



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: _____

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.

Date: _____ (Title)

(Printed name) (Signature)

Subscribed and sworn to before me, the ____ day of _____, 20____.

Notary Public in and for the County of _____
State of _____

(NOTARY SEAL)

My commission expires _____