



STATE OF CALIFORNIA – DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION  
**PERSONAL FINANCIAL STATEMENT FOR THE CONFIDENTIAL USE OF THE  
 COMMISSIONER OF FINANCIAL PROTECTION AND INNOVATION**

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STOCKS, BONDS, AND OTHER INVESTMENTS

DESCRIPTION	AMOUNT	DESCRIPTION	AMOUNT

SCHEDULE OF LIABILITIES SECURED BY ASSETS OTHER THAN REAL ESTATE

NAME OF CREDITOR	AMOUNT	TYPE OF OBLIGATION	DESCRIPTION OF SECURITY	AMOUNT OF SECURITY
	\$			\$

STATEMENT OF NET WORTH AND INCOME AND EXPENSES  
 FOR THE PERIOD BEGINNING \_\_\_\_\_ 20 \_\_\_\_\_ AND ENDING \_\_\_\_\_

FILL IN DATES



NET WORTH AT CLOSE OF PREVIOUS YEAR.....	\$
ADD INCOME FOR PERIOD AS ABOVE FROM FOLLOWING SOURCES:	
SALARIES, WAGES, COMMISSIONS, FEES, ETC. ....	\$
INCOME (OR LOSS) FROM BUSINESS OR PROFESSION .....	
INCOME (OR LOSS) FROM PARTNERSHIPS, SYNDICATES, POOLS, ETC. ....	
RENTS AND ROYALTIES.....	
PROFIT (OR LOSS) ON INVESTMENTS.....	
INCOME FROM INVESTMENTS.....	
OTHER INCOME-ITEMIZE.....	
TOTAL INCOME FOR PERIOD.....	
TOTAL.....	\$
DEDUCT-EXPENSES PAID.....	\$
TAXES PAID-FEDERAL INCOME \$ _____ OTHER \$ _____	
INTEREST PAID.....	
OTHER DEDUCTIONS-ITEMIZE.....	
TOTAL DEDUCTIONS FOR PERIOD.....	
NET WORTH AT CLOSE OF PERIOD (MUST AGREE WITH NET WORTH ON PAGE 1).....	\$

**ALL QUESTIONS SHOULD BE ANSWERED**

LIST ASSETS, PLEDGED OR HYPOTHECATED OTHER THAN AS STATED ABOVE \_\_\_\_\_

ARE THERE ANY JUDGMENTS UNSATISFIED OR SUITS PENDING AGAINST YOU? \_\_\_\_\_ AMOUNT \$ \_\_\_\_\_

LIFE INSURANCE CARRIED \$ \_\_\_\_\_ CASH VALUE \$ \_\_\_\_\_

NAME OF BENEFICIARY \_\_\_\_\_

STATE MAXIMUM AMOUNT BORROWED FROM ALL SOURCES AT ANY ONE TIME DURING YEAR  
 \$ \_\_\_\_\_ DATE \_\_\_\_\_

STATE MINIMUM AMOUNT BORROWED FROM ALL SOURCES AT ANY ONE TIME DURING YEAR  
 \$ \_\_\_\_\_ DATE \_\_\_\_\_

The undersigned hereby certifies that the foregoing statement has been carefully read by the undersigned, that it is a true and correct statement of the undersigned's financial condition. This statement may be retained by the Commissioner of Financial Protection and Innovation, State of California, for confidential official use.

The foregoing is a statement of my financial condition on \_\_\_\_\_, 20\_\_\_\_\_

Date signed \_\_\_\_\_

Sign here \_\_\_\_\_

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Notice to Individuals – Use of Information

The Commissioner of Financial Protection and Innovation (the "Commissioner") is authorized by the Financial Code to gather and maintain the information requested in the form you have accessed. If the form is submitted in connection with any application or other matter before the Commissioner, the requested information is deemed necessary to process that application or other matter pursuant to the Financial Code. If the requested information is not accurately and completely provided, the application may be denied, or the other matter may be resolved against your interests.

If the form requests you to provide your social security account number, please be advised that providing your social security account number is voluntary. Your social security account number will be used as an identifier, and may be used to verify information provided to the Department of Financial Protection and Innovation (the "Department"). Failure to provide your social security number may require the Department to use other methods to verify information, which may cause delays in processing this information and any related application or other matter. If the information you have provided to the Department cannot be verified, the Department may reject your filing and deny any related application or cause any other matter to be resolved against your interests. In addition, the Commissioner may request additional information or clarification of submitted information.

You may be required to provide your fingerprints in conjunction with submitting your personal information. If your fingerprints are required, the Department will provide you with the necessary instructions and, if applicable, the forms upon which your fingerprints may be submitted.

In processing the information you provide, the Department may cause a consumer credit report to be prepared in accordance with the provisions of Title 1.6, Part 4, Division Third of the Civil Code (commencing at Section 1785.1), or an investigative consumer report to be prepared in accordance with the provisions of Title 1.6A, Part 4, Division Third of the Civil Code (commencing at Section 1786), or the respective successor statutes.

The information you provide the Department will be held in confidence as required by the Information Practices Act (Civil Code Section 1798, et seq.). The Information Practices Act provides that the Department may share the information you provide with the Department of Insurance, other federal and state financial institution regulators, law enforcement agencies, or any other governmental entity if the disclosure is required under state or federal law. In addition, the Department may share the information you provide with any such agency if the disclosure assists the agency in discharging its duties.

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**DFPI's Privacy Notice on Collection**

**DFPI Collects and Uses Personal Information:** The DFPI collects the information requested on this form as authorized by Chapter 1 of Title 10 of the California Code of Regulations. The DFPI uses this information to process applications related to entities authorized to engage in business under the Financial Institutions Law. Use of the personal information DFPI collects is subject to limitations contained in the Information Practices Act of 1977 and other applicable state and federal laws.

**Providing Personal Information Is Mandatory:** When providing information or documents, please do not include unrequested personal information such as a Social Security number, driver's license number, or financial information.

**DFPI May Disclose Your Personal Information:** We may share your personal information with other federal and state financial institution regulators, or any law enforcement agency. Your personal information may also be disclosed:

- In response to a Public Records Act request, as allowed by the information Practices Act.
- To another governmental agency as required by state or federal law.
- In response to a court order or administrative order, a subpoena or a search warrant.

**Your Access to Your Personal Information:** You may review the records maintained by DFPI that contain your personal information. To request access, contact: DFPI Privacy Officer, 651 Bannon Street, Suite 300, Sacramento, CA 95811, (866) 275-2677.