

**DECLARATION OF DEFENDANT OR OFFENDER  
NET WORTH & CASH FLOW STATEMENTS**

I, \_\_\_\_\_, residing at \_\_\_\_\_,  
in the city (or county) of \_\_\_\_\_, in the state of \_\_\_\_\_,  
have completed the attached  Net Worth Statement (Prob. Form 48) or  Net Worth Short Form Statement (Prob.  
Form 48EZ) and/or  Cash Flow Statement (Prob. Form 48B) that fully describe my financial resources, including a  
complete listing of all assets owned or controlled by me as of this date and any transfers or sales of assets since my arrest.  
The Cash Flow Statement (Prob. Form 48B) also includes my financial needs and earning ability and the financial needs  
and earning ability of my spouse (or significant other) and my dependent(s) living at home.

Net Worth Statement (Total pages, including additional pages \_\_\_\_\_)

Net Worth Short Form Statement (Total pages, including additional pages \_\_\_\_\_)

Cash Flow Statement (Total pages, including additional pages \_\_\_\_\_)

I declare under penalty of perjury that the foregoing is true and correct.

False statements may result in revocation of supervision, in addition to possible prosecution under the provisions of  
18 U.S.C. § 1001, which carries a term of imprisonment of up to 5 years and a fine of up to \$250,000, or both.

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

Executed on \_\_\_\_\_  
\_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

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. 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**

<b>ASSETS</b>							
<b>BANK ACCOUNTS</b> (Include all personal and businesses checking and savings accounts, credit unions, money markets, certificates of deposit, IRA and KEOGH accounts, ROTH IRA's, Thrift Savings, 401K, etc.)							
I/J S/D	Name of Institution	Address	Type of Account	Account Number	Personal or Commercial	Balance	
Section A							
<b>SECURITIES</b> (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							
<b>MONEY OWED TO YOU BY OTHERS</b> (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>								
<b>Section D</b>	<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.])							
	<b>I/J S/D</b>	<b>Name and Address of Company and Name of Beneficiary</b>	<b>Policy Number</b>	<b>Type of Policy</b>	<b>Face Amount</b>	<b>Cash Surrender Value</b>	<b>Amount Borrowed</b>	<b>Amount You Can Borrow</b>
<b>Section E</b>	<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.)							
	<b>I/J S/D</b>	<b>Name and Address of Box or Facility Location</b>	<b>Box Number or Space</b>	<b>Contents</b>	<b>Fair Market Value</b>			
<b>Section F</b>	<b>MOTOR VEHICLES</b> (Include all cars, trucks, mobile homes, motorcycles, all terrain vehicles, boats, airplanes, etc.)							
	<b>I/J S/D</b>	<b>Year, Make &amp; License Number/Vehicle Identification Number</b>	<b>Mileage</b>	<b>Loan/Lease Balance (if any)</b>	<b>Date Loan/Lease Will be Paid Off or Ends</b>	<b>Monthly Payment</b>	<b>Fair Market Value</b>	
<b>Section G</b>	<b>REAL ESTATE</b> (Include property, parcels, lots, timeshares, and developed land with buildings.)							
	<b>I/J S/D</b>	<b>Real Estate Address (include county and state)/ Mortgage Company or Lien Holder</b>	<b>Purchase Date</b>	<b>Purchase Price</b>	<b>Mortgage Balance (if any)</b>	<b>Date Mortgage Will be Paid Off</b>	<b>Monthly Payment</b>	<b>Fair Market Value</b>
<b>Section H</b>	<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].)							
	<b>I/J S/D</b>	<b>Mortgagee (name &amp; address)/ Relationship to Mortgagee</b>	<b>Mortgage Balance</b>	<b>Date Mortgage Will be Paid Off</b>	<b>Balloon Payment? If Yes, Date?</b>	<b>Monthly Payment</b>	<b>Is Debt Collectible?</b>	

<b>Last Name -</b>								
<b>Section I</b>	<b>OTHER ASSETS</b> (Include any cash on hand, jewelry, art, paintings, coin collections, stamp collections, musical instruments, collectibles, antiques, home furnishings, copyrights, patents, etc.)							
	<b>I/J S/D</b>	<b>Description</b>	<b>Loan Balance (if any)</b>	<b>Date Loan Will be Paid Off</b>	<b>Monthly Payment</b>	<b>Where is Asset Located?</b>	<b>Fair Market Value</b>	
<b>Section J</b>	<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.)							
	<b>I/J S/D</b>	<b>Amount Received or Expected to Receive</b>	<b>Date Expected to Receive</b>	<b>Reason You Expect This</b>	<b>Name and Address of Person or Company That Can Verify This (e.g., attorney, financial institution, executor)</b>			
<b>Section K</b>	<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].)							
	<b>I/J S/D</b>	<b>Name of Trust/ Taxpayer ID#</b>	<b>Value of Trust</b>	<b>Your Annual Income From Trust</b>	<b>Your Interest in Trust Assets</b>			
<b>Section K</b>	<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).							
	<b>I/J S/D</b>	<b>Name and Address of Business/ Taxpayer I.D.#</b>	<b>Type of Business Entity</b>	<b>Industry of Business</b>	<b>Date Business Started</b>	<b>Capital Investment to Start</b>	<b>Your Ownership Interest Percentage</b>	<b>Sale Price or Fair Market Value of Your Interest</b>

<b>Last Name -</b>							
<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 \$1,000.00. 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>

<b>Last Name -</b>			
<b>Section O</b>	<b>ASSETS YOU WILL LIQUIDATE</b> (Include all assets you intend to liquidate to satisfy any criminal monetary penalties that may be imposed.)		
	<b>Asset Description</b>	<b>Estimated Value of Asset</b>	<b>Date You Will Liquidate</b>
	<b>Current Location of Asset</b> (if real property, county and state)		
<b>Section P</b>	<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.)						
	<b>I/J S/D</b>	<b>Type of Account or Card</b>	<b>Name and Address of Creditor</b>	<b>Credit Limit</b>	<b>Amount Owed</b>	<b>Credit Available</b>	<b>Minimum Monthly Payment</b>
<b>Section B</b>	<b>OTHER DEBTS</b> (Include mortgage loans, notes payable, delinquent taxes, and child support.)						
	<b>I/J S/D</b>	<b>Owed To</b>	<b>Address</b>	<b>Relationship (if any)</b>	<b>Amount Owed</b>	<b>Reason Owed</b>	<b>Monthly Payment</b>
<b>Section C</b>	<b>PARTY TO CIVIL SUIT</b> (Include any civil lawsuits you have ever been a party to.)						
	<b>I/J S/D</b>	<b>Name of Plaintiff in the Case</b>	<b>Court of Jurisdiction and County</b>	<b>Case Number</b>	<b>Date of Suit Filed</b>	<b>Date of Judgment</b>	<b>Judgment Amount/ Unpaid Balance</b>
<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.)						
	<b>I/J S/D</b>	<b>Type of Bankruptcy (Voluntary or Involuntary)/ Name and Address of Trustee</b>	<b>Bankruptcy Case Number</b>	<b>Bankruptcy Court of Jurisdiction</b>	<b>County and State of Discharge</b>	<b>Date Filed</b>	<b>Date of Discharge</b>

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



## REQUEST FOR NET WORTH STATEMENT FINANCIAL RECORDS

OFFENDER'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, IRA, ROTH IRA, KEOGH, 401K, or thrift savings account) for a three-month period.

**Section B – Securities**

- ◆ Most recent securities account statements (e.g., brokerage, annuities, life insurance) 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, cashiers 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.

**Section O – Assets You Will Liquidate**

- ◆ Assets available for payment of criminal monetary penalties

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

**LIABILITIES**

<p><b>Section A – Charge Accounts</b></p> <ul style="list-style-type: none"> <li>◆ 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).</li> </ul> <p><b>Section B – Other Debts</b></p> <ul style="list-style-type: none"> <li>◆ Copy of all notes payable, mortgage loans, current statement of delinquent taxes due, and statements documenting child support/alimony obligations and payment history.</li> </ul> <p><b>Section C – Party to Civil Suit</b></p> <ul style="list-style-type: none"> <li>◆ Copy of all civil suit filings and judgments.</li> </ul> <p><b>Section D – Bankruptcy Filings</b></p> <ul style="list-style-type: none"> <li>◆ Copy of all bankruptcy filings including petition, financial statements submitted, final judgment and order of discharge.</li> </ul>	<p><b>OTHER RECORDS REQUESTED</b></p>
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ADDITIONAL INSTRUCTIONS:

A personal interview has been scheduled for you with:

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

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

Telephone \_\_\_\_\_

Last Name	First Name	Middle Name	Social Security Number

### **Instructions for Completing Monthly Cash Flow Statement**

Having been convicted in the United States District Court, you are required to prepare and file with the probation officer a statement fully describing your financial resources, including a complete listing of all monthly cash inflows and outflows.

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 spouse, significant others, or 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).

Your Cash Flow 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) living in your home that you enjoy the benefits of or make occasional contributions toward.

Please complete the Monthly Cash Flow 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 Cash Flow Statement Financial Records (Prob. 48C)). Initial and date each page (including any attached pages) and sign and date the last page of the Cash Flow Statement.

Last Name -

## MONTHLY CASH FLOW STATEMENT

### Monthly Cash Inflows

Defendant	Gross	Net
<b>Your Salary/Wages</b> (List both monthly gross earnings and take-home pay after payroll deductions.)		
<b>Your Cash Advances</b> (List all payroll advances or other advances from work.)		
<b>Your Cash Bonuses</b> (List all payments from work in addition to your salary that are not an advance.)		
<b>Commissions</b> (List all non-employee earnings as an independent contractor.)		
<b>Business Income</b> (List both monthly gross income and net income after deducting expenses.)		
<b>Interest</b> (List all interest earned each month.)		
<b>Dividends</b> (List all dividends earned each month.)		
<b>Rental Income</b> (List all monthly income received from real estate properties owned.)		
<b>Trust Income</b> (List all trust income earned each month.)		
<b>Alimony/Child Support</b> (List all alimony or child support payments received each month.)		
<b>Social Security</b> (List all payments received from Social Security.)		
<b>Other Government Benefits</b> (List all amounts received from the government not yet reported (e.g., Food stamps and unemployment compensation))		
<b>Pensions/Annuities</b> (List all funds received from pensions and annuities each month.)		
<b>Allowances-Housing/Auto/Travel</b> (List all funds received from housing allowances, auto allowances, travel allowances, and any other kind of allowance.)		
<b>Gratuities/Tips</b> (List all gratuities and tips received each month from any and all sources.)		
<b>Spouse/Significant Other Salary/Wages</b> (List all gross and net monthly salary and wages received by your spouse or significant other.)		
<b>Other Joint Spousal Income</b> (List any monthly income jointly earned with your spouse or significant other [e.g., any income from spouse or income from a business owned or operated by the spouse that you have a joint ownership interest in or control]).		
<b>Income of Other In-House</b> (List all monthly income of others living in the household or the monthly amount actually paid for household bills by these persons.)		
<b>Gifts from Family</b> (List all amounts received as gifts from family members each month.)		
<b>Gifts from Others</b> (List all gifts received from any sources not yet reported.)		
<b>Loans from Your Business</b> (List all loan amounts received each month from all businesses owned or controlled by you.)		
<b>Mortgage Loans</b> (List all amounts received each month from mortgage loans owed to you.)		
<b>Other Loans</b> (List all other loan amounts received each month not yet reported.)		
<b>Other</b> (specify) (List all other amounts received each month not yet reported.)		
<b>TOTALS</b>		

<b>Last Name -</b>	
<b>Necessary Monthly Cash Outflows</b>	
	<b>Amount</b>
<b>Rent or Mortgage</b> (List monthly rental payment or mortgage payment.)	
<b>Groceries</b> (List the total monthly amount paid for groceries and number of people in your household.) #	
<b>Utilities</b> (List the monthly amount paid for electric, heating oil/gas, water/sewer, telephone, and basic cable.)	
<b>Electric</b>	
<b>Heating Oil/Gas</b>	
<b>Water/Sewer</b>	
<b>Telephone</b>	
<b>Basic Cable</b> (no premium channels)	
<b>Public Transportation</b> (List monthly amount paid for public transportation.)	
<b>Car Payments</b> (List all payments made to purchase or lease vehicles.)	
<b>Commuting Expenses</b> (List monthly amount paid for gasoline, tolls etc.)	
<b>Auto Insurance</b> (List the monthly amount paid for auto, health, homeowner/rental, and life insurance.)	
<b>Health Insurance</b> (List the monthly amount paid for homeowner/rental.)	
<b>Homeowner/Rental Insurance</b> (List the monthly amount paid for homeowner/rental insurance.)	
<b>Clothing</b> (List the monthly amount actually paid for clothing.)	
<b>Loan Payments</b> (List all monthly amounts paid toward verified loans, other than loans to family members, which are non-allowable expenses.)	
<b>Credit Card Payments</b> (List all minimum monthly credit card or charge card payments.)	
<b>Medical</b> (List all expenses not covered by insurance.)	
<b>Alimony/Child Support</b> (List all alimony or child support payments made each month.)	
<b>Criminal Monetary Penalty</b> (List all monthly payments for court-ordered criminal monetary penalties.)	
<b>Court-ordered Costs</b> (List the total monthly payments made for location monitoring and drug and mental health treatment.)	
<b>Other</b> (specify) (List all other necessary monthly amounts paid each month not yet reported.)	
<b>Other Factors That May Affect Monthly Cash Flow</b> (Describe)	
<b>TOTAL</b>	
<b>NET MONTHLY CASH FLOW: \$</b> (CASH INFLOWS LESS NECESSARY CASH OUTFLOWS)	
<b>MONTHLY CRIMINAL MONETARY PENALTY PAYMENT: \$</b>	
<b>PROSPECT OF INCREASE IN CASH INFLOWS</b> (Give a general statement of the prospective increase of the value of any cash inflows reported.)	

Signature \_\_\_\_\_

Date \_\_\_\_\_

## REQUEST FOR MONTHLY CASH FLOW STATEMENT FINANCIAL RECORDS

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

### MONTHLY CASH INFLOWS

<p><b>Salary/Wages</b></p> <ul style="list-style-type: none"> <li>◆ 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.</li> </ul> <p><b>Cash Advances</b></p> <ul style="list-style-type: none"> <li>◆ Copy of all pay stubs documenting cash advances.</li> </ul> <p><b>Cash Bonuses</b></p> <ul style="list-style-type: none"> <li>◆ Copy of all pay stubs documenting cash bonuses, and copy of related 1099 form.</li> </ul> <p><b>Commissions</b></p> <ul style="list-style-type: none"> <li>◆ Copy of all 1099 forms submitted with the prior year income tax return.</li> </ul> <p><b>Business Income</b></p> <ul style="list-style-type: none"> <li>◆ 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."</li> </ul> <p><b>Interest/Dividends</b></p> <ul style="list-style-type: none"> <li>◆ 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.</li> </ul> <p><b>Rental Income</b></p> <ul style="list-style-type: none"> <li>◆ Copy of lease rental agreement, copy of monthly rental check received, and copy of the deposit on the defendant's monthly bank statement.</li> </ul> <p><b>Trust Income</b></p> <ul style="list-style-type: none"> <li>◆ 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.</li> </ul> <p><b>Alimony/Child Support</b></p> <ul style="list-style-type: none"> <li>◆ Copy of divorce decree, copy of payments received, and statements documenting child support/alimony obligations with payment history.</li> </ul> <p><b>Social Security</b></p> <ul style="list-style-type: none"> <li>◆ Copy of most recent Social Security check and most recent benefits determination letter.</li> </ul> <p><b>Other Government Benefits</b></p> <ul style="list-style-type: none"> <li>◆ Copy of most recent government subsidy check (e.g., unemployment compensation, food stamps) or online payment and most recent benefits determination letter.</li> </ul> <p><b>Pensions/Annuities</b></p> <ul style="list-style-type: none"> <li>◆ Copy of pension/annuity check, copy of most recent pension plan activity statement or annuity statement, and copy of pension plan or annuity contract.</li> </ul> <p><b>Allowances (housing, auto, travel)</b></p> <ul style="list-style-type: none"> <li>◆ Copy of related pay stub, 1099 form for prior year, and possibly a letter from the employer on company letterhead.</li> </ul>	<p><b>Gratuities/Tips</b></p> <ul style="list-style-type: none"> <li>◆ Copy of current month's pay stubs, letter from employer estimating monthly gratuities earned, and W-2 form for the prior year.</li> </ul> <p><b>Spouse (Significant Other's) Salary/Wages</b></p> <ul style="list-style-type: none"> <li>◆ 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.</li> </ul> <p><b>Other Joint Spousal Income</b></p> <ul style="list-style-type: none"> <li>◆ 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 offender has a joint ownership interest in, or controls).</li> </ul> <p><b>Income of Others in the Home</b></p> <ul style="list-style-type: none"> <li>◆ Verification of the monthly earnings of all others living in the offender'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 offender.</li> </ul> <p><b>Gifts From Family</b></p> <ul style="list-style-type: none"> <li>◆ A signed and dated statement from the family member who gave gifts to the offender during the month, listing the amounts, dates and reasons given, and a copy of the check received, if any.</li> </ul> <p><b>Gifts From Others</b></p> <ul style="list-style-type: none"> <li>◆ A signed and dated statement from the person(s) who gave gifts to the offender during the month, listing the amounts, dates and reasons given, and a copy of the check received, if any. Gifts over a certain amount require tax forms declaring the income.</li> </ul> <p><b>Loans From Your Business</b></p> <ul style="list-style-type: none"> <li>◆ Copy of the past six monthly financial statements of all businesses owned or controlled by the offender that loaned money to the offender, including a detailed schedule of the "Loans To Shareholder/Owner" or "Due From Shareholder/Owner" general ledger accounts.</li> </ul> <p><b>Mortgage Loans</b></p> <ul style="list-style-type: none"> <li>◆ 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 offender.</li> </ul> <p><b>Other Loans</b></p> <ul style="list-style-type: none"> <li>◆ Copy of loan documentation and copy of all loan checks received during the prior month.</li> </ul> <p><b>Other (specify)</b></p> <ul style="list-style-type: none"> <li>◆ 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.</li> </ul>
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**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 verification of payment.

**Groceries (# of people)**

- ◆ Purchase receipts for the past month.

**Utilities**

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

**Public Transportation**

- ◆ Receipts of amount paid.

**Car Payments**

- ◆ Receipts for car lease or purchase payments.

**Commuting Expenses**

- ◆ Receipt for gasoline/motor oil, tolls, etc.

**Insurance**

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

**Clothing**

- ◆ Purchase receipts with corresponding canceled checks.

**Loan Payments**

- ◆ Copy of loan statements 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).

**Alimony/Child Support**

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

**Criminal Monetary Penalty**

- ◆ Receipt of monthly payment

**Court-Ordered Costs** (electronic monitoring, drug/mental health treatment)

- ◆ Verification of payments, along with statement from the service provider (if any)

**Other (specify)**

- ◆ Specific receipts, billing statements.

**ADDITIONAL INSTRUCTIONS:**

A personal interview has been scheduled for you with:

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

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

Telephone \_\_\_\_\_

## REQUEST FOR SELF-EMPLOYMENT RECORDS

DEFENDANT'S FULL NAME

DOCKET NUMBER

In order to verify your self-employment, you are required to furnish all of the records below that are applicable to you and your business to the probation office by the close of business \_\_\_\_\_.

- ◆ **Business Bank Statements** for all businesses for the past six months (along with canceled checks).
- ◆ **All Business Income Tax Returns** for the past five years (including Corporation Form 1120, S Corporation Form 1120S, Partnership Form 1065, Limited Liability Company Form 1065, or Sole Proprietor Form 1040 Schedule C), along with all accompanying forms and schedules.
- ◆ **All Annual Financial Statements** for the past five years.
- ◆ **Most Recent Monthly and Quarterly Financial Statement.**
- ◆ **Quarterly Estimated Tax Payments** (Form 1040-ES or Form 8109 for corporations) for the current year.
- ◆ **Occupational Business License** for the current year.
- ◆ **Articles of Incorporation** for all corporations you own or have an interest in.
- ◆ **Partnership Agreement** for all partnerships you have an ownership interest in.
- ◆ **Sales Tax Returns** (monthly, quarterly) for the past 12 months.
- ◆ **Property Tax Returns** (inventory, personal property) for the past year.
- ◆ **Payroll Tax Returns** (quarterly, annually) for the current year, if you presently have or have had employees during the current year.
- ◆ **List of Business Customers** (to whom your business sells goods or provides services).
- ◆ **List of Business Vendors** (who supply the needed raw materials to produce products or provide services).
- ◆ **Billing Statements** (to collect money from your customers) **and Vendor Invoices** (to pay bills to your suppliers) for the past six months.
- ◆ **Real Estate Escrow Statements and Real Estate Leases** for all businesses you own or have an interest in.
- ◆ **Equipment Purchase Agreements or Leases** for all businesses you own or have an interest in.
- ◆ **Business Insurance Policies** for all businesses you own or have an interest in.
- ◆ **Business Telephone Bills** for the past six months for all business telephones.
- ◆ **Samples of Business Advertisements** (e.g., in print, radio, television, Internet web page, telephone directory listing and ad, etc.).
- ◆ **Business Cards, Stationery** (e.g., business letterhead).