

Regional Transportation District  
**PERSONAL FINANCIAL STATEMENT**

(Submit with SBE Certification Application)



As of \_\_\_\_\_, 20 \_\_\_\_\_

**CONFIDENTIAL**

Check if:  Joint  Individual

**INSTRUCTIONS: Complete this form for each majority owner or stockholder whose individual or combined interest makes up 51% or more of the company's ownership. Do not leave any item blank; enter "0" or "N/A." This statement must be notarized before submitting with the SBE Certification Application.**

|                            |                 |
|----------------------------|-----------------|
| Name                       | Business Phone  |
| Residence Address          | Residence Phone |
| City, State, & Zip Code    |                 |
| Business Name of Applicant |                 |

| ASSETS (Omit Cents)                                                                | LIABILITIES (Omit Cents)                                                                        |
|------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|
| 1. Cash on Hand and in Banks.....\$ _____                                          | 12. Accounts Payable ..... \$ _____                                                             |
| 2. Savings Accounts .....\$ _____                                                  | 13. Notes Payable to Banks and Others..... \$ _____<br>(Describe in Section 1)                  |
| 3. IRA or Other Retirement Account.....\$ _____                                    | 14. Installment Account (Auto)..... \$ _____                                                    |
| 4. Accounts and Notes Receivable.....\$ _____                                      | 15. Installment Account (Other) ..... \$ _____                                                  |
| 5. Life Insurance – Cash Surrender Value Only.....\$ _____<br>(Complete Section 7) | 16. Loan on Life Insurance ..... \$ _____                                                       |
| 6. Stocks and Bonds.....\$ _____<br>(Describe in Section 2)                        | 17. Mortgages on Real Estate ..... \$ _____<br>(Describe in Section 3)                          |
| 7. Real Estate .....\$ _____<br>(Describe in Section 3)                            | 18. Unpaid Taxes..... \$ _____<br>(Describe in Section 5)                                       |
| 8. Automobile(s) – Present Value .....\$ _____                                     | 19. Other Liabilities ..... \$ _____<br>(Describe in Section 6)                                 |
| 9. Other Personal Property.....\$ _____<br>(Describe in Section 4)                 | 20. <b>Total Liabilities</b> (add lines 12-19)..... \$ _____                                    |
| 10. Other Assets.....\$ _____<br>(Describe in Section 4)                           | 21. <b>Net Worth</b> ..... \$ _____<br>Total Assets (line 11) minus Total Liabilities (line 20) |
| 11. <b>Total Assets</b> (add lines 1-10).....\$ _____                              |                                                                                                 |

| Sources of Income                      | Contingent Liabilities                             |
|----------------------------------------|----------------------------------------------------|
| 22. Salary .....\$ _____               | 26. As Endorser or Co-Maker ..... \$ _____         |
| 23. Net Investment Income.....\$ _____ | 27. Legal Claims and Judgements..... \$ _____      |
| 24. Real Estate Income .....\$ _____   | 28. Provision for Federal Income Tax..... \$ _____ |
| 25. Other Income.....\$ _____          | 29. Other Special Debt..... \$ _____               |

**Section 1 Notes Payable to Banks and Others** (Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

| Name and Address of Noteholder(s) | Original Balance | Current Balance | Payment Amount | Frequency (monthly, etc.) | How Secured or Endorsed Type of Collateral |
|-----------------------------------|------------------|-----------------|----------------|---------------------------|--------------------------------------------|
|                                   | \$               | \$              | \$             |                           |                                            |
|                                   | \$               | \$              | \$             |                           |                                            |
|                                   | \$               | \$              | \$             |                           |                                            |

**Section 2 Stocks and Bonds** (Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

| Name of Securities | Number of Shares Held | Cost | Market Value Quotation/Exchange | Date of Quotation/Exchange | Total Current Value |
|--------------------|-----------------------|------|---------------------------------|----------------------------|---------------------|
|                    |                       | \$   | \$                              |                            | \$                  |
|                    |                       | \$   | \$                              |                            | \$                  |
|                    |                       | \$   | \$                              |                            | \$                  |
|                    |                       | \$   | \$                              |                            | \$                  |

**Section 3. Real Estate Owned** (List each property separately. Include your primary residence. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

|                         | Property A | Property B | Property C |
|-------------------------|------------|------------|------------|
| Type of Property        |            |            |            |
| Address                 |            |            |            |
| Date Purchased          |            |            |            |
| Original Cost           | \$         | \$         | \$         |
| Current Market Value    | \$         | \$         | \$         |
| Name of Mortgage Holder |            |            |            |
| Mortgage Account Number |            |            |            |
| Mortgage Balance        | \$         | \$         | \$         |
| Payment Amount          | \$         | \$         | \$         |
| Status of Mortgage      |            |            |            |

**Section 4. Other Personal Property and Other Assets** (Describe; if any is pledged as security, state the name and address of lien holder, amount of lien, terms of payment; if delinquent, describe delinquency. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

**Section 5. Unpaid Taxes** (Describe in detail as to type, to whom payable, amount and date due, and to what property, if any, a tax lien attaches.)

**Section 6. Other Liabilities** (Describe in detail. Use attachments if necessary. Each attachment must be identified as part of this statement and signed.)

**Section 7. Life Insurance Held** (Give face amount and cash surrender value of policies, name of insurance company, and beneficiaries.)

By signing this form, I authorize the Small Business Office at Regional Transportation District (RTD) to verify the accuracy of the statements made in order to determine whether I meet the personal net worth guidelines for participation in RTD's Small Business Enterprise (SBE) Program. These statements are true and correct to the best of my belief.

|                     |                     |
|---------------------|---------------------|
| Printed/Typed Name: | Signature and Date: |
|---------------------|---------------------|

County of \_\_\_\_\_ State of \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

Signed \_\_\_\_\_  
(Notary Public)

\_\_\_\_\_

(Address of Notary)

NOTARY SEAL HERE