

REQUEST FOR SELF-EMPLOYMENT RECORDS

DEFENDANT'S FULL NAME

DOCKET NUMBER

In order to verify your self-employment, you are required to furnish all of the records below that are applicable to you and your business to the probation office by the close of business _____.

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| <ul style="list-style-type: none">◆ Business Bank Statements for all businesses for the past six months (along with canceled checks).◆ All Business Income Tax Returns for the past five years (including Corporation Form 1120,S Corporation Form 1120S, Partnership Form 1065 Limited Liability Company Form 1065, or Sole Proprietor Form 1040 Schedule C), along with all accompanying forms and schedules.◆ All Annual Financial Statements for the past five years.◆ Most Recent Monthly and Quarterly Financial Statement.◆ Quarterly Estimated Tax Payments (Form 1040-ES or Form 8109 for corporations) for the current year.◆ Occupational Business License for the current year.◆ Articles of Incorporation for all corporations you own or have an interest in.◆ Partnership Agreement for all partnerships you have an ownership interest in.◆ Sales Tax Returns (monthly, quarterly) for the past 12 months.◆ Property Tax Returns (inventory, personal property) for the past year. | <ul style="list-style-type: none">◆ Payroll Tax Returns (quarterly, annually) for the current year, if you presently have or have had employees during the current year.◆ List of Business Customers (to whom your business sells goods or provides services).◆ List of Business Vendors (who supply the needed raw materials to produce products or provide services).◆ Billing Statements (to collect money from your customers) and Vendor Invoices (to pay bills to your suppliers) for the past six months.◆ Real Estate Escrow Statements and Real Estate Leases for all businesses you own or have an interest in.◆ Equipment Purchase Agreements or Leases for all businesses you own or have an interest in.◆ Business Insurance Policies for all businesses you own or have an interest in.◆ Business Telephone Bills for the past six months for all business telephones.◆ Samples of Business Advertisements (e.g., in print, radio, television, Internet web page, telephone directory listing and ad, etc.).◆ Business Cards, Stationery (e.g., business letterhead). |
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Self Employment Guide

Probation officers may find it useful to consider the following questions when interviewing defendants who have a history of self-employment. Officers should attempt to gather as much information as possible from the defendant, and other sources, to verify this information.

- What is the nature of the business?
- What does the business do? Does this business activity make sense?
- Does the business generate a profit?
 - Compare receipts and expenses, balance sheets, current bank accounts, tax returns, and gross and net earnings
 - Ask the defendant how the business was capitalized
 - Indicate how the employees/owners are paid, and whether that pay fluctuates
- How long has the business existed?
 - Create an outline of the history of the business, with or without the defendant
 - Investigate how the business was founded and who provided the start-up capital, and where they generated the capital
 - Note any changes of location, operation, partners, etc.
- Who else is involved in the business?
 - Get the names of other partners, investors, or agents
 - Ask questions about the percentage of ownership, duties of other owners, investment amounts, hours worked per week, division of labor and duties
- Where is the business?
 - Provide a description of the business's physical location, including ownership of the business property
 - Consider visiting the business, and collect information on the number and types of employees, and the names of customers and suppliers
 - Inquire about existing inventory, and the value of said inventory
- Is the business incorporated or licensed?
 - Verify incorporation and corporate records through the Secretary of State
 - Verify licensure of the business through the relevant licensing authority
 - Research whether the company has been party to any civil suits, judgments, liens, or bankruptcies
- Does the defendant present any risk to third parties while employed with the business?