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| SCHEDULE D INVESTMENTS IN PARTNERSHIPS OR PRIVATE COMPANIES (if space insufficient attach separate sheet) | | | | | | | | | | | | | | | | | |
| Description | Date of Original Investment | | Amount Contributed To Date | | % Owned or # of Shares | | | Current Valuation | |  | | Balance Due Partnerships, Notes, Etc | | | | Final Contribution Date | |
|  |  | |  | |  | | |  | |  | |  | | | |  | |
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| TOTALS |  | |  | |  | | |  | |  | |  | | | |  | |
| SCHEDULE E SCHEDULE OF BANK LOANS AND NOTES PAYABLE (if space insufficient attach separate sheet) | | | | | | | | | | | | | | | | | |
| Name and address of institution | | Type of facility | | Purpose | | Original Amount | Balance Outstanding | | Annual Payment | | Interest Rate | | Maturity Date | Secured | | | How Secured |
| Yes | No | |
|  | |  | |  | |  |  | |  | |  | |  |  |  | |  |
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| **TOTALS** | |  | |  | |  |  | |  | |  | |  |  |  | |  |
| ADDITIONAL BACKGROUND INFORMATION | | | | | | | | | | | | | | | | | |
| 1. ARE YOU A DEFENDANT IN ANY SUITS OR LEGAL ACTIONS?  Yes  No | | | | | | | | | | | | | | | | | |
| If yes, describe briefly (include dates) | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | |
| 2. Have you or any firm in which you were a major owner ever declared bankruptcy?  Yes  No | | | | | | | | | | | | | | | | | |
| If yes, provide details (indicate dates) | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | |
| 3. Do you have a line of credit or unused credit facility at any other financial institution?  Yes  No | | | | | | | | | | | | | | | | | |
| If yes, please indicate where and how much. | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | |
| 4. What is the face value of your life insurance?  I certify that the information contained in this financial statement and information sheet (the “statement”) is true, that my real estate, investments, merchandise, chattels, etc. are entered in the statement at fair market value, and that all of my assets and liabilities, including all contingent liabilities, as well as my cash income and expenditures, as of the date of this statement, are set forth in this statement.  **CB (the “Bank”) may at any time, and from time to time, obtain information about me from any credit bureau or any other person in connection with any of my obligations to the Bank. Similarly the Bank may disclose information about my credit history with the Bank to any credit bureau or to any person whom I have or propose to have financial dealings, and may disclose such information to any other person if the Bank believes that it is lawfully required to do so.** | | | | | | | | | | | | | | | | | |
| 5. Have you ever had a financial plan prepared for you?  Yes  No | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | |

DATED\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

DATE RECEIVED \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(SIGNATURE (S)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ BANK OFFICER’S SIGNATURE

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **SCHEDULE B** SECURITIES (IF SPACE INSUFFICIENT ATTACH SEPARATE SHEET) | | | | | | | | |
| NO. OF SHARES FACE VALUE OF BONDS | DESCRIPTION | OWNER(S) | COST | CURRENT MARKET VALUATION |  | WHERE HELD | HYPOTHECATED | |
| YES | NO |
|  |  |  |  |  |  |  |  | |
|  |  |  |  |  |  |  |  | |
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|  |  |  |  |  |  |  |  | |
| NON-READILY MARKETABLE SECURITIES | |  |  |  |  |  |  | |
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|  |  |  |  |  |  |  |  | |
| **TOTALS** |  |  |  |  |  |  |  | |

#### **SCHEDULE C**

PERSONAL RESIDENCE, REAL ESTATE INVESTMENTS (IF SPACE INSUFFICIENT ATTACH SEPARATE SHEET)

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| RESIDENTIAL | ADDRESS, LOT SIZE, DESCRIPTION OF BUILDING | YEAR  PURCHASED | PROPERTY REGISTERED IN THE NAME (S) OF | | PURCHASE  PRICE | VALUE OF IMPROVEMENTS | CURRENT  MARKET  VALUATION |  |
|  |  |  | |  |  |  |  |
| MORTGAGE HELD BY | BALANCE OUTSTANDING | | INTEREST RATE | MATURITY DATE | MONTHLY PAYMENT (P + I) | ANNUAL TAXES |  |
|  |  | |  |  |  |  |  |
| INVESTMENT | ADDRESS, LOT SIZE, DESCRIPTION OF BUILDING | YEAR PURCHASED | PROPERTY REGISTERED IN THE NAME (S) OF | | PURCHASE PRICE | VALUE OF IMPROVEMENTS | CURRENT MARKET VALUATION |  |
|  |  |  | |  |  |  |  |
| MORTGAGE HELD BY | BALANCE OUTSTANDING | INTEREST RATE | | MATURITY DATE | MONTHLY PAYMENT ( P + I) | ANNUAL TAXES |  |
|  |  |  | |  |  |  |  |
|  | ADDRESS, LOT SIZE, DESCRIPTION OF BUILDING | YEAR PURCHASED | PROPERTY REGISTERED IN THE NAME(S) OF | | PURCHASE PRICE | VALUE OF IMPROVEMENTS | CURRENT MARKET VALUATION |  |
|  |  |  | |  |  |  |  |
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| **TOTALS** |  |  | |  |  |  |  |

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| --- | --- | --- | --- |
| CASH INCOME AND EXPENDITURES STATEMENT (LAST 12 MONTHS) | | | |
| ANNUAL INCOME | AMOUNTS (000’S) | ANNUAL EXPENDITURES | AMOUNTS (000’S) |
| SALARY (GROSS) |  | REAL PROPERTY TAX |  |
| BONUSES AND COMMISSIONS |  | MORTGAGE PAYMENTS |  |
| RENTAL INCOME |  | RENTAL PAYMENTS |  |
| INTEREST/DIVIDEND INCOME |  | CONDO MAINTENANCE FEES |  |
| TRUSTS AND ESTATES |  | INTEREST PAYMENTS ON LOANS |  |
| NET CAPITAL GAINS |  | OTHER LOAN PAYMENTS |  |
| PARTNERSHIP DISTRIBUTIONS |  | PARTNERSHIP CONTRIBUSTION/OBLIGATIONS |  |
| SPOUSAL INCOME |  | PENSION |  |
| OTHER INCOME (DETAILS) |  | TUITION, ALIMONY, CHILD SUPPORT |  |
|  |  | ACQUISITIONS – ART, ANTIQUES |  |
|  |  | VACATION EXPENSES |  |
|  |  | OTHER LIVING EXPENSES |  |
|  |  | LEASING EXPENSES |  |
|  |  |  |  |
|  |  | **TOTAL EXPENDITURES** |  |
| **TOTAL INCOME** |  | **NET (INCOME-EXPENDITURES)** |  |

## ARE ANY SIGNIFICANT CHANGES ANTICIPATED IN THE NEXT 12 MONTHS  YES  NO

IF YES, DESCRIBE

|  |
| --- |
|  |
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| --- | --- | --- | --- | --- | --- | --- |
| SCHEDULE A CASH & DEPOSIT INSTRUMENTS | | | | | | |
| NAME & ADDRESS OF INSTITUTION | OWNER(S) | TYPE OF ACCOUNT | CURRENT BALANCE\* | MATURITY DATE | HYPOTHECATED | |
| YES | NO |
|  |  |  |  |  |  |  |
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| **TOTALS** |

\*SPECIFY CURRENCY

PRIVATE BANKING

CLIENT FINANCIAL STATEMENT

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| PERSONAL INFORMATION | | | | |
| NAME | | NAME OF SPOUSE | | |
| DATE OF BIRTH | NIB # | TELEPHONE NUMBER | | NUMBER OF DEPENDENTS (AGE) |
| HOME | BUSINESS |
| HOME ADDRESS | | MARITAL STATUS | | |
| EMPLOYER | | POSITION | | |

FINANCIAL STATEMENT AS AT \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ CURRENCY **BSD** CHECK IF JOINT STATEMENT

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| ASSETS | |  | LIABILITIES | | | |
| CASH, DEPOSIT INSTRUMENTS (SCHEDULE A) |  |  | BANK LOANS – CB (SHCEDULE E) | | |  |
| MARKETABLE SECURITIES (SCHEDULE B) |  |  | OTHERS (SCHEDULE E) | | |  |
| NON-READILY MARKETABLE SECURITIES (SCHEDULE B) |  |  | MARGIN ACCOUNT(S) WITH BROKER(S) | | |  |
| C. S. V. LIFE INSURANCE |  |  | REAL PROPERTY TAX | | |  |
| ACCOUNTS AND LOANS RECEIVABLE |  |  | SUNDRY ACCOUNTS PAYABLE | | |  |
|  |  |  | CREDIT CARD DEBT | | |  |
|  |  |  |  | |  | |
| TOTAL CURRENT ASSETS |  |  | TOTAL CURRENT LIABILITIES | |  | |
| REAL ESTATE INVESTMENTS (SCHEDULE C) |  |  | MORTGAGE DEBT (SCHEDULE C) | |  | |
| INVESTMENTS IN PARTNERSHIPS, PRIVATE COMPANIES (SCHEDULE D) |  |  | - PARTNERSHIPS | |  | |
| OTHER INVESTMENTS |  |  | - PERSONAL | |  | |
| COLLECTIONS (ART, ANTIQUES, COINS ETC.) |  |  |  | |  | |
| AUTOMOBILES(S) YEAR |  |  | TOTAL LIABILITIES | |  | |
|  |  |  |  | NET WORTH |  | |
| TOTALS |  |  | TOTALS | |  | |

## Contingent liabilities

ARE YOU LIABLE AS A GENERAL OR LIMITED PARTNER, CO-MAKER, ENDORSER OR GUARANTOR FOR ANY DEBT OF AN INDIVIDUAL, CORPORATION OR PARTNERSHIP?

YES  NO  AMOUNT $

DESCRIPTION

DESCRIBE THE AMOUNTS AND TERMS OF ANY OUTSTANDING LETTERS OF CREDIT OR SURETY BONDS

**\*\*SHADED AREAS FOR BANK USE**