

DFPI-2 (Rev. 03-25)



Business or Occupation _____

CONDITION ON _____ 20 _____

ASSETS	DOLLARS	CENTS	LIABILITIES	DOLLARS	CENTS
CASH ON HAND			NOTES PAYABLE TO BANKS—UNSECURED		
CASH IN BANK					
NOTES RECEIVABLE—SECURED BY MORTGAGE					
NOTES RECEIVABLE—OTHERWISE SECURED			NOTES PAYABLE—OTHER THAN TO BANKS—UNSECURED		
NOTES RECEIVABLE—UNSECURED			NOTES PAYABLE WITH SECURITY OTHER THAN REAL ESTATE (ITEMIZE PAGE 2)		
ACCOUNTS RECEIVABLE—NOT DUE			ACCOUNTS PAYABLE		
ACCOUNTS RECEIVABLE—PAST DUE			LOANS ON LIFE INSURANCE		
U. S. GOVT. OBLIGATIONS			TAXES		
STOCKS, BONDS, AND OTHER INVESTMENTS (INCLUDE FUNDS IN BUILDING OR SAVINGS AND LOAN COMPANIES) (ITEMIZE PAGE 2)			MORTGAGES OR LIENS ON REAL ESTATE (ITEMIZE BELOW)		
			ANY OTHER INDEBTEDNESS—DUE WITHIN ONE YEAR		
CASH VALUE—LIFE INSURANCE					
REAL ESTATE (ITEMIZE BELOW)			ANY OTHER INDEBTEDNESS—DUE BEYOND ONE YEAR		
ANY OTHER ASSETS—ITEMIZE					
			TOTAL LIABILITIES		
			NET WORTH		
TOTAL			TOTAL		

DESCRIPTION AND LOCATION	TITLE IN WHOSE NAME	IMPROVED OR UNIMPROVED	APPRAISED VALUE	MORTGAGES	TAX VALUE	INSURANCE
CONTINGENT LIABILITY OF ANY KIND (IF NONE, SO INDICATE)					DOLLARS	CENTS
UPON NOTES OR ACCOUNTS RECEIVABLE DISCOUNTED SOLD, OR ASSIGNED						
AS GUARANTOR FOR OTHERS ON NOTES, BONDS, CONTRACTS, ETC.						
ANY OTHER CONTINGENT LIABILITY-ITEMIZE						
TOTAL CONTINGENT LIABILITIES						

STATE OF CALIFORNIA – DEPARTMENT 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

FILL IN DATES

FOR THE PERIOD BEGINNING _____ 20 ____ AND ENDING _____ 20 ____ 

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 Bannan Street, Suite 300, Sacramento, CA 95811, (866) 275-2677.