

U.S. DEPARTMENT OF AGRICULTURE  
 GRAIN INSPECTION, PACKERS AND STOCKYARDS ADMINISTRATION  
 PACKERS AND STOCKYARDS PROGRAM  
**ANNUAL REPORT OF MARKETING  
 AGENCY - SOC**

OMB Control No. 0580-0015

Response is required so that financial solvency can be monitored and to determine the amount of bond required to operate subject to the Packers and Stockyards Act (9 CFR 201.97). Information held confidential (9 CFR 201.96).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0015. The time requested to complete this information is estimated to average 2 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

*INSTRUCTIONS: This report must be completed by any individual, partnership, corporation, or association engaged in the business of buying and selling livestock on their own account as a dealer or market agency buying livestock on a commission basis (order buyer) under the provisions of the Packers and Stockyards Act, 1921, as Amended and Supplemented. If the reporting registrant operates on a calendar year basis, this report must be returned no later than April 15 following the calendar year end. If the reporting registrant operates on a fiscal year basis, this report must be filed no later than 90 days after the close of the fiscal year. If the space provided for any item is insufficient, attach additional pages containing the required information and refer to the appropriate section and item number.*

1. DOES THE FIRM OPERATE ON A FISCAL YEAR BASIS?  YES  NO  
 IF YES, LIST FIRM'S FISCAL YEAR \_\_\_\_\_

2. LIST PERIOD COVERED BY THIS REPORT December 31, 20 \_\_\_\_\_.

RETURN COMPLETED FORM TO THE APPROPRIATE REGIONAL OFFICE; SEE SEPARATE INSTRUCTIONS FOR INFORMATION.

**SECTION 1 - GENERAL INFORMATION**

3. NAME AND ADDRESS OF REPORTING FIRM (Include Street and Mailing Address, ZIP + 4 code)	4. TELEPHONE NUMBER  5. Fax Number  6. E-Mail Address	7. TYPE OF ORGANIZATION (check one) <input type="checkbox"/> ASSOCIATION <input type="checkbox"/> CORPORATION <input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> L.L.C. <input type="checkbox"/> L.L.P. <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> OTHER _____
8. DOES THE REPORTING FIRM OPERATE A WEBSITE IN CONJUNCTION WITH ITS LIVESTOCK OPERATIONS? <input type="checkbox"/> YES <input type="checkbox"/> NO	IF "YES," PROVIDE DETAILS _____	
9. DID ANY CHANGES IN THE FIRM'S ORGANIZATION OCCUR DURING THE REPORTING YEAR? <input type="checkbox"/> YES <input type="checkbox"/> NO	IF "YES," PROVIDE DETAILS _____	
10. IS STOCKYARD LEASED? <input type="checkbox"/> YES <input type="checkbox"/> NO	IF "YES," GIVE NAME AND ADDRESS OF LESSOR _____	

**11. OWNERS, PARTNERS, OFFICERS, AND DIRECTORS**

NAME	TITLE AND DUTIES	PERCENT OF OWNERSHIP	SOCIAL SECURITY NUMBER/TIN

The Privacy Act of 1974 requires this Agency to inform applicant that disclosures of social security numbers are optional and that the information sought on this form is required by 9 CFR 201.10. The sole use of the social security number(s) sought on this form is to distinguish between applicants and registrants that have identical or similar names. As this Agency maintains a large volume of applications and registrations, applicants are encouraged to supply social security numbers.

12. DOES ANY OWNER, OFFICER, DIRECTOR, STOCKHOLDER, OR EMPLOYEE OF YOUR FIRM OWN AN INTEREST IN ANY OTHER MARKET AGENCY, DEALER ORGANIZATION, STOCKYARD COMPANY, OR PACKING COMPANY?  YES  NO  
 IF "YES," GIVE NAME OF PERSON, FIRM, AND EXTENT OF OWNERSHIP \_\_\_\_\_

**SECTION 2 - BOND INFORMATION**

13. NUMBER OF PUBLIC SALE DAYS COVERED BY THIS REPORT \_\_\_\_\_

14. GROSS VALUE OF LIVESTOCK SOLD ON COMMISSION \$ \_\_\_\_\_

15. TOTAL COST OF LIVESTOCK PURCHASED ON COMMISSION \$ \_\_\_\_\_

16. TOTAL COST OF LIVESTOCK PURCHASED ON A DEALER BASIS \$ \_\_\_\_\_ 17. \_\_\_\_\_

**SECTION 3 - ANALYSIS OF CUSTODIAL BANK ACCOUNT FOR SHIPPERS' PROCEEDS**

18. BALANCE AS PER BANK STATEMENT		\$ _____
19. DEPOSITS IN TRANSIT (in mail or bank, but not on statement)		_____
20. CERTIFICATES OF DEPOSIT DESIGNED AS CUSTODIAL FUNDS AND PURCHASED FROM BANK CARRYING CUSTODIAL ACCOUNT		_____
21. SAVINGS ACCOUNT BALANCE DESIGNATED AS CUSTODIAL FUNDS DEPOSITED IN BANK CARRYING CUSTODIAL ACCOUNT		_____
22. PROCEEDS ON HAND		_____
23. PROCEEDS RECEIVABLE		_____
24. TOTAL DEBITS		\$ _____
25. OUTSTANDING CHECKS AND DRAFTS WHICH HAVE NOT CLEARED BANK		_____
26. PROCEEDS DUE CONSIGNORS OF LIVESTOCK FOR WHICH NO CHECKS WERE ISSUED		_____
27. EXPENSE ITEMS INCIDENT TO SALES REMAINING IN ACCOUNT		_____
28. TOTAL CREDITS		_____
29. OVERAGE (explain) (carry to line 33)	_____	_____
30. Shortage (explain) (carry to line 70)	_____	_____

NOTE: A copy of financial statements or audit report, if available for period, covered by this report, may be furnished in lieu of the Balance Sheet and Profit and Loss information; PROVIDED, information requested herein but not shown in such statements or reports is furnished.

**SECTION 4 - BALANCE SHEET AS OF CLOSE OF REPORTING PERIOD**

<b>A. CURRENT ASSETS</b>			
1. Cash			
a. On Hand	31.	\$ _____	
b. General Bank Account (enter overdraft below under current liabilities)	32.	_____	
c. Overage in Analysis of Custodial Bank Account (from line 29)	33.	_____	34. _____
2. Inventories			
a. Livestock	35.	_____	
b. Feed	36.	_____	
c. Other (specify)	37.	_____	38. _____
3. Marketable Securities: U.S. Government Bonds and Others			39. _____
4. Accounts Receivable			
a. One Year Old or Less			
(1) Due from Trade	40.	_____	
(2) Due from Affiliates and Subsidiaries	41.	_____	
(3) Due from Officers	42.	_____	
(4) Due from Employees	43.	_____	
(5) Due from Others	44.	_____	
b. Subtotal (40 thru 44)	45.	_____	
c. More than One Year Old	46.	_____	
d. Subtotal (45 and 46)	47.	_____	
e. Less Allowance for Doubtful Accounts	48.	( _____ )	49. _____
5. Notes Receivable Due within One Year (including current portion, due within one year, of long-term notes)			50. _____
6. Other Current Assets			
a. Prepaid Expenses	51.	_____	
b. Interest Receivable	52.	_____	
c. Other (specify)	53.	_____	54. _____
7. TOTAL CURRENT ASSETS			55. \$ _____
<b>B. INVESTMENTS</b>			
1. Farms and Real Estate	56.	_____	
2. Stocks and Bonds (cost or market value, whichever is lower)	57.	_____	
3. Other (specify)	58.	_____	
4. Total Investments			59. _____
<b>C. FIXED ASSETS</b>			
1. Land			60. _____
2. Buildings, Structures, and Equipment	61.	_____	
3. Less Allowance for Depreciation	62.	( _____ )	63. _____
4. Total Fixed Assets			64. _____
<b>D. OTHER ASSETS</b>			
1. Long-term Notes Receivable (not due within one year)(excluding portion included in line 50 above)			65. _____
2. Other			66. _____
3. Total other Assets			67. _____
E. TOTAL ASSETS			68. _____

**SECTION 4 - BALANCE SHEET (continued)**

**LIABILITIES AND NET WORTH**

**F. CURRENT LIABILITIES**

1. Bank Overdraft (per book) .....	69. \$			
2. Shortage in Analysis of Custodial Bank Account (from line 30) .....	70.			
3. Payables, Accruals, and other Current Liabilities				
a. Due to Trade .....	71. \$			
b. Due to Suppliers .....	72.			
c. Due to Affiliates and Subsidiaries .....	73.			
d. Due to Officers .....	74.			
e. Due to Employees .....	75.			
f. Advances and Deposits on Livestock .....	76.			
g. Taxes .....	77.			
h. Demand Notes Payable .....	78.			
i. Notes, Mortgages, and Bonds Due within One Year (including payments on long-term debts due within one year) .....	79.			
j. Other .....	80.	81.		
4. Total Current Liabilities .....			82. \$	

**G. LONG-TERM LIABILITIES**

1. Notes, Mortgages, and Bonds Payable (excluding payments due within one year, included in line 79 above) .....	83. \$			
2. Less Sinking Fund .....	84.	85.		
3. Other .....		86.		
4. Total Long-term Liabilities .....			87.	

**H. TOTAL LIABILITIES**

88. \$

**I. NET WORTH**

1. If Incorporated:				
a. Capital Stock- Preferred .....	89.			
b. Capital Stock - Common .....	90.			
c. Paid in Capital .....	91.			
d. Retaining Earnings .....	92.			
2. If Unincorporated:				
a. Owner's Capital .....	93.			
b. Undivided Profits (+) or Less (-) .....	94.			
3. Total Net Worth .....			95.	

**J. TOTAL LIABILITIES AND NET WORTH** .....

96.

**SECTION 5 - VOLUME OF LIVESTOCK HANDLED DURING YEAR**

	NUMBER OF HEAD					
	Steers and Heifers	Cows and Bulls	CALVES	HOGS	SHEEP	OTHER
97. Livestock consigned by others to your firm for sale during year						
98. Livestock consigned by you to your firm						
99. Total of lines 97 and 98						
100. Livestock bought on commission out of consignments to your firm						
101. Livestock bought on commission at other than your own firm						

**SECTION 6 - INCOME STATEMENT FOR ALL OPERATIONS**

**A. INCOME**

- 1. Selling Commissions ..... 102. \$ \_\_\_\_\_
- 2. Yardage ..... 103. \_\_\_\_\_
- 3. Buying Commissions ..... 104. \_\_\_\_\_
- 4. Gross Profit (+) or Loss (-) from Market Support Account (from Section 7) ..... 105. \_\_\_\_\_
- 5. Gross Profit (+) or Loss (-) from Dealer Operations (from Section 8) ..... 106. \_\_\_\_\_
- 6. Gross Profit (+) or Loss (-) from Feed Account ..... 107. \_\_\_\_\_
- 7. Other Income (specify) \_\_\_\_\_  
 \_\_\_\_\_ 108. \_\_\_\_\_

8. Total Income ..... 109. \_\_\_\_\_

**B. EXPENSES**

- 1. Wages and Bonuses ..... 110. \_\_\_\_\_
- 2. Insurance ..... 111. \_\_\_\_\_
- 3. Utilities ..... 112. \_\_\_\_\_
- 4. Taxes ..... 113. \_\_\_\_\_
- 5. Rent ..... 114. \_\_\_\_\_
- 6. Depreciation ..... 115. \_\_\_\_\_
- 7. Travel and Entertainment (including auto expenses) ..... 116. \_\_\_\_\_
- 8. Repairs and Maintenance ..... 117. \_\_\_\_\_
- 9. Interest ..... 118. \_\_\_\_\_
- 10. Advertising ..... 119. \_\_\_\_\_
- 11. Bad Debts ..... 120. \_\_\_\_\_
- 12. Trucking and Hauling ..... 121. \_\_\_\_\_
- 13. Other Operating Expenses ..... 122. \_\_\_\_\_  
 \_\_\_\_\_

14. Total Expenses ..... 123. \_\_\_\_\_

C. NET INCOME (+) OR LOSS (-) ..... 124. \$ \_\_\_\_\_

**SECTION 7 - MARKET SUPPORT ACCOUNT (livestock purchased from consignments to support the market)**

	NUMBER OF HEAD					
	STEERS AND HEIFERS	COWS AND BULLS	CALVES	HOGS	SHEEP	OTHER
<b>125. LIVESTOCK PURCHASED FROM CONSIGNMENTS TO SUPPORT THE MARKET</b>						
126. Gross Profit (+) or Loss (all species) (carry to line 105) .....	\$ _____					

**SECTION 8 - DEALER OPERATIONS**

	NUMBER OF HEAD					
	STEERS AND HEIFERS	COWS AND BULLS	CALVES	HOGS	SHEEP	OTHER
<b>127. DEALER LIVESTOCK - NUMBER OF HEAD PURCHASED</b>						
126. Gross Profit (+) or Loss (all species) (carry to line 106) .....	\$ _____					

**SECTION 9 - CERTIFICATION: I certify that this report has been prepared by me or under my direction, and that to the best of my knowledge and belief, this report correctly reflects the operations of the reporting firm.**

129. DATE	130. TITLE (Owner, Partner, Officer)	131. SIGNATURE