

9.0 MARKETABLE SECURITIES

- 9.01 Did D own any marketable stocks, bonds, mutual funds, warrants, options, or commodities or have any of these or cash in an account with a stockbroker? ☐ Yes ☐ No *Note:* For stock in an inactive or closely held business, use Section 10.0. If no, skip the rest of this Section 9.0.
- 9.02 Did D have a **brokerage account** or a stockbroker? ☐ Yes ☐ No If no, skip to Item 9.13. If yes, complete Items 9.03 through 9.12 and attach a separate page for each additional broker.
- 9.03 Name of broker _____
- 9.04 Name of firm _____
- 9.05 Address _____
- 9.06 City, state, zip _____
- 9.07 Phone number _____
- 9.07A Fax number _____
- 9.07B E-mail _____
- 9.08 Account number _____
- 9.09 Type of account _____
- 9.10 Did broker hold D's funds or securities (credit balance in account)? ☐ Yes ☐ No If yes, also complete Section 11.0 to report cash held in account.
- 9.11 Did D owe broker funds or securities (debit balance in account)? ☐ Yes ☐ No If yes, also complete Section 21.0.
- 9.12 Did D have open or unexecuted orders? ☐ Yes ☐ No
- 9.13 Is any bond the obligation of a foreign government? ☐ Yes ☐ No If yes, give details and complete Items 26.37 through 26.41 _____

- 9.14 Is any security issued by a corporation incorporated in a foreign country? ☐ Yes ☐ No If yes, give details and complete Items 26.37 through 26.39 _____

- 9.15 If any brokerage account is registered in **joint tenancy with right of survivorship**, complete the following for each surviving joint tenant:
- Note:* If this account was the community property of D and D's spouse or they were the sole joint tenants, this account should be reported in Part I of Schedule E of D's estate tax return. All other jointly held brokerage accounts should be reported in Part II of Schedule E of D's estate tax return.
- Name _____
- Address _____
- City, state, zip _____
- Phone number _____

Fax number _____

E-mail _____

Social Security number _____

Relationship to D _____

Contribution of the nonspouse survivor toward acquisition of this account: Amount _____

Percentage of total value _____

Inventory and Estate Tax Return Description

- 9.16 Enter description of this account (in format to be used on probate documents or estate tax return) and indicate its value on the date of death and on the alternate valuation date. *Note:* Do not repeat this total if listing individual securities and funds held in this account. _____

9.17 - 9.19 (Reserved)

Publicly Traded Stocks

- 9.20 Did D own publicly traded stocks other than options, warrants, commodity futures, or mutual funds?
☐ Yes ☐ No If no, skip to Item 9.70. If yes, complete Items 9.21 through 9.69 for one issue of one company and attach separate pages for each additional issue or company.

Do not reduce the indicated asset value by 1/2 when D's interest was a 1/2 community interest, but use the entire value of the publicly traded stocks.

9.21 Name of company _____

9.22 Type: ☐ Common ☐ Preferred

9.23 Par value, series, etc. _____

9.24 Principal stock exchange where traded _____

9.25 CUSIP number _____

9.26 Total shares owned by D _____

9.27 Certificate numbers _____

9.28 Registration of shares if not held by broker _____

9.29 Ownership: ☐ Separate ☐ Community

9.30 If D's separate property, was this asset ever held as community property by D and D's surviving spouse?
☐ Yes ☐ No If yes, explain _____

9.31 Name of transfer agent _____

9.32 Address _____

9.33 City, state, zip _____

Value at Death:

9.34 High _____

9.35 Low _____

9.36 Mean or unit value _____

9.37 Extended value (Item 9.26 times Item 9.36) _____

Dividends:

9.38 "Ex-dividend" amount per share _____

9.39 Extended value (Item 9.26 times Item 9.38) _____

9.40 Declared but unpaid amount per share _____

9.41 Date declared _____

9.42 Record date _____

9.43 Date payable _____

9.44 Extended value (Item 9.26 times Item 9.40) _____

Alternate Value:

9.45 High _____

9.46 Low _____

9.47 Mean or unit value _____

9.48 Extended value (Item 9.26 times Item 9.47) _____

9.49 Was this restricted or "letter" stock? ☐ Yes ☐ No

9.50 If Item 9.49 is yes, should the value be discounted? ☐ Yes ☐ No

9.51 If Item 9.50 is yes, what is the percentage discount to be used? _____

9.52 Amount of discount (Item 9.37 or Item 9.48 times Item 9.51) _____

9.52A D's income tax basis _____

9.53 Did D own any of this stock through a **dividend reinvestment program**? ☐ Yes ☐ No If yes, complete the following:

Name of custodian of plan _____

Address _____

City, state, zip _____

Account number _____

Total number of shares held by custodian on date of D's death _____

Program should be: ☐ Continued ☐ Terminated

D's income tax basis _____

- 9.54 If any publicly traded stock is registered in **joint tenancy with right of survivorship**, complete the following for each surviving joint tenant:

Note: If these publicly traded stocks were the community property of D and D's spouse or they were the sole joint tenants, these publicly traded stocks should be reported in Part I of Schedule E of D's estate tax return. All other jointly held publicly traded stocks should be reported in Part II of Schedule E of D's estate tax return.

Name _____

Address _____

City, state, zip _____

Phone number _____

Fax number _____

E-mail _____

Social Security number _____

Relationship to D _____

Contribution of the nonspouse survivor toward acquisition of this asset: Amount _____

Percentage of total value _____

- 9.55 Is registration of publicly traded stocks to be changed? ☐ Yes ☐ No If no, skip to Item 9.62. If yes, complete Items 9.56 through 9.61.

9.56 Name of new owner _____

9.57 Dear _____

9.58 Address _____

9.59 City, state, zip _____

9.60 Social Security (employer identification) number _____

9.61 Number of shares to be registered to new owner _____

9.62 Were these shares specifically bequeathed? ☐ Yes ☐ No If yes, give details, including cross-reference to the specific provision in D's will _____

9.63 Was any of this stock collateral for any loan owed or guaranteed by D? ☐ Yes ☐ No If yes, give details _____

9.64 D's income tax basis _____

9.65 - 9.68 (Reserved)

Inventory and Estate Tax Return Description

9.69 Enter description of publicly traded stocks (in format to be used on probate documents or estate tax return) and indicate value on the date of death and on the alternate valuation date _____

Publicly Traded Bonds

9.70 Did D own publicly traded bonds? ☐ Yes ☐ No If no, skip to Item 9.110. If yes, complete Items 9.71 through 9.109 for one publicly traded bond of one government issuer or one company and attach separate pages for each additional issue.

Do not reduce the indicated asset value by 1/2 when D's interest was a 1/2 community interest, but use the entire value of the publicly traded bond.

9.71 Name of issuer _____

9.72 Kind of bond _____

9.73 Interest rate _____

9.74 Coupon bond? ☐ Yes ☐ No

9.75 CUSIP number _____

9.76 Principal stock exchange where traded _____

9.77 Total face amount _____

9.78 Bond numbers _____

9.79 Negotiability: ☐ Registered ☐ Bearer

9.80 Registered owner(s) if not held by broker _____

9.81 Ownership: ☐ Separate ☐ Community

9.82 If D's separate property, was this asset ever held as community property by D and D's surviving spouse?

☐ Yes ☐ No If yes, explain _____

9.83 Name of transfer agent _____

9.84 Address _____

9.85 City, state, zip _____

Value at Death:

9.86 High _____

9.87 Low _____

9.88 Mean or unit value _____

9.89 Extended value (Item 9.77 divided by 100 times Item 9.88) _____

9.90 Interest payment dates _____

9.91 Total accrued interest on date of death (include matured but unredeemed coupons) _____

Alternate Value:

9.92 High _____

9.93 Low _____

9.94 Mean or unit value _____

9.95 Extended value (Item 9.77 divided by 100 times Item 9.94) _____

9.96 (Reserved)

9.97 If any publicly traded bond is registered in **joint tenancy with right of survivorship**, complete the following for each surviving joint tenant:

Note: If these publicly traded bonds were the community property of D and D's spouse or they were the sole joint tenants, these publicly traded bonds should be reported in Part I of Schedule E of D's estate tax return. All other jointly held publicly traded bonds should be reported in Part II of Schedule E of D's estate tax return.

Name _____

Address _____

City, state, zip _____

Phone number _____

- Fax number _____
- E-mail _____
- Social Security number _____
- Relationship to D _____
- Contribution of the nonspouse survivor toward acquisition of this asset: Amount _____
 Percentage of total value _____
- 9.98 Is registration of bond to be changed? ☐ Yes ☐ No If no, skip to Item 9.105. If yes, complete Items 9.99 through 9.104.
- 9.99 Name of new owner _____
- 9.100 Dear _____
- 9.101 Address _____
- 9.102 City, state, zip _____
- 9.103 Social Security (employer identification) number _____
- 9.104 Number and face value of bonds to be registered to new owner _____
- 9.105 Were these bonds specifically bequeathed? ☐ Yes ☐ No If yes, give details, including cross-reference to the specific provision in D's will _____

- 9.106 Were any of these bonds collateral for any loan owed or guaranteed by D? ☐ Yes ☐ No If yes, give details _____

- 9.107 D's income tax basis _____
- 9.108 (Reserved)

Inventory and Estate Tax Return Description

- 9.109 Enter description of publicly traded bond (in format to be used on probate documents or estate tax return) and indicate value on the date of death and on the alternate valuation date _____

Mutual Funds

- 9.110 Did D own any mutual funds? ☐ Yes ☐ No If no, skip to Item 9.150. If yes, complete Items 9.111

through 9.149 for each mutual fund and attach separate pages for each additional mutual fund.

Do not reduce the indicated asset value by 1/2 when D's interest was a 1/2 community interest, but use the entire value of the mutual fund.

- 9.111 Name of fund _____
- 9.112 CUSIP number _____
- 9.113 Principal stock exchange where traded _____
- 9.114 Number of issued shares _____
- 9.115 Certificate numbers of issued shares _____
- 9.116 Number of unissued shares held by custodian _____
- 9.117 Total shares (Item 9.114 plus Item 9.116) _____
- 9.118 Style of account maintained by custodian _____
- _____
- 9.119 Name of custodian _____
- 9.120 Address of custodian _____
- 9.121 City, state, zip _____
- 9.122 Account number _____
- 9.123 Registration of issued shares _____
- 9.124 Ownership: ☐ Separate ☐ Community
- 9.125 If D's separate property, was this asset ever held as community property by D and D's surviving spouse?
☐ Yes ☐ No If yes, explain _____
- _____
- _____
- 9.126 Name of transfer agent _____
- 9.127 Address _____
- 9.128 City, state, zip _____

Value at Death:

- 9.129 Asked or offered price at death _____
- 9.130 Bid price at death _____
- 9.131 Extended value (Item 9.117 times Item 9.130) _____

Dividends and Capital Gains Distributions:

- 9.132 Declared but unpaid amount per share _____
- 9.133 Extended value (Item 9.117 times Item 9.132) _____

Alternate Value:

9.134 Asked or offered price _____

9.135 Bid price _____

9.136 Extended value (Item 9.117 times Item 9.135) _____

9.137 If any mutual fund is registered in **joint tenancy with right of survivorship**, complete the following for each surviving joint tenant:

Note: If these mutual funds were the community property of D and D's spouse or they were the sole joint tenants, these mutual funds should be reported in Part I of Schedule E of D's estate tax return. All other jointly held mutual funds should be reported in Part II of Schedule E of D's estate tax return.

Name _____

Address _____

City, state, zip _____

Phone number _____

Fax number _____

E-mail _____

Social Security number _____

Relationship to D _____

Contribution of the nonspouse survivor toward acquisition of this asset: Amount _____

Percentage of total value _____

9.138 Is registration of mutual funds to be changed? ☐ Yes ☐ No If no, skip to Item 9.145. If yes, complete Items 9.139 through 9.144.

9.139 Name of new owner _____

9.140 Dear _____

9.141 Address _____

9.142 City, state, zip _____

9.143 Social Security (employer identification) number _____

9.144 Number of shares to be registered to new owner _____

9.145 Were these shares specifically bequeathed? ☐ Yes ☐ No If yes, give details, including cross-reference to the specific provision in D's will _____

9.146 Were any shares in this mutual fund collateral for any loan owed or guaranteed by D? ☐ Yes ☐ No

If yes, give details _____

9.147 D's income tax basis _____

9.148 (Reserved)

Inventory and Estate Tax Return Description

9.149 Enter description of mutual fund (in format to be used on probate documents or estate tax return) and indicate value on the date of death and on the alternate valuation date _____

Warrants

9.150 Did D own any publicly traded warrants? ☐ Yes ☐ No If no, skip to Item 9.195. If yes, complete Items 9.151 through 9.194 for each warrant and attach a separate page for each additional warrant.

Do not reduce the indicated asset value by 1/2 when D's interest was a 1/2 community interest, but use the entire value of the warrant.

9.151 Name of company _____

9.152 CUSIP number _____

9.153 Principal stock exchange where traded _____

9.154 Number of warrants _____

9.155 Certificate numbers _____

9.156 Number of shares that may be acquired by the exercise of each warrant _____

9.157 Extended number of shares (Item 9.154 times Item 9.156) _____

9.158 Description of shares that may be acquired _____

9.159 Registration of warrant if not held by broker _____

9.160 Ownership: ☐ Separate ☐ Community

9.161 If D's separate property, was this asset ever held as community property by D and D's surviving spouse?
☐ Yes ☐ No If yes, explain _____

9.162 Name of warrant agent _____

9.163 Address _____

9.164 City, state, zip _____

Value at Death:

9.165 High _____

9.166 Low _____

9.167 Mean or unit value _____

9.168 Extended value (Item 9.154 times Item 9.167) _____

Alternate Value:

9.169 High _____

9.170 Low _____

9.171 Mean or unit value _____

9.172 Extended value (Item 9.154 times Item 9.171) _____

9.173 Date warrant expires _____

9.174 Exercise price per share _____

9.175 Value per share of stock subject to warrant at date of D's death _____

9.176 Is warrant to be exercised? ☐ Yes ☐ No

9.177 Is warrant to be allowed to lapse? ☐ Yes ☐ No

9.178 Is warrant to be transferred? ☐ Yes ☐ No

9.179 If any warrant is registered in **joint tenancy with right of survivorship**, complete the following for each surviving joint tenant:

Note: If these warrants were the community property of D and D's spouse or they were the sole joint tenants, these warrants should be reported in Part I of Schedule E of D's estate tax return. All other jointly held warrants should be reported in Part II of Schedule E of D's estate tax return.

Name _____

Address _____

City, state, zip _____

Phone number _____

Fax number _____

E-mail _____

Social Security number _____

Relationship to D _____

Contribution of the nonspouse survivor toward acquisition of this asset: Amount _____

Percentage of total value _____

9.180 Is registration of warrants to be changed? ☐ Yes ☐ No If no, skip to Item 9.187. If yes, complete

Items 9.181 through 9.186.

- 9.181 Name of new owner _____
- 9.182 Dear _____
- 9.183 Address _____
- 9.184 City, state, zip _____
- 9.185 Social Security (employer identification) number _____
- 9.186 Number of warrants to be registered to new owner _____
- 9.187 Were these warrants specifically bequeathed? ☐ Yes ☐ No If yes, give details, including cross-reference to the specific provision in D's will _____
- _____
- _____
- 9.188 Were any of these warrants collateral for any loan owed or guaranteed by D? ☐ Yes ☐ No If yes, give details _____
- _____
- _____
- 9.189 D's income tax basis _____
- 9.190 - 9.193 (Reserved)

Inventory and Estate Tax Return Description

- 9.194 Enter description of warrant (in format to be used on probate documents or estate tax return) and indicate value on the date of death and on the alternate valuation date _____
- _____
- _____
- _____
- _____

Option Contracts

- 9.195 Did D own any option contracts for publicly traded securities? ☐ Yes ☐ No If no, skip to Item 9.235. If yes, complete Items 9.196 through 9.234 for each option and attach separate pages for each additional option.

Do not reduce the indicated asset value by 1/2 when D's interest was a 1/2 community interest, but use the entire value of the option contract.

- 9.196 Name of company _____
- 9.197 CUSIP number _____
- 9.198 Principal stock exchange where traded _____

9.199 Number of options _____

9.200 Number of shares covered by each option _____

9.201 Description and number of shares of underlying securities _____

9.202 Type: ☐ Put ☐ Call

9.203 Ownership: ☐ Separate ☐ Community

9.204 If D's separate property, was this asset ever held as community property by D and D's surviving spouse?
☐ Yes ☐ No If yes, explain _____

Value at Death:

9.205 High _____

9.206 Low _____

9.207 Mean or unit value _____

9.208 Extended value (Item 9.199 times Item 9.207) _____

Alternate Value:

9.209 High _____

9.210 Low _____

9.211 Mean or unit value _____

9.212 Extended value (Item 9.199 times Item 9.211) _____

9.213 Date option expires _____

9.214 Exercise (strike) price per share _____

9.215 Value per share of stock subject to option at date of D's death _____

9.215A Is option fully vested? ☐ Yes ☐ No If no, provide details _____

9.216 Is option to be exercised? ☐ Yes ☐ No

9.217 Is option to be allowed to lapse? ☐ Yes ☐ No

9.218 Is option to be transferred? ☐ Yes ☐ No

- 9.219 If any option contract is registered in **joint tenancy with right of survivorship**, complete the following for each surviving joint tenant:

Note: If these option contracts were the community property of D and D's spouse or they were the sole joint tenants, these option contracts should be reported in Part I of Schedule E of D's estate tax return. All other jointly held option contracts should be reported in Part II of Schedule E of D's estate tax return.

Name _____

Address _____

City, state, zip _____

Phone number _____

Fax number _____

E-mail _____

Social Security number _____

Relationship to D _____

Contribution of the nonspouse survivor toward acquisition of this asset: Amount _____

Percentage of total value _____

- 9.220 Is registration of securities to be changed? ☐ Yes ☐ No If no, skip to Item 9.227. If yes, complete Items 9.221 through 9.226.

9.221 Name of new owner _____

9.222 Dear _____

9.223 Address _____

9.224 City, state, zip _____

9.225 Social Security (employer identification) number _____

9.226 Number of shares to be registered to new owner _____

- 9.227 Were these option contracts specifically bequeathed? ☐ Yes ☐ No If yes, give details, including cross-reference the specific provision in D's will _____

- 9.228 Was any option contract collateral for any loan owed or guaranteed by D? ☐ Yes ☐ No If yes, give details _____

9.229 D's income tax basis _____

9.230 - 9.233 (Reserved)

Inventory and Estate Tax Return Description

9.234 Enter description of option contract (in format to be used on probate documents or estate tax return) and indicate value on the date of death and on the alternate valuation date _____

Commodity Contracts

9.235 Was D buying or selling any commodity contract? ☐ Yes ☐ No If no, skip the rest of this Section 9.0. If yes, complete Items 9.236 through 9.264 for each separate commodity contract and attach separate pages for each additional contract.

Do not reduce the indicated asset value by 1/2 when D's interest was a 1/2 community interest, but use the entire value of the commodity contract.

9.236 Type of commodity _____

9.237 Exchange on which traded _____

9.238 Contract size and description _____

9.239 Delivery date _____

9.240 Number of contracts _____

9.241 Ownership: ☐ Separate ☐ Community

9.242 If D's separate property, was this asset ever held as community property by D and D's surviving spouse?
☐ Yes ☐ No If yes, explain _____

Value at Death:

9.243 High _____

9.244 Low _____

9.245 Mean or unit value _____

9.246 Extended value (Item 9.240 times Item 9.245) _____

Alternate Value:

9.247 High _____

9.248 Low _____

9.249 Mean or unit value _____

9.250 Extended value (Item 9.240 times Item 9.249) _____

9.251 Description of action to be taken _____

9.252 If any commodity contract is registered in **joint tenancy with right of survivorship**, complete the following for each surviving joint tenant:

Note: If these commodity contracts were the community property of D and D's spouse or they were the sole joint tenants, these commodity contracts should be reported in Part I of Schedule E of D's estate tax return. All other jointly held commodity contracts should be reported in Part II of Schedule E of D's estate tax return.

Name _____

Address _____

City, state, zip _____

Phone number _____

Fax number _____

E-mail _____

Social Security number _____

Relationship to D _____

Contribution of the nonspouse survivor toward acquisition of this asset: Amount _____

Percentage of total value _____

9.253 Is registration of commodity contracts to be changed? ☐ Yes ☐ No If yes, complete the following:

9.254 Name of new owner _____

9.255 Dear _____

9.256 Address _____

9.257 City, state, zip _____

9.258 Social Security (employer identification) number _____

9.259 Number of shares to be registered to new owner _____

9.260 Were these commodity contracts specifically bequeathed? ☐ Yes ☐ No If yes, give details, including cross-reference to the specific provision in D's will _____

9.261 Was any commodity contract collateral for any loan owed or guaranteed by D? ☐ Yes ☐ No If yes, give details _____

9.262 D's income tax basis _____

9.263 (Reserved)

Inventory and Estate Tax Return Description

9.264 Enter description of commodity contracts (in format to be used on probate documents or estate tax return) and indicate value on the date of death and on the alternate valuation date _____
