

**STATEMENT OF FINANCIAL CONDITION OF**

NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

**I. Statement of Assets and Liabilities**

**A. Assets**

List all assets owned by you, your spouse, or any other member of your household, directly or indirectly, and all assets which are subject to your or your spouse’s possession, enjoyment, or control, regardless of whether legal title or ownership is held by a relative, trustee, lessor, or any other intermediary, including but not limited to the categories indicated below.

<b>Description</b>		<b>Amount</b>
1.	Cash	\$
2.	Cash Surrender Value of Insurance	\$
3.	Accounts Receivable	\$
4.	Loans or Notes Receivable	\$
5.	Real Estate	\$
6.	Furniture and Household Goods	\$
7.	Automobiles, Recreational Vehicles, Boats	\$
8.	Securities	\$
9.	Partnership Interests	\$
10.	Net Value of Ownership Interest in Business	\$
11.	Individual Retirement Accounts (IRAs)	\$
12.	Keogh Accounts or Plans	\$
13.	401(k) Accounts or Plans	\$
14.	Other Pension Assets	\$
15.	Annuities	\$
16.	Prepaid Expenses or Liabilities	\$
17.	Credit Balances on Credit Cards	\$
	Other (Itemize. Add rows below as necessary.)	
18.		\$
19.		\$

**Total Assets** \$

**B. Liabilities**

List all liabilities, including but not limited to the items listed below.

Description		Amount
20.	Mortgages	\$ <input type="text"/>
21.	Auto Loans	\$ <input type="text"/>
22.	Credit Card Debt	\$ <input type="text"/>
23.	Loans on Insurance Policies	\$ <input type="text"/>
24.	Installment Loans	\$ <input type="text"/>
25.	Other Loans or Notes Payable	\$ <input type="text"/>
26.	Accrued Real Estate Taxes	\$ <input type="text"/>
27.	Judgments/Settlements Owed	\$ <input type="text"/>
	Other (Itemize. Add rows below as necessary.)	
28.	<input type="text"/>	\$ <input type="text"/>
29.	<input type="text"/>	\$ <input type="text"/>

**Total Liabilities** \$

**C. Net Worth (Assets Minus Liabilities)**

**Net Worth** \$

#### **D. Required Documentation**

1. For each asset with a fair market value greater than \$1000, describe the asset, state the form of ownership (e.g. individual, joint, beneficial interest), provide a fair market value and explain how fair market value was determined (appraisal, comparison, estimate, etc.). **Provide copies of all such appraisals or any document supporting your estimate of the asset's value.**
2. For each liability, indicate the date incurred, the original amount of the liability, the length of the obligation, the interest rate, the collateral or security if any, the person responsible for the obligation, the outstanding balance, the name(s) and address(es) of all obligee(s), and your relationship (if any) to each creditor. **Provide all documents that support the information provided in this answer.**
3. List all domestic and foreign securities and commodities brokerage accounts and accounts at domestic and foreign banks or other domestic or foreign financial institutions in your or your spouse's name, under the control of you or your spouse, in which you or your spouse have or had a beneficial interest, or to which you or your spouse are or were a signatory **during the past two years, or since the date of the award, whichever period is longer.** For each account, specify the location of the account, account title, account number, and balance in cash or securities. **Attach copies of the monthly statements for all such accounts for the past 12 months, or since the date of the award, whichever period is longer.**
4. List any 401(k) plans, pension plans, Keogh plans, individual retirement accounts, profit sharing plans, thrift plans, life insurance policies or annuities, in which you have an interest, vested or otherwise. For each account or plan, specify the account name, the location of the account, account number, balance, and the terms of withdrawal or loan options. **Provide statements for each such account covering the past 12 months, or since the date of the award, whichever period is longer.**
5. List all credit cards, charge cards, or lines of credit in your name or to which you are a signatory, including the name of the credit issuer, account number, credit limit, and amount of indebtedness. **Attach copies of monthly account statements for the past 12 months, or since the date of the award, whichever period is longer.**

**II. Cash Flow Information**

**A. Annual Income<sup>1</sup>**

Annual income for the year before the year in which the award was issued [Year: _____]	\$
Annual income for the year in which the award was issued [Year: _____]	\$
<b>Annual</b> income for each year after the year in which the award was issued [Year: _____]	\$
[Year: _____]	\$
[Year: _____]	\$
Attach federal and state income tax filed by you or on your behalf (including personal, trust, or business returns) for each of the above years.	

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<sup>1</sup> "Income" should include any income attributable to your spouse if (1) you file joint federal tax returns or (2) you are jointly obligated on any indebtedness or expenses, including living expenses.

**B. Income/Receipts**

List all money or other income received from any source on a monthly basis during the past 12 months, or since the date of the award, whichever period is longer, by you, your spouse, or any other member of your household, identifying the source, recipient, and amount. For any income received on a basis other than monthly, convert to a monthly basis for the purposes of this statement.

Description		Source	Amount
1.	Salary/Wages		\$
2.	Commissions/Advances		\$
3.	Consulting Fees		\$
4.	Dividends		\$
5.	Interest		\$
6.	Capital Gains/Losses		\$
7.	Annuities		\$
8.	Pensions		\$
9.	Rents/Royalties		\$
10.	Sales of Assets (Net)		\$
11.	Repayment of Loans		\$
12.	Payments others made on your behalf		\$
13.	Fringe Benefits (e.g., car)		\$
14.	Alimony/Child Support		\$
15.	Gifts/Bonuses		\$
16.	Inheritance		\$
Other (Itemize. Add rows below as necessary.)			
17.			\$
18.			\$

**Total Receipts**

\$
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**C. Expenses/Disbursements**

List all monthly expenditures (for any purpose) for you or your household for the past 12 months, or since the date of the award, whichever period is longer, identifying the purpose and the amount, including projected expenses. For any expenditure that varies from month to month, indicate a range of amounts and the average amount on a monthly basis.

<b>Description</b>		<b>Amount</b>
1.	Mortgage/Rent	\$
2.	Food	\$
3.	Utilities	\$
4.	Payment on Loans	\$
5.	Real Estate Taxes	\$
6.	Insurance Premiums	\$
7.	Medical Expenses	\$
8.	Automobile Expenses	\$
9.	Alimony/Child Support	\$
10.	Income Taxes	\$
11.	Childcare	\$
12.	Education Expenses	\$
13.	Charitable Gifts	\$
14.	Attorneys/Professional Fees	\$
	Other (Itemize. Add rows below as necessary.)	
15.		\$
16.		\$

**Total Expenses/Disbursements**    \$

If you anticipate unusual expenses in the coming 12 months, please describe them.

### **III. Other Information**

1. List any disbursement of \$1000 or more, made on your behalf, or on behalf of your spouse or children, by any other person or entity during the past two years, or since the date of the award, whichever period is longer. Include the amount of the disbursement and the name and address of the person or entity who made the disbursement. Produce all documents relating to each such disbursement.
2. List all cash transfers of \$1000 or more, or assets or property with a cost or fair market value of \$1000 or more, made by you during the past two years, or since the date of the award, whichever period is longer. Describe the asset and identify the value of the asset, the consideration received, and the relationship of the transferor to the transferee, or indicate that no such transfers have been made. Produce all documents relating or referring to or concerning each such transfer.
3. Identify any financial institution accounts (including any accounts at banks, savings and loans, credit unions, broker-dealers, etc.), other than those identified in Item I.F. above, in which you have deposited more than \$1000 during the past two years, or since the date of the award, whichever period is longer, or indicate that no such deposits have been made. Identify the person(s), entity, or entities with beneficial ownership of each account.
4. List all dependents, their ages, and whether or not they reside with you.
5. Attach federal and state income tax returns filed by you or on your behalf (including personal, trust, or business returns) during the past two years, or since the date of the award, whichever period is longer.
6. Attach any federal gift tax returns filed by you or your spouse for the past two years, or since the date of the award, whichever period is longer.
7. Attach copies of your pay stubs for the last eight pay periods.
8. Attach any financial statements prepared by you or on your behalf during the past two years, or since the date of the award, whichever period is longer, for any purpose (e.g., a financial statement provided to a bank to secure a loan).

9. Attach copies of documents evidencing all outstanding loans for which you or your spouse is either a lender or borrower.
  
10. For any mortgage for which you are a signatory, please provide a copy of the monthly mortgage statement for the last 12 months, or since the date of the award, whichever period is longer, and evidence that the amount was paid.

## DECLARATION

Under penalty of perjury, I declare that I have examined the information given in this statement and the attached documents and, to the best of my knowledge and belief, it is true, correct, and complete. I further declare that I have no assets, owned either directly or indirectly, or income of any nature other than as shown in this statement and the attached documents. I understand that any material misstatements or omissions I have made in this statement or the attachments may constitute criminal violations, punishable under law. I agree to provide FINRA, upon request, with additional documentation to support the financial information set forth above and in the attached documents.

Executed on \_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed Name)