



Texas State Securities Board  
P.O. Box 13167  
Austin, Texas 78711-3167

**Certification of Balance Sheet by Principal Financial Officer**  
(§115.2(a)(4) or §116.2(a)(2)(B))

1. Name of Applicant : \_\_\_\_\_  
(Name of Firm or Advisory Business Name)

2. Application Type (Check all that apply):  Dealer  Investment adviser

3. Form of Entity (Check only one):

Sole Proprietor  Corporation (includes LLC)  Partnership (includes GP, LP, and LLP)

I, the undersigned, am the principal financial officer of the Applicant. I do certify that the accompanying balance sheet has been prepared under my direction and control. I have carefully examined the balance sheet and, to the best of my knowledge and belief, declare that the balance sheet presents accurately the assets, liabilities, capital, and retained earnings of the Applicant and fairly reflects the financial position of the Applicant as of the dates indicated.

The undersigned and the Applicant (if different from the undersigned) acknowledge that making a false or misleading statement in a document filed with the Securities Commissioner or submitting false or misleading information or omitting pertinent or material information in connection with any document filed with the Commissioner may constitute a violation of The Texas Securities Act, be grounds for discipline under The Texas Securities Act, and may subject the undersigned and/or the Applicant to other legal sanctions, including administrative, civil or criminal penalties, including being deemed guilty of a felony of a third degree as provided in Section 29.E of The Texas Securities Act.

I represent that I have read this form, that I understand it and am familiar with its contents, and that the information and statements contained in this form filed, are current, true and complete to the best of my knowledge, information and belief and that any documents submitted with this form are true copies of the originals. I further represent that to the extent any information previously submitted with this form is not amended, such information is accurate and complete.

I declare under penalty of perjury under the laws of Texas that the foregoing is true and correct.

Executed the \_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
Title

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