

ATTORNEY OR PARTY WITHOUT ATTORNEY (NAME AND ADDRESS):	TELEPHONE NO.:	FOR COURT USE ONLY
ATTORNEY FOR (NAME):		
SUPERIOR COURT OF CALIFORNIA, COUNTY OF SANTA BARBARA <input type="checkbox"/> Santa Barbara–Anacapa <input type="checkbox"/> Santa Maria-Cook <input type="checkbox"/> Lompoc Division 1100 Anacapa Street 312-C East Cook Street 115 Civic Center Plaza Santa Barbara, CA 93101 Santa Maria, CA 93454 Lompoc, CA 93436		
PETITIONER:		CASE NUMBER:
RESPONDENT:		
FINANCIAL DOCUMENT EXCHANGE COMPLIANCE DECLARATION (Self Employed/Business Owner Party)		

***If you have no self-employment income or business ownership you may be able use form SC-4028 for wage earners or unemployed parties.**

I, _____ (name of party) declare the following:

1. This declaration is made in connection with: (check and complete all that apply)
 - A case management conference, family centered case resolution conference, status conference, trial setting conference, or other Court Conference that is scheduled for _____ (date) at _____ (time).
 - A request for order, order to show cause, or other Motion that will be or has been filed by _____ (party) and is scheduled for _____ (date) at _____ (time).
2. (Check only if applicable)
 - (a) I previously filed form SC-4029 on _____ (date) and all information on that form is complete and current as of the date stated below. (If you check this box, skip to the end of this form, fill in your name and the date, and sign this form.)
 - (b) I have good cause not to complete this form at all and request to be excused from complying with Local Rule 1419 because _____ or see attachment 2(b). (If you can provide some documents, do not check this box and complete the remainder of the form.)
3. Except as stated below, the documents set forth below were served on _____ (party), on _____ (date).

Individual Financial Documents

4. Federal income tax returns, including all schedules, for the two prior years: (check and complete all that apply)
 - All tax returns for the two prior years were served on the date stated in item 3.
 - All tax returns for the two prior years were served on the date stated in item 3, except tax returns for tax years _____ (list tax years from tax returns or state "all") which were not served because these tax returns were:
 - served as part of a previous Local Rule 1419 document exchange on _____ (date)
 - served as an attachment to an Income and Expense Declaration (Form FL-150) served on _____ (date)
 - served with a Declaration of Disclosure (Form FL-140) served on _____ (date)
 - received from the other party
 - (explain other reason) _____
 - see attachment 4.

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5. Personal bank account statements and corresponding check registers for all accounts for the prior 12 months: (check and complete all that apply)
- All bank account statements and check registers for all accounts for the prior 12 months were served on the date stated in item 3.
 - All bank account statements and check registers for all accounts for the prior 12 months were served on the date stated in item 3, except _____ (list each document by type and dates or state "all") which were not served because these documents were:
 - served as part of a previous Local Rule 1419 document exchange on _____ (date)
 - served as an attachment to an Income and Expense Declaration (Form FL-150) served on _____ (date)
 - served with a Declaration of Disclosure (Form FL-140) served on _____ (date)
 - received from the other party
 - (explain other reason) _____
 - see attachment 5.
6. Pay stubs for the last 2 months: (check and complete all that apply)
- All pay stubs for the last 2 months were served on the date stated in item 3.
 - All pay stubs for the last 2 months were served on the date stated in item 3, except _____ (list dates or state "all") which were not served because these documents were:
 - served as part of a previous Local Rule 1419 document exchange on _____ (date)
 - served as an attachment to an Income and Expense Declaration (Form FL-150) served on _____ (date)
 - served with a Declaration of Disclosure (Form FL-140) served on _____ (date)
 - received from the other party
 - (explain other reason) _____
 - see attachment 6.
7. IRS W-2 and 1099 forms not attached to federal tax returns for the prior year: (check and complete all that apply)
- There are no IRS W-2 and 1099 forms that were not attached to federal tax returns.
 - All IRS W-2 and 1099 forms that were not attached to federal tax returns forms for tax were served on the date stated in item 3.
 - All IRS W-2 and 1099 forms that were not attached to federal tax returns forms for tax were served on the date stated in item 3, except _____ (list form number and tax years from tax forms) were not served because these tax forms were:
 - served as part of a previous Local Rule 1419 document exchange on _____ (date)
 - served as an attachment to an Income and Expense Declaration (Form FL-150) served on _____ (date)
 - served with a Declaration of Disclosure (Form FL-140) served on _____ (date)
 - received from the other party
 - (explain other reason) _____
 - see attachment 7.

Business Financial Documents

8. During the previous two years (check all that apply):
- (a) I am, or was, self-employed.
 - (b) I am, or was, the beneficial owner of thirty percent (30%) or more of a business entity.
 - (c) If either box 8(a) or 8(b) is checked, identify each self-employed business or business entity: _____
 - (d) I was not and am not now either self-employed or a beneficial owner of thirty percent (30%) or more of any business entity. If this box is checked, do not complete items 9, 10, or 11.

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9. Periodic profit and loss statements and balance sheets prepared in the ordinary course of business for the prior 12 months: (for each business identified in item 8(c), check and complete all that apply, using additional copies of this page as necessary)

(a) Periodic profit and loss statements and balance sheets have been prepared for _____ (name of business) for each of the following time periods: (list each by type of statement, time period covered, and year) _____

(b) All periodic profit and loss statements and balance sheets for the business identified in item 8(c) were served on the date stated in item 3.

(c) All periodic profit and loss statements and balance sheets for the business identified in item 8(c) were served on the date stated in item 3, except _____ (list by type of statement, time period covered, and year) which were not served because these documents were:

served as part of a previous Local Rule 1419 document exchange on _____ (date)

served as an attachment to an Income and Expense Declaration (Form FL-150) served on _____ (date)

served with a Declaration of Disclosure (Form FL-140) served on _____ (date)

received from the other party

(explain other reason) _____

see attachment 9.

10. Loan applications submitted to financial institutions or third persons for the prior 12 months: (check and complete all that apply)

Within the prior 12 month, no loan applications were submitted to a financial institution or to another person on my behalf or on behalf of a business identified in item 8(c).

Within the prior 12 month, one or more loan applications were submitted to a financial institution or to another person on my behalf or on behalf of a business identified in item 8(c) and

All such loan applications were served on the date stated in item 3.

All such loan applications were served on the date stated in item 3, except _____

_____ (list each loan application by name of applicant, date of application, and institution or person to whom submitted or state "all") which were not served because these applications were:

served as part of a previous Local Rule 1419 document exchange on _____ (date)

served as an attachment to an Income and Expense Declaration (Form FL-150) served on _____ (date)

served with a Declaration of Disclosure (Form FL-140) served on _____ (date)

received from the other party

(explain other reason) _____

see attachment 10.

11. Business books and records. (check all that apply)

Subject to further control by the court, I agree to serve copies of the books and records of the businesses identified in item 8(c) as requested by the other party in this proceeding upon five (5) days' written notice.

Subject to further control by the court, I agree to permit inspection of the books and records of the businesses identified in item 8(c), during regular business hours, by the other party in this proceeding or by that party's attorney upon five (5) days' written notice.

I am unable to agree to serve or to permit inspection of business books and records or my agreement to serve or to permit inspection of business books and records is qualified because _____

see attachment 11.

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12. Complete disclosure. (Check one)

- All documents that are within my possession, custody, or control that are required to be served pursuant to Local Rule 1419 have been served or service is excused for the reasons set forth in this declaration and its attachments.
- I have filed, or I am filing concurrently with the filing of this declaration, a request for order or order to show cause requesting that the court excuse or limit the documents I am required to serve under Local Rule 1419.
- I have not complied with Local Rule 1419 at this time because _____
 - see attachment 12.

I, _____ (*name of party*) declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date: _____

(*Signature of Party*)