STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION
PO Box 9033
Olympia, WA 98501-9033
(360) 902-8815
LCIE@dfi.wa.gov

PERSONAL BALANCE SHEET

www.dfi.wa.gov/sd

1. PERSONAL INFORMATION

Full Legal Name:		CRD:	
Email Address:		Phone:	

2. REVENUE INFORMATION

Monthly Income:		% in Commissions:		% in Salary:	

3. PERSONAL BALANCE SHEET

Date Prepared:

NOTE: All assets should be reported at market value and all liabilities should be reported at present value.

ASSETS	VALUE
Cash	
1. Checking Account(s)	
2. Savings Account(s)	
3. Other:	
Investments	
4. Stocks	
5. Bonds	
6. Certificates of Deposit (CDs)	
7. Mutual Funds	
8. Other:	
Retirement	
9. 401(k) or 403(b)	
10. Individual Retirement Accounts (IRAs)	
11. Keogh (vested interest)	
12. Life Insurance (cash surrender value only)	
13. Other:	
Real Estate	
14. Primary Residence	
15. Other Residence(s)	
16. Rental or Investment Property	
17. Other:	
Other Assets	
18. Business Interests	
19. Accounts Receivable	
20. Vehicle(s)*	
21. Other:	
22. Other:	
23. **TOTAL ASSETS**	$ 0

LIABILITIES	VALUE
Home	
24. Mortgage	
25. Home Equity Line of Credit (HELOC)	
26. Other:	
Loans	
27. Vehicle Loan(s)*	
28. Credit Card Debt(s)	
29. Personal Loan(s)	
30. Student Loan(s)	
31. Other:	
Other Liabilities	
32. Personal Estimated Taxes Payable	
33. Real Estate Estimated Taxes Payable	
34. Other Estimated Taxes Payable	
35. Insurance Payable	
36. Accounts Payable	
37. Other:	
38. Other:	
Liens or Judgments (list each separately)	
39.	
40.	
41.	
42.	
43. Compromise with Creditor Balance	
44. **TOTAL LIABILITIES**	$ 0
45. **NET WORTH (ASSETS – LIABILITIES)**	$ 0

* Vehicles include automobiles, boats, jet skis, recreational vehicles (RVs), campers, trailers, ATVs, etc.

4. FOOTNOTES & ADDITIONAL EXPLANATION

Use this section for footnotes to balance sheet entries, additional explanation of items on page one including contingent liabilities, note endorsements, warranties, and pending litigation. Each footnote should be referenced by its corresponding line number from page one. Attach additional sheets if necessary. Any documentation such as IRS repayment agreements which may explain or support a particular entry should also be attached. NOTE: If you have a tax lien, please attach documentation showing the status of payment on that lien. You do not need to submit any other documentation at this time; however, additional documentation may be requested. To protect your privacy, you may redact your social security number contained in any document submitted to the Securities Division.

5. CERTIFICATION

This balance sheet, including all footnotes and attachments has been prepared in accordance with generally accepted accounting principles (GAAP) and is a true, complete and correct statement of my financial condition on the date of balance sheet.

Signature: ____________________ Date: __________

6. RETURN FORM TO THE SECURITIES DIVISION

Email Address:	LCIE@dfi.wa.gov	Fax:	(360) 704-6988
Mailing Address:	PO Box 9033 Olympia, WA 98507-9033	Phone:	(360) 902-8815