

PERSONAL BALANCE SHEET

ARKANSAS SECURITIES DEPARTMENT

Heritage West Building
 201 East Markham St., Suite 300
 Little Rock, AR 72201
 (501) 324-9260



www.securities.arkansas.gov/

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	LIABILITIES	VALUE	
Cash		Home		
1. Checking Account(s)		24. Mortgage		
2. Savings Account(s)		25. Home Equity Line of Credit (HELOC)		
3. Other:		26. Other:		
Investments		Loans		
4. Stocks		27. Vehicle Loan(s)*		
5. Bonds		28. Credit Card Debt(s)		
6. Certificates of Deposit		29. Personal Loan(s)		
7. Mutual Funds		30. Student Loan(s)		
8. Other:		31. Other:		
Retirement		Other Liabilities		
9. 401(k) or 403(b)		32. Personal Estimated Taxes Payable		
10. Individual Retirement Accounts (IRAs)		33. Real Estate Estimated Taxes Payable		
11. Keogh (vested interest)		34. Other Estimated Taxes Payable		
12. Life Insurance (cash surrender value only)		35. Insurance Payable		
13. Other:		36. Accounts Payable		
Real Estate		37. Other:		
14. Primary Residence		38. Other:		
15. Other residence(s)		Leins or Judgments (list each separately)		
16. Rental or Investment Property		39.		
17. Other:		40.		
Other Assets		41.		
18. Business Interests		42.		
19. Accounts Receivable		43. Compromise with Creditor Balance		
20. Vehicle(s)*		44. TOTAL LIABILITIES		\$ -
21. Other:		45. NET WORTH (ASSETS-LIABILITIES)		\$ -
22. Other:				
23. TOTAL ASSETS	\$ -			

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

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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

I certify that the statements in this document are true and complete. I understand that any omitted statement, misrepresentation, or fraud may be cause for denial of my application, disciplinary action, or may be punishable by law

Signature _____

Date _____