

Last Name	First Name	Middle Name	Social Security Number

### **Instructions for Completing Net Worth Statement**

Having been convicted in the United States District Court, you are required to prepare and file with the probation officer an affidavit fully describing your financial resources, including a complete listing of all assets you own or control as of this date and any assets you have transferred or sold since your arrest. Amendments were made to 18 U.S.C. §§ 3663(a)(1)(B)(i), 3664(d)(3), and 3664(f)(2), and Rule 32(b)(4)(F) to clarify that the assets owned, jointly owned, or controlled by a defendant, and liabilities are all relevant to the court's decision regarding the ability to pay. Your Net Worth Statement should include assets or debts that are yours alone (I-Individual), assets or debts that are jointly (J-Joint) held by you and a spouse or significant other, assets or debts that are held by a spouse or significant other (S-Spouse or Significant Other) that you enjoy the benefits of or make occasional contributions toward, and assets or debts that are held by a dependent (D-Dependent) that you enjoy the benefits of or make occasional contributions toward.

If you are placed on probation or supervised release (or other types of supervision), you may be periodically required to provide updated information fully describing your financial resources and those of your dependents, as described above, to keep a probation officer informed concerning compliance with any condition of supervision, including the payment of any criminal monetary penalties imposed by the court (see 18 U.S.C. § 3603).

Please complete the Net Worth Statement in its entirety. You must answer "None" to any item that is not applicable to your financial condition. Attach additional pages if you need more space for any item. All entries must be accompanied by supporting documentation (see Request for Net Worth Statement Financial Records (Prob. 48A)). Initial and date each page (including any attached pages). Also, sign, date, and attach the Declaration of Defendant or Offender Net Worth & Cash Flow Statements (Prob. 48D).

Last Name - \_\_\_\_\_

## NET WORTH STATEMENT

**NOTE: I = Individual    J = Joint    S = Spouse/Significant Other    D = Dependent**

### ASSETS

**BANK ACCOUNTS** (Include all personal and businesses checking and savings accounts, credit unions, money markets, certificates of deposit, IRA and KEOGH accounts, Thrift Savings, 401K, etc.)

	I/J S/D	Name of Institution	Address	Type of Account	Account Number	Personal or Commercial	Balance
Section A							

**SECURITIES** (Include all stocks in public corporations, stocks in businesses you own or have an interest in, bonds, mutual funds, U.S. Government securities, etc.)

	I/J S/D	Name and Kind of Security	Location of Security	Number of Units	Fair Market Value
Section B					

**MONEY OWED TO YOU BY OTHERS** (Include all money owed to you by any person or entity.)

	I/J S/D	Name and Address of Debtor	Amount Owed to You	Reason Owed to You	Date Money Loaned	Relationship to Debtor (if any)	Monthly Payment or Date Full Payment Expected	Is Debt Collectible ?
Section C								

Initials \_\_\_\_\_ Date \_\_\_\_\_

<b>Last Name -</b>								
Section D	<b>LIFE INSURANCE</b> (Include type of policy [whole life, variable, or term], face amount [the stated amount of coverage] and cash surrender value [the value of the investment portion of a whole life or variable policy].)							
	I/J S/D	Name and Address of Company and Name of Beneficiary	Policy Number	Type of Policy	Face Amount	Cash Surrender Value	Amount Borrowed	Amount You Can Borrow
Section E	<b>SAFE DEPOSIT BOXES OR STORAGE SPACE FACILITY</b> (Include all safe deposit boxes or storage space you rent or places you have access to in which others are holding assets or items belonging to you.)							
	I/J S/D	Name and Address of Box or Facility Location	Box Number or Space	Contents	Fair Market Value			
Section F	<b>MOTOR VEHICLES</b> (Include all cars, trucks, mobile homes, motorcycles, all terrain vehicles, boats, airplanes, etc.)							
	I/J S/D	Year, Make & License Number/Vehicle Identification Number	Mileage	Loan/Lease Balance (if any)	Date Loan/Lease Will be Paid Off or Ends	Monthly Payment	Fair Market Value	
Section G	<b>REAL ESTATE</b> (Include property, parcels, lots, timeshares, and developed land with buildings.)							
	I/J S/D	Real Estate Address (include county and state)/ Mortgage Company or Lien Holder	Purchase Date	Purchase Price	Mortgage Balance (if any)	Date Mortgage Will be Paid Off	Monthly Payment	Fair Market Value
Section H	<b>MORTGAGE LOANS OWED TO YOU</b> (Include name, address, and relationship [if any] to the mortgagee [the party that bought the real estate you sold and is making payments to you].)							
	I/J S/D	Mortgagee (name & address)/ Relationship to Mortgagee	Mortgage Balance	Date Mortgage Will be Paid Off	Balloon Payment? If Yes, Date?	Monthly Payment	Is Debt Collectible?	

<b>Last Name -</b>								
Section I	<b>OTHER ASSETS</b> (Include any cash on hand, jewelry, art, paintings, coin collections, stamp collections, collectibles, antiques, copyrights, patents, etc.)							
	I/J S/D	Description	Loan Balance (if any)	Date Loan Will be Paid Off	Monthly Payment	Where is Asset Located?	Fair Market Value	
Section J	<b>ANTICIPATED ASSETS</b> (Include any assets you expect to receive or control from lawsuits for compensation or damages, profit sharing, pension plans, inheritance, wills, or as an executor or administrator of any succession or estate.)							
	I/J S/D	Amount Received or Expected to Receive	Date Expected to Receive	Reason You Expect This	Name and Address of Person or Company That Can Verify This (e.g., attorney, financial institution, executor)			
Section K	<b>TRUST ASSETS</b> (Include all trusts in which you are a grantor or donor [the person who establishes the trust], the trustee or fiduciary [who controls the trust assets and income or the beneficiary who has or will receive benefits from the trust].)							
	I/J S/D	Name of Trust/ Taxpayer ID#	Value of Trust	Your Annual Income From Trust	Your Interest in Trust Assets			
Section K	<b>BUSINESS HOLDINGS</b> (Include all businesses in which you have an ownership interest or with which you had an affiliation within the last three years; e.g., self-employed sole proprietor, officer, shareholder, board member, partner, associate, etc.) Complete Section N (attach additional pages, if necessary).							
	I/J S/D	Name and Address of Business/ Taxpayer ID.#	Type of Business Entity	Industry of Business	Date Business Started	Capital Investment to Start	Your Ownership Interest Percentage	Sale Price or Fair Market Value of Your Interest

**Last Name -**

<b>Section L</b>	<b>INCOME TAX RETURNS</b>		
	<b>Type of Income Tax Return Filed</b>	<b>Last Filing Year</b>	<b>Years of Last 5 Income Tax Returns You Will Submit to the Probation Officer</b>
	Individual (Form 1040)		
	Partnership/Limited Liability Company (Form 1065)		
	Corporation (Form 1120)		
	S Corporation (Form 1120S)		

<b>Section M</b>	<b>TRANSFER OF ASSETS</b> (Include any assets you have transferred or sold since the date of your arrest with a cost or fair market value of more than \$500.00. Also list any assets that someone else is holding on your behalf.)						
	<b>I/J S/D</b>	<b>Description of Asset/ Reason Transferred/Sold</b>	<b>Date of Transfer/Sale</b>	<b>Original Cost</b>	<b>Amount You Received, if Any</b>	<b>Name of Purchaser or Person Holding the Asset</b>	<b>Sale Price or Fair Market Value at Transfer</b>

<b>Section N</b>	<b>NAMES OF SHAREHOLDERS OR PARTNERS</b> (Include all shareholders, officers, and/or partners, indicating each respective ownership interest.)		
	<b>Name of Business</b>	<b>Names of Shareholders/Partners</b>	<b>Ownership Interest Percentage</b>

Last Name -				
Section O	<b>ASSETS YOU WILL LIQUIDATE</b> (Include all assets you intend to liquidate to satisfy any criminal monetary penalties that may be imposed.)			
	Asset Description	Estimated Value of Asset	Date You Will Liquidate	Current Location of Asset (if real property, county and state)
Section P	<b>PROSPECT OF INCREASE IN ASSETS</b> (Give a general statement of the prospective increase of the value of any asset you own.)			

<b>Last Name -</b>							
<b>LIABILITIES</b>							
<b>Section A</b>	<b>CHARGE ACCOUNTS AND LINES OF CREDIT</b> (Include all bank credit cards, lines of credit, revolving charge accounts, etc.)						
	I/J S/D	Type of Account or Card	Name and Address of Creditor	Credit Limit	Amount Owed	Credit Available	Minimum Monthly Payment
<b>Section B</b>	<b>OTHER DEBTS</b> (Include mortgage loans, notes payable, delinquent taxes, and child support.)						
	I/J S/D	Owed To	Address	Relationship (if any)	Amount Owed	Reason Owed	Monthly Payment
<b>Section C</b>	<b>PARTY TO CIVIL SUIT</b> (Include any civil lawsuits you have ever been a party to.)						
	I/J S/D	Name of Plaintiff in the Case	Court of Jurisdiction and County	Case Number	Date of Suit Filed	Date of Judgment	Judgment Amount/ Unpaid Balance
<b>Section D</b>	<b>BANKRUPTCY FILINGS</b> (Include information requested for any Chapter 7, 11, or 13 bankruptcy filings you have ever been a party to as an individual or as a business entity.)						
	I/J S/D	Type of Bankruptcy (Voluntary or Involuntary)/ Name and Address of Trustee	Bankruptcy Case Number	Bankruptcy Court of Jurisdiction	County and State of Discharge	Date Filed	Date of Discharge

Signature \_\_\_\_\_ Date \_\_\_\_\_

# REQUEST FOR NET WORTH STATEMENT FINANCIAL RECORDS

DEFENDANT'S FULL NAME

DOCKET NUMBER

All entries on the Net Worth Statement must be accompanied by supporting documentation. Provide the probation officer with all records listed below that are applicable to your financial statements, along with your completed Net Worth Statement by the close of business \_\_\_\_\_.

## ASSETS

### Section A - Bank Accounts

- ◆ Most recent bank account statements (e.g., checking, savings, credit union, money market, brokerage, Certificate of Deposit, or savings bonds) for a three-month period, along with canceled checks.

### Section B - Securities

- ◆ Most recent securities account statements (e.g., brokerage, annuities, life insurance, IRA, KEOGH, 401K, or thrift savings account) for a three-month period.

### Section C - Notes & Accounts Receivable

- ◆ Copy of signed note receivable.

### Section D - Life Insurance

- ◆ Copy of all life insurance policies (e.g., whole life, variable life, term).

### Section E - Safe Deposit Boxes or Storage Facilities

- ◆ Copy of most recent rental invoice for all safe deposit boxes or storage facility rentals within the past year, including receipts or verification of content value.

### Section F - Motor Vehicles

- ◆ Copy of vehicle registration and title for all vehicles owned or leased.

### Section G - Real Estate

- ◆ Copy of purchase agreement, deeds, and escrow statement for all real property.

### Section H - Mortgage Loans Owed To You

- ◆ Copy of the sales agreement and escrow statement for all real property.

### Section I - Other Assets

- ◆ Copy of purchase invoice and appraisal (if already previously obtained), and documentation to verify the fair market value of the asset.

### Section J - Anticipated Assets

- ◆ Copy of documentation to verify future receipt of anticipated asset, (e.g., claim or lawsuit filings, profit sharing plan and current statement, pension plan and current statement, inheritance documents, copy of all trusts, trust income tax returns), and most recent accounting reflecting the value of your interest and income from the trust.

### Section K - Business Holdings

- ◆ In addition to providing the information requested in Section K and completing Section N, provide copies of all income tax returns for each business you had an ownership interest in (e.g., shareholder, partner, proprietor) or an affiliation with (e.g., officer, director, board member, agent, associate) within the last five years. Also provide all financial statements for each business, prepared by you or your accountant, within the past five years.

### Business Accounts Receivable

- ◆ Copy of current month's billing statements that verify business accounts receivable.

### Business Accounts Payable

- ◆ Copy of current month's vendor invoices that verify business accounts payable.

### Section L - Income Tax Returns

- ◆ Copy of the five most recent years' income tax returns filed for: Individual (Form 1040), Partnership (Form 1065), Corporation (Form 1120), S Corporation (Form 1120S), and Limited Liability Company (Form 1065). Be sure to include all related schedules and forms. Provide a written explanation for any returns not filed.

### Section M - Transfer of Assets

- ◆ Copy of the bill of sale, documentation of funds received from sale (e.g., a personal or business check, cashier's check or money order), copy of vehicle registration and title of sold vehicle, and escrow closing statements for any real estate sold since the date of your arrest.

### Section N - Names of Shareholders or Partners

- ◆ Copy of Articles of Incorporation for all corporations you own or have an interest in. Copy of partnership agreement for all partnerships you have an ownership interest in.

## REQUEST FOR NET WORTH STATEMENT FINANCIAL RECORDS (cont.)

### LIABILITIES

#### Section A - Charge Accounts

- ◆ Copy of most current billing statement for all charge accounts (e.g., credit cards, revolving charge cards, and department store cards) and lines of credit (e.g., bank line of credit).

#### Section B - Other Debts

- ◆ Copy of all notes payable, mortgage loans, current statement of delinquent taxes due, and statements documenting child support/alimony obligations and payment history.

#### Section C - Party to Civil Suit

- ◆ Copy of all civil suit filings and judgments.

#### Section D - Bankruptcy Filings

- ◆ Copy of all bankruptcy filings including petition, financial statements submitted, final judgment and order of discharge.

### OTHER RECORDS REQUESTED

### ADDITIONAL INSTRUCTIONS:

A personal interview has been scheduled for you with:

\_\_\_\_\_ on \_\_\_\_\_  
U.S. Probation Officer Date

at \_\_\_\_\_ Office Location \_\_\_\_\_  
Time \_\_\_\_\_

Telephone \_\_\_\_\_

## REQUEST FOR MONTHLY CASH FLOW STATEMENT FINANCIAL RECORDS

DEFENDANT'S FULL NAME

DOCKET NUMBER

All entries on the Cash Flow Statement must be accompanied by supporting documentation. Provide the probation officer with all records listed below that are applicable to your financial statements, along with your completed Cash Flow Statement by the close of business \_\_\_\_\_.

### MONTHLY CASH INFLOWS

#### Salary/Wages

- ◆ Copy of all W-2 forms submitted with the prior year income tax return. Copy of all pay-stubs for the most recent one-month period.

#### Cash Advances

- ◆ Copy of all pay-stubs documenting cash advances.

#### Cash Bonuses

- ◆ Copy of all pay-stubs documenting cash bonuses, and copy of related 1099 form

#### Commissions

- ◆ Copy of all 1099 forms submitted with the prior year income tax return.

#### Business Income

- ◆ Copy of the past six monthly financial statements of all businesses owned or controlled by the defendant. Also be sure to provide all financial information requested in the "Assets" portion of the "Net Worth Statement" under "Section K, Business Holdings."

#### Interest/Dividends

- ◆ Copy of most recent earnings statement from a financial institution (e.g., bank, brokerage firm, etc.). Copy of all 1099-INT forms, reporting annual interest earnings, for the past year.

#### Rental Income

- ◆ Copy of lease rental agreement, copy of monthly rental check received, and copy of the deposit on the defendant's monthly bank statement.

#### Trust Income

- ◆ Copy of the monthly trust income check, copy of the trust agreement, and a copy of the trust income tax return for the prior year.

#### Alimony/Child Support

- ◆ Copy of divorce decree, copy of payments received, and statements documenting child support/alimony obligations with payment history.

#### Social Security

- ◆ Copy of most recent Social Security check and most recent benefits determination letter.

#### Other Government Benefits

- ◆ Copy of most recent government subsidy check (e.g., unemployment compensation, or child support/alimony) and most recent benefits determination letter.

#### Pensions/Annuities

- ◆ Copy of pension/annuity check, copy of most recent pension plan activity statement or annuity statement, and copy of pension plan or annuity contract.

#### Allowances (housing, auto, travel)

- ◆ Copy of related pay stub, 1099 form for prior year, and possibly a letter from the employer on company letterhead.

#### Gratuities/Tips

- ◆ Copy of current month's pay-stubs, letter from employer estimating monthly gratuities earned, and W-2 form for the prior year.

#### Spouse (Significant Other's) Salary/Wages

- ◆ Copy of all W-2 forms submitted with the prior year income tax return. Copy of all pay-stubs for the most recent one-month period.

#### Other Joint Spousal Income

- ◆ Documentation verifying any monthly income jointly earned with the spouse or significant other, (e.g., income from the spouse or significant other or income from a business owned or controlled by the spouse or significant other, that the defendant has a joint ownership interest in, or controls).

#### Income of Others in the Home

- ◆ Verification of the monthly earnings of all others living in the defendant's household (e.g., all pay-stubs for the prior month, W-2 forms, and 1099 forms for the prior year), paid receipts or canceled checks for necessary monthly household expenditures (e.g., for food, room rental, telephone, transportation, etc.) actually paid by this person on behalf of the defendant.

#### Gifts From Family

- ◆ A signed and dated statement from the family member who gave gifts to the defendant during the month, listing the amounts, dates and reasons given, and a copy of the check received, if any.

#### Gifts From Others

- ◆ A signed and dated statement from the person(s) who gave gifts to the defendant during the month, listing the amounts, dates and reasons given, and a copy of the check received, if any.

#### Loans From Your Business

- ◆ Copy of the past six monthly financial statements of all businesses owned or controlled by the defendant that loaned money to the defendant, including a detailed schedule of the "Loans To Shareholder/Owner" or "Due From Shareholder/Owner" general ledger accounts.

#### Mortgage Loans

- ◆ Copy of all mortgage checks received during the prior month, 1099 forms submitted with the prior year tax return, and copy of the sales agreement and escrow statement for all mortgage loans owed to the defendant.

#### Other Loans

- ◆ Copy of loan documentation and copy of all loan checks received during the prior month.

#### Other (specify)

- ◆ Documentation verifying the source of all other monthly cash inflows (not yet disclosed or reported in these financial statements) and copy of all related monthly checks received.

### REQUEST FOR MONTHLY CASH FLOW STATEMENT FINANCIAL RECORDS (cont.)

#### NECESSARY MONTHLY CASH OUTFLOWS

##### Rent or Mortgage (including taxes)

- ◆ Copy of apartment rental lease agreement or home mortgage, most recent mortgage statement, and copy of canceled check.

##### Groceries (# of people)

- ◆ Grocery receipts with corresponding canceled checks (if applicable) for the past month.

##### Utilities

- ◆ Copy of most current utility bills (e.g., electric, heating oil/gas, water/sewer, telephone, and basic cable).

##### Transportation

- ◆ Current month gasoline/motor oil receipts and corresponding canceled checks (if applicable), and gasoline credit card statements for the prior month.

##### Insurance

- ◆ Copy of most current insurance bills for all types of insurance (auto, health, life, homeowners).

##### Clothing

- ◆ Purchase receipts with corresponding canceled checks.

##### Loan Payments

- ◆ Copy of loan statements (including motor vehicle payment book and lines of credit) for all loans. Also provide a copy of any financial statements submitted to obtain credit in the past three years.

#### Credit Card Payments

- ◆ Copy of most current billing statement for all charge accounts (e.g., credit cards, revolving charge cards, and department store cards) and lines of credit (e.g., bank line of credit).

#### Medical

- ◆ Documentation of medical expenses (e.g., billing statements, payment receipts and canceled checks).

#### Alimony/Child Support

- ◆ Copy of divorce decree, canceled checks, and statements documenting child support/alimony obligations with payment history.

#### Co-payments (electronic monitoring, drug/mental health treatment)

- ◆ Canceled check along with statement from the service provider (if any).

#### Other (specify)

- ◆ Specific receipts, billing statements, and corresponding canceled checks.

#### ADDITIONAL INSTRUCTIONS:

A personal interview has been scheduled for you with:

\_\_\_\_\_ on \_\_\_\_\_  
U.S. Probation Officer Date

at \_\_\_\_\_ Office Location \_\_\_\_\_  
Time

Telephone \_\_\_\_\_