

Last Name	First Name	Middle Name	Social Security Number

### **Instructions for Completing Net Worth Short Form 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. Amendments were made to 18 U.S.C. §§ 3663(a)(1)(B)(i), 3664(d)(3), and 3664(f)(2), and Rule 32(b)(4)(F) to clarify that the assets owned, jointly owned, or controlled by a defendant, and liabilities are all relevant to the court's decision regarding the ability to pay. 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. The court may require relating to such other factors as the court deems appropriate (see 18 U.S.C. § 3664(d)(3)).

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 Short Form 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)). Sign and date Page 2 (including any attached pages). Also, sign, date, and attach the Declaration of Defendant or Offender Net Worth & Cash Flow Statements (Prob. 48D).

## NET WORTH SHORT FORM STATEMENT

**NOTE: I = Individual    J = Joint    S = Spouse/Significant Other    D = Dependent**

### ASSETS

Include below all cash on hand, bank accounts, securities, money owed to you by others, life insurance, safe deposit boxes or storage facilities, motor vehicles, real estate, mortgage loans owed to you, other assets, anticipated assets, and business holdings.

I/J S/D	Type of Asset (e.g., cash, bank account)	Location of Asset (e.g., bank, including account number)	Fair Market or Actual Value

Include below all assets transferred or sold since your arrest with a cost or fair market value of more than \$500.00, or assets that someone else is holding on your behalf.

I/J S/D	Type of Asset	Date Sold or Transferred	Fair Market or Actual Value

Identify below any assets you will liquidate to satisfy any criminal monetary penalty that may be imposed, and/or describe the prospect of increase in assets.

I/J S/D	Type of Asset	Fair Market or Actual Value

### LIABILITIES

Include below all charge accounts and lines of credit, mortgage balances, other debts, civil suits, and bankruptcy filings.

I/J S/D	Type of Debt (e.g., credit card)	Debt Owed to (e.g., name, account number)	Balance Outstanding

Signature \_\_\_\_\_

Date \_\_\_\_\_

## REQUEST FOR NET WORTH STATEMENT FINANCIAL RECORDS

DEFENDANT'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, or savings bonds) for a three-month period, along with canceled checks.

#### Section B - Securities

- ◆ Most recent securities account statements (e.g., brokerage, annuities, life insurance, IRA, KEOGH, 401K, or thrift savings account) 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.

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

**LIABILITIES**

**Section A - Charge Accounts**

- ◆ 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).

**Section B - Other Debts**

- ◆ Copy of all notes payable, mortgage loans, current statement of delinquent taxes due, and statements documenting child support/alimony obligations and payment history.

**Section C - Party to Civil Suit**

- ◆ Copy of all civil suit filings and judgments.

**Section D - Bankruptcy Filings**

- ◆ Copy of all bankruptcy filings including petition, financial statements submitted, final judgment and order of discharge.

**OTHER RECORDS REQUESTED**

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).

Amendments were made to 18 U.S.C. §§ 3663 (a)(1)(B)(i), 3664(d)(3), and 3664(f)(2), and Rule 32(b)(4)(F) to clarify that the assets owned, jointly owned, or controlled by a defendant; liabilities, and the financial needs and earning ability of a defendant and a defendant's dependents are all relevant to the court's decision regarding a defendant's ability to pay. 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., Aid to Families with Dependent Children.)		
<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>		

Last Name - _____	
<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>Transportation</b> (List monthly amount paid for gasoline, motor oil, necessary auto repairs, or the cost of public transportation.)	
<b>Insurance</b> (List the monthly amount paid for auto, health, homeowner/rental, and life insurance.)	
<b>Auto</b>	
<b>Health</b>	
<b>Homeowner/Rental</b>	
<b>Life</b>	
<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 monthly credit card or charge card payments.)	
<b>Medical</b> (List all monthly payments for necessary medical care or treatment.)	
<b>Alimony/Child Support</b> (List all alimony or child support payments made each month.)	
<b>Co-payments</b> (List the total monthly payments made for electronic 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 \_\_\_\_\_

## 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; or
- 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 \_\_\_\_\_, \_\_\_\_\_.

**CUSTOMER CONSENT AND AUTHORIZATION  
FOR ACCESS TO FINANCIAL RECORDS  
FOR PRESENTENCE REPORT**

I, \_\_\_\_\_, having read the explanation  
*(Name of Customer)*  
of my rights, which is attached to this form, and having been convicted in the U.S. District Court, in accordance with Rule 32(d)(2)(A)(ii) (and 18 U.S.C. § 3664(d)(3) when restitution may be imposed), hereby authorize the

\_\_\_\_\_  
*(Name and Address of Financial Institution or Credit Agency)*

to disclose the following financial records:

\_\_\_\_\_  
\_\_\_\_\_

to \_\_\_\_\_, an officer of the  
*(Name of Probation Officer Allowed Access)*

U.S. District Court for the \_\_\_\_\_,  
*(Name of District Court)*

to obtain information on assets I own or control, fully describing my financial resources to the United States probation officer for the purpose of preparing a presentence investigation report.

I understand that this authorization may be revoked by me in writing at any time before my records, as described above, are disclosed and that this authorization is valid for no more than three (3) months from the date of my signature. I understand further that my authorization cannot be required as a condition of my doing business with the above-named financial institution.

\_\_\_\_\_  
*(Date)*

\_\_\_\_\_  
*(Signature of Customer)*

\_\_\_\_\_  
*(Address of Customer)*

\_\_\_\_\_  
*(City/State/Zip Code)*

## **STATEMENT OF CUSTOMER RIGHTS UNDER THE RIGHT TO FINANCIAL PRIVACY ACT OF 1978**

Federal law protects the privacy of your financial records. Before banks, savings and loan associations, credit unions, credit card issuers, or other financial institutions may give financial information about you to a federal agency, certain procedures must be followed.

### **Consent to Financial Records**

You may be asked to consent to make your financial records available to the government. You may withhold your consent, and your consent is not required as a condition of doing business with any financial institution. If you give your consent, it can be revoked in writing at any time before your records are disclosed and, in any event, is effective for a period of not more than three months. Your financial institution must keep a record of the instances in which it discloses your financial information to the government, and this record will be available to you upon request, unless a court order restricting your right to such record has been obtained by the government.

### **Without Your Consent**

Without your consent, a Federal agency that wants to see your financial records may do so ordinarily only by means of a lawful subpoena, summons, formal written request, or search warrant for that purpose.

Generally, the Federal agency must give you advance notice of its efforts to obtain your records by one of the above means, explaining why the information is being sought and telling you how to object in court to the release of your records.

### **Exceptions**

If the government obtains a search warrant for your records, or if the government convinces the court that there are legitimate reasons to delay giving you notice, the Federal agency will be able to obtain your records without providing you notice beforehand.

In situations where you do not receive advance notice that the government is seeking your financial records, you will be notified once the reason for the delay of notice no longer exists.

### **Transfer of Information**

Generally, a Federal agency which obtains your financial records is prohibited from transferring them to another Federal agency unless it certifies in writing that the transfer is proper and sends a notice to you that your records have been sent to another agency.

### **Penalties**

If the Federal agency or financial institution violates the Right to Financial Privacy Act, you may sue for damages or to seek compliance with the law. If you win, you may be repaid your attorney's fees and costs.

## Financial Worksheet

### Lump Sum Payment Determination

#### ASSETS

##### Cash

Cash on Hand (Section I) \_\_\_\_\_  
Bank Accounts (Section A) \_\_\_\_\_  
Securities (Section B) \_\_\_\_\_  
Life Insurance Cash Surrender Value (Section D) \_\_\_\_\_

##### Unencumbered Assets (owned free and clear)

Real Estate (Section G) \_\_\_\_\_  
Other Assets (Sections I and E) \_\_\_\_\_  
Fair Market Value of Business Holdings (Section K) \_\_\_\_\_  
Fair Market Value of Assets Another is Holding (Section M) \_\_\_\_\_  
Notes and Accounts Receivable (Section C) \_\_\_\_\_  
Motor Vehicles (If no loan balance, Section F) \_\_\_\_\_  
Mortgage Loans Receivable (Section H) \_\_\_\_\_  
Defendant's Interest in Trust Assets (Section J) \_\_\_\_\_

**TOTAL ASSETS AVAILABLE FOR LUMP SUM PAYMENT  
CONSIDERATION** \_\_\_\_\_