

# HARDSHIP APPLICATION AND FINANCIAL DISCLOSURE FORM

Please answer the following questions to aid the Trustee in assessing your application in the space provided below (attach additional pages where necessary to give a complete answer).

## Section 1: Personal Information

<b>1a</b> Full Name of Applicant and Spouse (if applicable)	<b>1c</b> Home Phone ( )	<b>1d</b> Cell Phone ( )
<b>1b</b> Address (Street, City, State, ZIP Code) (County of Residence)	<b>1e</b> Business Phone ( )	<b>1f</b> Business Cell Phone ( )
	<b>1g</b> Date of Birth:	
	<b>2b</b> -Name, Age, and Relationship of dependent(s)	

## Section 2: Personal Asset Information for All Individuals

### 2 Statement of Assets and Liabilities as of \_\_\_:

#### A. Assets:

List all assets owned by you, your spouse, or any other member of your household, directly or indirectly, and all assets which are subject to your or your spouse's possession, enjoyment, or control, regardless of whether legal title or ownership is held by a relative, trustee, lessor, or any other intermediary with a value of \$5,000 or more, including but not limited to the categories indicated below.

- 1. Cash \_\_\_\_\_
- 2. Cash Surrender Value of Insurance \_\_\_\_\_
- 3. Accounts Receivable \_\_\_\_\_
- 4. Loans or Notes Receivable \_\_\_\_\_
- 5. Real Estate \_\_\_\_\_
- 6. Estimated value of Household Furnishings and Artwork \_\_\_\_\_
- 7. Automobiles \_\_\_\_\_
- 8. Securities \_\_\_\_\_
- 9. Partnership Interests \_\_\_\_\_
- 10. Net Value of Ownership Interest in Business \_\_\_\_\_
- 11. Pension assets including IRA, 401(k), defined benefit plans and Keough accounts \_\_\_\_\_
- 12. Annuities \_\_\_\_\_
- 13. Other (Itemize) \_\_\_\_\_

**Total Assets** \_\_\_\_\_

#### B. Liabilities:

List all liabilities, including but not limited to the items listed below.

- 1. Mortgages \_\_\_\_\_
- 2. Auto Loans \_\_\_\_\_
- 3. Credit Card Debt \_\_\_\_\_
- 4. Loans on Insurance Policies \_\_\_\_\_
- 5. Installment Loans \_\_\_\_\_
- 6. Other Loans or Notes Payable \_\_\_\_\_
- 7. Accrued Real Estate Taxes \_\_\_\_\_
- 8. Judgments/Settlements Owed \_\_\_\_\_
- 9. Other (Itemize): \_\_\_\_\_
- 10. \_\_\_\_\_
- 11. \_\_\_\_\_

**Total Liabilities**

\_\_\_\_\_

**3 In the past 10 years, have any assets been transferred by the individual** Yes  No   
*(If yes, answer the following. If no, skip to 4)*

List Asset	Value at Time of Transfer	Date Transferred (mmddyyyy)	To Whom or Where was it Transferred
	\$		
	\$		
	\$		
	\$		
	\$		

**4 Cash Flow Information**

**A. Income/Receipts**

List all money or other income received from any source on a monthly basis by you, your spouse, or any other member of your household, identifying the source, recipient, and amount. For any income received on a basis other than monthly, convert to a monthly basis for the purpose of this statement.

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Total Receipts \$

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**B. Expenses/Disbursements**

List all monthly expenditures for whatever purpose for you or your household for the past 12 months, identifying the purpose and the amount, including projected expenses. For any expenditure which varies from month to month, indicate a range of amounts and the average amount on a monthly basis.

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**Total Expenses/Disbursements** \$

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\*If you anticipate unusual expenses in the coming 12 months, please describe them.

Please provide a detailed description of the hardship you are experiencing and include any information not listed above that would aid the Trustee in considering your Hardship Application.

Under penalties of perjury, I declare that I have examined the information given in this statement, and attached hereto, and, to the best of my knowledge and belief, it is true, correct, and complete. I further declare that I have no assets, owned either directly or indirectly, or income of any nature other than as shown in, or attached to, this statement. I understand that any material misstatements or omissions made by me herein or in any attachments hereto may constitute criminal violations, punishable under 18 U.S.C. 1001.

\_\_\_\_\_  
Date

Sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Notary Public

**This Hardship Application and Financial Disclosure Form must be completed and mailed promptly, together with supporting documentation, etc. to:**

Irving H. Picard, Esq.,  
Trustee for Bernard L. Madoff Investment Securities LLC  
Baker & Hostetler, LLP  
c/o Hardship Application Processing  
45 Rockefeller Center, 11th Floor  
New York, NY 10111.