Will Practice Exercises Questions to Consider 2. Jurisdiction and Power of the Surrogate's Court Chapter Outlook Subject Matter Jurisdiction of the Surrogate's Court General Subject Matter Jurisdiction of the Surrogate's Court Sources of the Court's Subject Matter Jurisdiction Judicial Interpretation of the Court's Subject Matter Jurisdiction Matter of Lainez Matter of Piccione The Aftermath of Lainez and Piccione Jurisdiction over the Estates of Domiciliary Decedents Jurisdiction over the Estates of Non-Domiciliary Decedents Jurisdiction over Lifetime Trusts Personal Jurisdiction in the Surrogate's Court Long Arm Jurisdiction over a Non-Domiciliary Means of Obtaining In Personam Jurisdiction Citation Appearance of a Party Appearance for Infant, Incompetent, Conservatee, or Person Under a Disability Service of Process When Citation Must Be Served When Service of Process Is Complete	11
	11
·	11
34. Voluntary Administrator	11
26. Preliminary Executor 27. Process 28. Public Administrator 29. Residuary Disposition 30. Specific Disposition 31. Temporary Administrator 32. Testacy 33. Trust Testamentary Trust Lifetime Trust 34. Voluntary Administrator 35. Will Nuncupative Will Holographic Will Practice Exercises Questions to Consider 2. Jurisdiction and Power of the Surrogate's Court Chapter Outlook Subject Matter Jurisdiction of the Surrogate's Court General Subject Matter Jurisdiction of the Surrogate's Court Sources of the Court's Subject Matter Jurisdiction Judicial Interpretation of the Court's Subject Matter Jurisdiction Matter of Lainez Matter of Piccione The Aftermath of Lainez and Piccione Jurisdiction over the Estates of Domiciliary Decedents Jurisdiction over the Estates of Non-Domiciliary Decedents Jurisdiction over Non-Domiciliary Estates Is Discretionary Jurisdiction over Lifetime Trusts Personal Jurisdiction in the Surrogate's Court Long Arm Jurisdiction over a Non-Domiciliary Means of Obtaining In Personam Jurisdiction Citation Appearance of a Party Appearance for Infant, Incompetent, Conservatee, or Person Under a Disability Service of Process When Citation Must Be Served	11
Nuncupative Will	11
	11
Practice Exercises	12
Questions to Consider	13
2. Jurisdiction and Power of the Surrogate's Court	15
Chapter Outlook	15
Subject Matter Jurisdiction of the Surrogate's Court	16
· · · · · · · · · · · · · · · · · · ·	16
,	16
	18
	19
	20
The Aftermath of Lainez and Piccione	21
	22
•	23
•	24
·	24
Personal Jurisdiction in the Surrogate's Court	25
-	26
·	27
· ·	27
Appearance of a Party	28
**	
	29
•	31
	31
When Citation Must Be Served	31
When Service of Process Is Complete	32

Con	itents	xiii
	Power of the Surrogate's Court	33
	minology	33
Que	estions to Consider	33
3.	Venue of Surrogate's Court Proceedings	35
	Chapter Outlook	35
	A Question of Venue	36
	Estates of Domiciliary Decedents	36
	Domicile Defined	36
	Change of Domicile	38
	Estates of Non-Domiciliary Decedents	39
	Venue in More than One County	40
	Situs Rules for Assets of Non-Domiciliaries	40
	Lifetime Trusts	40
	Venue in More than One County	41
τ	Transfer of Venue	42 <i>42</i>
	Terminology	
Que	estions to Consider	43
4.	Intestate Administration	45
	Chapter Outlook	45
	The Laws of Intestacy	45
	Family Relationships and the Laws of Intestacy	47
	Ascendant or Ancestor	47
	Lineal Ascendant	47
	Descendant	47
	Lineal Descendant	48
	Collateral Heirs	48
	Consanguinity	48
	Issue	49
	Distributees	49
	The Passage of Property by Intestacy: Per Stirpes, By Representation,	
	Per Capita	50
	Distribution By Representation Versus Distribution Per Stirpes	52
	Distribution Per Capita	56
	Property Subject to the Laws of Intestacy	56
	Property that Passes by Operation of Law	56
	Exempt Property	57
	The Statutory Formula for Intestate Distribution	58
	Application of the Statutory Formula for Intestate Distribution	58

xiv		Contents
	Petitioning for the Appointment of an Administrator	61
	Instituting a Proceeding for Administration	62
	The Administration Petition	62
	Necessary Parties to the Proceeding	64
	Notice of a Proceeding for Letters of Administration	64
	Who May Serve as the Administrator	64
	Temporary Administrators	65
	Bond Requirements	65
Terminology		66
Practice Exercises		66
Que	estions to Consider	67
5.	Status	69
	Chapter Outlook	69
	Status Under New York Law	69
	Status as a Surviving Spouse—Establishing Spousal Rights	71
	Proof of Marriage in New York	71
	Proof of Common Law Marriage in New York	72
	The Laws of Sister States	73
	Disqualification as a Surviving Spouse	76
	Voluntary Waiver of Spousal Rights	77

Involuntary Waiver of Spousal Rights—Spousal Disqualification Pursuant to EPTL Sec. 5-1.2

Revocatory Effect of Divorce on Spousal Rights—

Rights of Posthumous Child to Inherit as Members of a Class

The Provisions of EPTL Sec. 5-1.4

Inheritance Rights of Adopted Children

Inheritance Rights of Posthumous Children
Intestate Rights of Posthumous Children

The Component Parts of EPTL Sec. 5-3.2

Rights in Intestacy of a Non-Marital Child

Inheritance by Children Conceived After the Death

Rights of a Non-Marital Child Under the Will of a

Inheritance Rights of Non-Marital Children

Pretermitted or After-Born Children

Inheritance by Intestacy

Inheritance by Will

Proof of Maternity

Proof of Paternity

Deceased Parent

of a Genetic Parent

Child-Parent Security Act

78

80

81

81

84 85

85

86

86

87

88

88

89

90

90 91

91

Con	itents	XV
	Disqualification of a Parent	92
	•	92
	Abandonment	93
Disqualification of a Parent Failure to Support	93	
	· · · · · · · · · · · · · · · · · · ·	94
	•	94
	The Rule of Forfeiture	94
Terr	ninology	95
Prac	ctice Exercises	95
Que	estions to Consider	96
6.	The Elective Share Statute	97
	Chapter Outlook	97
	The New York Elective Share Statute	98
	Historical Background	98
		100
		100
	* · /	100
	·	100
		101
	·	104
		105
		107
Tana	·	118 <i>121</i>
	8	121
		122
Zm	SHOTE TO GOTESTICK	122
7.	Probate of Wills	125
	Chapter Outlook	125
	Why Have a Will?	125
	The Requirements of Due Execution	127
		127
	č	127
		127
		129
	· · · · · · · · · · · · · · · · · · ·	130
		130
	Testator Must Declare the Instrument to Be His Will	131

xvi		Contents

The Nuncupative and the Holographic Will	132
The Requirements of EPTL Sec. 3-2.2	132
Limited Application of Statute	133
Invalidity of Nuncupative or Holographic Will	133
Issues Involved in the Execution of Wills	133
Additions to Will Subsequent to Execution	133
Material Following the Testator's Signature	133
Material Preceding the Testator's Signature	135
Attesting Witnesses	135
Attesting Witness Affidavits	135
Examination of the Attesting Witnesses	136
Dispensing with the Testimony of Attesting Witnesses	138
When Testimony Can Be Dispensed With	138
Will May Nevertheless Be Probated	139
Failed Memory of the Attesting Witness(es)	139
Death or Incompetence of All Attesting Witnesses	140
Attesting Witnesses as Beneficiaries	141
EPTL Sec. 3-3.2(a)(1)	141
EPTL Sec. 3-3.2(a)(2)	141
EPTL Sec. 3-3.2(a)(3)	141
Exceptions to EPTL Sec. 3-3.2	142
Mistake	143
Mistake as a Ground for Denying Probate	143
Mistake of the Attorney-Draftsperson	143
Ancient Wills	143
Petitioning for the Probate of a Decedent's Will	144
Compelling Production of a Will	144
Instituting a Probate Proceeding	144
The Probate Petition	145
Who May Petition for Probate	145
Contents of the Petition	145
Filing Checklist	146
Necessary Parties to the Proceeding	147
Notice of Probate	148
The Appointment of an Executor	148
Who May Serve as an Executor	148
Renunciation of Appointment	148
Retraction of Renunciation	148
Preliminary Executors	149
Considerations in the Appointment and Authority of	
a Preliminary Executor	149

Con	atents	xvii
	Temporary Administrator	151
	Bond Requirements	151
_	The Probate Decree	151
	ninology estions to Consider	152 152
Que	Stions to Constact	1)2
8.	Contested Probate Proceedings	155
	Chapter Outlook	155
	Overview of a Contested Probate Proceeding	156
	Filing of Petition/Issuance of Citation	156
	Request for Examinations Pursuant to SCPA Sec. 1404	156
	Time to File Objections to Probate	157
	The Filing of Objections to Probate	157
	Citation Pursuant to SCPA Sec. 1411	157
	Pretrial Discovery and Trial	158
	Objections to Probate	158
	Who May File Objections to Probate	160
	General Standard	160
	Executor Named in Prior Will	161
	Limited Right of Executor to Conduct Examinations	
	Pursuant to SCPA Sec. 1404	161
	Standard Objections to Probate	162
	Mistake/Forgery	162
	Miscellaneous Claims	162
	No Contest or In Terrorem Clause	162
	Statutory Exceptions	163
	Triggering a Forfeiture Pursuant to an In Terrorem Clause	164
	Burden of Proof/Quantum of Proof	165
	Proof of Due Execution	165
	Proof of Testamentary Capacity	166
	Elements of Testamentary Capacity	166
	Presumption of Sanity	167
	Testator's Knowledge of the English Language	167
	Testator's Old Age and Infirmity	167
	Appointment of a Guardian	168
	Eccentricities	169
	Insane Delusions and Incapacity/Lucid Intervals	169

xvii	i Co	ntent
	Persons Who Can Testify as to Testamentary Capacity	170
	The Lay Non-Attesting Witness	170
	Attesting Witnesses	170
	Expert Witnesses	170
	Proof of Undue Influence	170
	Elements of Undue Influence	171
	Circumstantial Evidence of Undue Influence	171
	The Existence of a Confidential Relationship	173
	The Definition of Confidential Relationship	173
	Confidential Relationships and Undue Influence	173
	Application of the Rule	174
	Duress	176
	The Distinction Between Undue Influence and Duress	176
	Proof of Fraud	176
	Elements of Fraud	176
Terr	minology	177
Que	estions to Consider	177
9.	Revocation of Wills	179
	Chapter Outlook	179
	Statutory Requirements for the Revocation of Wills	179
	Revocation or Alteration by Written Instrument	180
	Revocation by Physical Act	180
	Revocation or Alteration by Nuncupative or Holographic Declaration	180
	Capacity to Revoke a Will	181
	Intention to Revoke a Will	181
	Presumption of Revocation	182
	Will Last in Custody of Decedent	182
	Lost Will Last Known to Be in Custody of Decedent	182
	Dependent Relative Revocation	183
	Revocation of Will by Subsequent Writing	185
	Revocation by Another Will	185
	Revocation by a Writing	186

Contents	xix
Revocation of Will by Physical Act	187
Statutory Requirements	189
Revocation by the Testator	189
Revocation by a Third Person at the Testator's Request	189
Sufficiency of the Physical Act	189
Revocation of Will—Effect upon Codicil	190
Revocation of Codicil—Effect upon Will	190
Revival and Republication of a Revoked Will	191
Statutory Requirements	191
Application of the Statute	192
Terminology	192
Questions to Consider	192
10. Joint Wills and Mutual Wills	195
Chapter Outlook	195
Joint Wills/Mutual Wills Defined	195
Joint Wills Defined	195
Definition of a Mutual Will	196
Contracts to Make a Will	197
General Principles	197
Proof of Contracts to Make a Will	197
Burden of Proof/Quantum of Proof	197
Requirements of a Contract to Make a Will	198
The Provisions of EPTL Sec. 13-2.1	198
Application to Mutual Wills	198
Application to Joint Wills	199
Breach of Contract	200
Subsequent Will as Breach of Contract	200
Lifetime Gifts as Breach of Contract	201
Remedies for Breach of Contract	202
Terminology	203
Questions to Consider	203

xx	Contents
11. Trusts	205
Chapter Outlook	205
Terminology Associated with Trusts	206
Essential Elements of an Express Trust	207
The Settlor or Grantor	207
Lifetime Trusts	207
Testamentary Trusts	208
Intent to Create a Trust	208
Present Intent to Create a Trust	208
Capacity to Create a Trust	209
Trust Res or Corpus	209
Lifetime Trusts	209
Testamentary Trusts	209
Trustee	210
Eligibility of Trustee	211
Who May Serve as Trustee	211
Appointment of Trustee	212
Lifetime Trusts	212
Testamentary Trusts	213
Renunciation of Appointment of Trustee	213
Objections to the Appointment of a Trustee	214
Resignation of Trustee	214
Beneficiary	214
Capacity to Be a Beneficiary	214
Use and Delivery of Trust Property	215
Use of Trust Fund	215
Delivery of Trust Fund	215
Interests in Trust	216
Present Interests	216
Future Interests	216
Vested Future Interests	217
Contingent Future Interests	217
Types of Trusts	218
Testamentary Trust	218
Inter Vivos Trust	218
Revocable Trust	218
Pour-Over Trusts	218
Pour-Over to an Inter Vivos Trust	218
Pour-Over from an Inter Vivos Trust	219

Contents	xxi
Grantor Trusts	219
Passive Trusts	219
Life Insurance Trust	220
Totten Trusts	220
Spendthrift Trusts	221
Charitable Trusts	221
The Cy Pres Doctrine	222
Constructive Trusts	223
Resulting Trusts	224
Amendment and Termination of Trusts	225
Inter Vivos Trusts	225
Reserved Power in the Grantor by the Terms of	
the Instrument or by Statute	225
Reserved Power in the Trustee	226
Totten Trusts	227
Testamentary Trusts	227
The Provisions of EPTL Sec. 11-11.11	227
The Provisions of EPTL Sec. 7-1.19	228
Trust Decanting	228
Terminology	228
Questions to Consider	229
12. Gift Transactions	231
Chapter Outlook	231
Elements of a Gift	232
Burden of Proof	232
Donative Intent	232
Presumption of Donative Intent	232
Presumption of Competence	233
Essentials of Donative Intent	234
Voluntariness of Transaction	234
Present Transfer of Ownership	234
Delivery	236
Time of Delivery	236
Physical Delivery	237
Constructive or Symbolic Delivery	237
Proof of Symbolic or Constructive Delivery	237
Entry on Record Books	237

xxii	Contents
Written Instrument	238
Delivery of Keys to a Box	239
Joint Control and Delivery	239
Acceptance	240
Gifts Causa Mortis	240
Elements of a Gift Causa Mortis	240
Terminology	241
Questions to Consider	242
13. Fiduciary Duties in Administering an Estate	245
Chapter Outlook	245
Duties of an Executor Prior to Probate—Securing and	
Preserving Estate Assets	246
Scope of EPTL Sec. 11-1.3	246
Preservation of Estate Assets	246
Duty to Prevent Loss	246
The Duties of the Appointed Fiduciary	247
Marshaling Estate Assets	248
Appraisal and Valuation of Estate Assets	252
Investment of Estate Property	253
Payment of Debts and Expenses	254
Payment of Taxes	259
The Estate Inventory	267
The Fiduciary Report	268
Filing Requirements of the Attorney General	268
Satisfaction of Legacies and Bequests	268
The Duty to Account	271
Generally	271
The Compulsory Accounting	271
Methods of Accounting—Formal and Informal	272
The Return Date of Citation	276
Fiduciary Commissions	277
Computation of Commissions Pursuant to SCPA Sec. 2307	277
Property Received	278
Property Paid	278
The Statutory Formula	278
Advance Payment of Commissions	279
Denial of Commissions	279
Surcharge	280

Contents	xxiii
Legal Fees of Counsel for the Estate	280
Presenting the Issue of Legal Fees to the Court	281
By the Court, on the Court's Own Motion	281
In an Accounting Proceeding	281
Legal Fees of Counsel for the Estate	281
Proceeding Pursuant to SCPA Sec. 2110	281
Uniform Court Rule 207.52	281
Criteria Utilized in the Fixation of Legal Fees	282
Other Considerations in the Fixation of Legal Fees	282
Multiple Estate Attorneys	283
Disbursements	283
Terminology	283
Questions to Consider	284
14. Miscellaneous Proceedings	287
Chapter Outlook	287
Petition for the Appointment of a Successor Trustee	287
When the Appointment of a Successor Trustee May Be Required	287
Who May Petition	288
Notice of the Proceeding	288
Requirement of a Bond	288
The Contents of the Verified Petition and Accompanying Documents	288
Filing Fee	289
Article 21 Discovery Proceedings	289
SCPA Sec. 2103	289
SCPA Sec. 2105	290
Wrongful Death Compromises	290
Generally	290
Who May Commence the Action	290
Statute of Limitations and Venue	290
Amount of Recovery	291
Allocation of Damages Between Wrongful Death and	
Conscious Pain and Suffering	291
Determining Pecuniary Loss	291
Proceedings Pursuant to EPTL Sec. 5-4.6—Applications	
to Compromise a Cause of Action for Wrongful Death	291
Forms for a Wrongful Death Compromise and Accounting	292
Limited and Restricted Letters	292
Terminology	293
Questions to Consider	293

xxiv	Contents
15. Ethical Issues Confronting the Paralegal	295
Chapter Outlook	295
Ethical Standards for Paralegals	296
Definition of a Paralegal	297
The NALA Code of Ethics and Professional Responsib	oility 298
The NFPA Model Code of Ethics and Professional Re- and Guidelines for Enforcement	sponsibility 300
The Unauthorized Practice of Law	305
Defining the Unauthorized Practice of Law: Ethical C	odes and
Guidelines for the Lawyer	305
Ethical Codes and Guidelines for the Paralegal	307
Preserving Client Confidences	308
The Attorney-Client Privilege	309
The General Rule	309
Scope of the Attorney-Client Privilege	309
Invoking the Attorney-Client Privilege	309
Waiver of the Attorney-Client Privilege	310
Waiver of the Attorney-Client Privilege as Affected	by the
Death or Disability of the Client	310
The Fiduciary Exception to the Attorney-Client Pr	ivilege 311
Attorney Work Product/Material Prepared in Anticipa	tion
of Litigation	311
Attorney Work Product	311
Material Prepared in Anticipation of Litigation	311
The Attorney-Draftsperson as Beneficiary/	
The Attorney-Fiduciary	312
The Attorney-Draftsperson as Beneficiary	312
Ethical Considerations	312
Judicial Standards	313
The Attorney-Draftsperson as Fiduciary	313
Ethical Considerations	313
Judicial Standards	313
Local Court Rules	314
Statutory Directives — The Provisions of SCPA Sec	
The Attorney as Trial Witness	316
Terminology	317
Questions to Consider	317

Contents	xxv
16. Resources for the Practicing Paralegal	319
Chapter Outlook	319
Statute Books, Treatises, Journals, and Form Books	319
Statute Books	319
Treatises	320
Journals	321
Form Books	321
Unified Court System	322
Local Surrogate's Courts and Bar Associations	322
Local Surrogate's Courts	322
Bar Associations	322
National Association of Legal Assistants/National	
Federation of Paralegal Associations	322
Computer Software Programs and Internet Sites	322
Computer Programs and Databases	323
Internet Sites	323
Appendix A. Forms	325
Appendix B. Ethics Codes	389
Appendix C. Surrogate's Courts Throughout the State	397
Appendix D. Uniform Rules for Surrogate's Court	403
Glossary	441
Table of Cases	449
Table of Codes, Rules, and Statutes	459
Index	467