

# New Mexico Securities Division Balance Sheet



Prepare in accordance with generally accepted accounting principles (GAAP) to show the current financial condition of the applicant. Income can be shown in accounts receivable if it has been earned and not yet received.

Please attached any documentation which may explain or support a particular entry. Space is provided on page 2 for notes. Attach additional sheets if necessary.

Name of Investment Adviser Firm _____	CRD Number _____
Date of Balance Sheet _____	Method of Valuation used: Market Value <input type="checkbox"/> Cost <input type="checkbox"/>

<p><b>CURRENT ASSETS</b></p> <p>1. Petty Cash _____</p> <p>2. Checking/Savings _____</p> <p>3. Stocks, Bonds, Mutual Funds _____</p> <p>4. IRA, 401K, Keogh (vested int.) _____</p> <p>5. Life Ins. (cash surrender value only) _____</p> <p>6. Accounts Receivable _____</p> <p>7. Notes Receivable _____</p> <p>8. Interest Receivable _____</p> <p>9. _____</p> <p>10. _____</p> <p>11. _____</p> <p>12. <b>TOTAL CURRENT ASSETS</b> _____</p> <p><b>FIXED ASSETS</b></p> <p>13. Furniture &amp; Fixtures _____</p> <p>14. Office Equipment _____</p> <p>15. _____</p> <p>16. _____</p> <p>17. Less: Accumulated Depreciation _____</p> <p>18. <b>TOTAL FIXED ASSETS</b> _____</p> <p>19. <b>TOTAL ASSETS (ADD LINES 12 &amp; 18)</b> _____</p>	<p><b>CURRENT LIABILITIES</b></p> <p>20. Commissions Payable _____</p> <p>21. Accounts Payable _____</p> <p>22. Taxes Payable _____</p> <p>23. Notes Payable _____</p> <p>24. <b>TOTAL LIABILITIES</b> _____</p> <p><b>STOCKHOLDERS EQUITY</b></p> <p>25. Paid in Capital _____</p> <p>26. Retained Earnings _____</p> <p>27. Dividends _____</p> <p>28. Profit (Loss) _____</p> <p>29. _____</p> <p>30. <b>TOTAL STOCKHOLDERS EQUITY</b> _____</p> <p>31. <b>TOTAL LIABILITIES &amp; STOCKHOLDERS EQUITY</b> _____</p> <p>32. <b>NET WORTH (subtract line 24 from 12)</b> _____</p>
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**Please complete page 2 of this Balance Sheet**

Use this section for footnotes to balance sheet entries and for additional explanations as requested in instructions. Reference each footnote by its correspondent line number from page one of this form. Attach additional sheets if necessary.

**Certification**

This balance, including all footnotes and attachments is a true, complete and correct statement of my financial condition as of the dated indicated page one of the balance sheet.

Signature	Date Signed	Daytime telephone number (include area code)
Signers Name (typed or printed)	Email Address	

**Send Completed Form to:**  
**New Mexico Securities Division**  
**Rosemarie Ulibarri**  
**Compliance Manager**  
**2550 Cerrillos Road**  
**Santa Fe, New Mexico 87505**