

Statement of Financial Condition

- This document is intended to assist in determining (1) if a recommendation is suitable given an investors circumstance. (2) If an individual meets the definition of an accredited investor under the securities and Exchange Act of 33 Rule 506 Regulation D (Reg D) for the purpose of investing in a Private Placement (PP) or the suitability standards for certain non-traded REITS (REIT) or Business Development Companies (BDC). It is not intended to function as an individual balance sheet.
- Under Reg D, the investor must have a net worth greater than \$1 million, either individually or jointly with the investors spouse. Investors should include all of their assets and all of their liabilities in calculating net worth. Further, the primary residence is not counted as an asset in the net worth calculation. In general, debt secured by the primary residence (such as a mortgage or home equity line of credit) is not counted as a liability in that net worth calculation if the fair market value (FMV) of the residence is greater than the amount secured by it.

ACCOUNT REGISTRATION

RR Name _____ RR No. _____

Customer Names(s) _____

LIQUID NON-QUALIFIED ASSETS	APPROX. VALUE	LIABILITIES	AMOUNT
Cash/Money Markets/CDs		Mortgage (Primary Residence)	
Brokerage (non-managed)		Mortgages (Secondary or Investment)	
Managed Accounts		Home Equity Loans	
Mutual Funds (Direct)		Credit Cards	
Annuities (less surrender charges)		Other Liabilities	
Cash Value Life insurance		TOTAL LIABILITIES	
Other (business Assets/collectibles)			
TOTAL LIQUID ASSETS		NET WORTH	AMOUNT
		Total Assets (less primary residence)	
ILLIQUID NON-QUALIFIED ASSETS	VALUE / EQUITY	Total Liabilities	
Primary Residence		Total Net Worth (Assets less PR – Liabilities)	
Investment Real Estate		Total Illiquid Securities	
Private Business		Total Net Worth	
TOTAL ILLIQUID ASSETS (equity)		Total Potential Liquidity	
LIQUID QUALIFIED ASSETS	APPROX. VALUE	INCOME SUMMARY	AMOUNT
Cash/Money Markets/CDs		Salary/Commissions	
Retirement Plans (401K, 403B, etc.,)		Investment Income (Interest & Dividends)	
Brokerage (non-managed)		Pension	
Managed Accounts		Social Security	
Mutual Funds (Direct)		Net Rental Income	
Annuities		Other	
TOTAL LIQUID QUALIFIED ASSETS		TOTAL ANNUAL INCOME	
ILLIQUID QUALIFIED ASSETS	Purchase Amount / Value	Notes:	
TOTAL ILLIQUID QUALIFIED ASSETS			

Additional Notes:

BY SIGNING BELOW, I ACKNOWLEDGE THE FOLLOWING:

- I attest that the data above and attached are accurate and complete based on information I have provided to my financial professional.
- I agree to report material changes to my financial and personal circumstances to my financial professional in a timely fashion.
- I understand that I may be required to attest and recertify this information from time to time in order for my financial professional to provide future recommendations that are suitable and in my best interest.
- I understand that I may be requested to supply supporting documentation to verify the information presented on this statement of financial condition.
- I understand that this information is to be used and relied upon by my financial professional to make recommendations in my best interest.

Account Owner Signature

Printed Name

Date

Joint Account Owner Signature

Printed Name

Date

Financial Professional Signature

Printed Name

Date

Registered Principal Signature

Printed Name

Date