



## Prospective Client Profile

### The Company

**Legal Business Name:** \_\_\_\_\_ **EIN#:** \_\_\_\_\_  
Assumed Names: \_\_\_\_\_  
Type of Entity: (Check One)     Corporation     LLC     Partnership     Sole Proprietorship  
State of Incorporation: \_\_\_\_\_  
Nature of Business: \_\_\_\_\_    Date Started: \_\_\_\_\_  
Number of Employees: \_\_\_\_\_  
Address: \_\_\_\_\_    City: \_\_\_\_\_    County: \_\_\_\_\_    State & Zip: \_\_\_\_\_  
Phone: \_\_\_\_\_    Cell: \_\_\_\_\_    Fax: \_\_\_\_\_    email: \_\_\_\_\_  
Does the company:     Own     Rent property    Landlord Name/Phone: \_\_\_\_\_  
  
Past due taxes? \_\_\_\_\_    Lien Filed? \_\_\_\_\_    Are there liens on receivables? \_\_\_\_\_  
Any bank loans or lines of credit? \_\_\_\_\_    If yes, with whom? \_\_\_\_\_    Loan Amt: \_\_\_\_\_  
  
Bank Name: \_\_\_\_\_    Officer: \_\_\_\_\_    Phone: \_\_\_\_\_    Acct #: \_\_\_\_\_  
CPA Name: \_\_\_\_\_    Phone: \_\_\_\_\_  
Who handles payroll? \_\_\_\_\_    Phone: \_\_\_\_\_  
Has the company factored before? \_\_\_\_\_    If yes, with whom? \_\_\_\_\_  
- Is there a factoring agreement in place? \_\_\_\_\_  
Has the company ever declared bankruptcy? \_\_\_\_\_    If yes, please explain: \_\_\_\_\_  
\_\_\_\_\_

### Company Owners

Name: _____	Title: _____	Ownership %: _____
Home Address: _____	City: _____	State: _____ Zip: _____
SSN: _____	Drivers License#: _____	DOB: _____
Phone: _____	email: _____	
Name: _____	Title: _____	Ownership %: _____
Home Address: _____	City: _____	State: _____ Zip: _____
SSN: _____	Drivers License#: _____	DOB: _____
Phone: _____	email: _____	
Name: _____	Title: _____	Ownership %: _____
Home Address: _____	City: _____	State: _____ Zip: _____
SSN: _____	Drivers License#: _____	DOB: _____
Phone: _____	email: _____	

Have any of the company owners declared bankruptcy? \_\_\_\_\_  
If yes, please explain: \_\_\_\_\_  
\_\_\_\_\_



### Company Receivables

How do your customers place orders? (Check all that apply)

- Written PO       Verbal PO       Contract/MSA       Other: \_\_\_\_\_

Progress billing? \_\_\_\_\_

Do you ever invoice prior to completion or delivery? \_\_\_\_\_

Any sales on consignment? \_\_\_\_\_

Do you ever buy from companies that you also sell to? \_\_\_\_\_

Typical terms of sale: \_\_\_\_\_

Do you offer any pay discounts? \_\_\_\_\_

Average monthly sales: \_\_\_\_\_

Average invoice size: \_\_\_\_\_

Average collection period: \_\_\_\_\_

### Supporting Documents

Please supply the following documents to complete the application (additional information may be requested).

- Articles of Incorporation
- Certificate of Formation of LLC or LP
- Bylaws
- Company Agreement for LLC or LP
- Current Accounts Receivable Aging (30-60-90 day)
- Current Accounts Payable Aging (30-60-90 day)
- Customer contact list with name, address, phone number, and email
- Most recent interim financial statements
- Corporate tax returns (last 2 years)
- Copy of last 2 quarter-end 941 Payroll Tax Reports with proof of payment
- Personal tax returns (last 2 years)
- Personal financial statement(s)
- Copy of drivers license
- Copy of current invoice with backup (PO, MSA, proof of delivery, etc.)

How soon would you like to begin using our services? \_\_\_\_\_

Who referred you to us? \_\_\_\_\_

### Declaration

The information supplied in the Prospective Client Profile and all forms and documents submitted to Caprock Funding in connection herewith is true and correct to the best of my knowledge and belief. I/we hereby authorize Caprock Funding to investigate my/our financial responsibility and credit worthiness and will provide financial statements, tax returns, etc. as Caprock deems necessary. I/we grant Caprock Funding the right to procure any and all credit reports pertaining to any party to this application.

Signed by: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_