

MINIMUM FINANCIAL REQUIREMENTS WORKSHEET



**STATE OF CALIFORNIA
BUSINESS, CONSUMER SERVICES AND HOUSING
AGENCY
Department of Business Oversight**

CRD NUMBER: _____

APPLICANT'S NAME: _____

COMPUTATIONS AS OF: _____ / _____ / _____

TYPE OF REPORT (Initial, Annual, Interim): _____

SUMMARY:

NET WORTH	From (b) below	A	
MINIMUM NET WORTH REQUIRED	[Per Section 260.237.2(a)(b) CCR]	B	
EXCESS/ (DEFICIT) IN NET WORTH	[A-B]		
EXCESS/ (DEFICIT) IN NET WORTH @120%	From (d) below	C	

NET WORTH [Per Section 260.237.2(d)]

TOTAL ASSETS			
Less: <i>EXCLUDED ASSETS</i>	From (c) below	a	
Total Allowed Assets			
TOTAL LIABILITIES			
NET WORTH (Total Allowed Assets - Total Liabilities)	(Transfer to A above)	b	

EXCLUDED ASSETS [Per Section 260.237.2(d)]

<i>NON CURRENT PREPAID EXPENSES</i>			
<i>DEFERRED CHARGES</i>			
<i>GOODWILL</i>			
<i>FRANCHISE RIGHTS</i>			
<i>ORGANIZATIONAL EXPENSES</i>			
<i>PATENTS</i>			
<i>COPYRIGHTS</i>			
<i>MARKETING RIGHTS</i>			
<i>UNAMORTIZED DEBT DISCOUNT AND EXPENSE</i>			
<i>ALL OTHER ASSETS OF INTANGIBLE NATURE</i>			
<i>HOME, HOME FURNISHINGS, AUTOMOBILES AND OTHER PERSONAL ITEMS NOT READILY MARKETABLE (INDIVIDUAL)</i>			
<i>ADVANCES OR LOANS TO STOCKHOLDERS AND OFFICERS</i>			
<i>ADVANCES OR LOANS TO PARTNERS (PARTNERSHIP)</i>			
TOTAL EXCLUDED ASSETS	(Transfer to a above)	c	

120% TEST [Per Section 260.241.2(d)]

NET WORTH	(From (A) above)		
MINIMUM NET WORTH REQUIRED @ 120%	(From (B) above x 120%)		
EXCESS/ (DEFICIT) IN NET WORTH @120%	(Transfer to C Above)	d	