

|                           |                    |                   |
|---------------------------|--------------------|-------------------|
| Business Entity ID Number | For PSD Stamp Only | PSD Bar Code Only |
|---------------------------|--------------------|-------------------|

U.S. Department of Agriculture  
Agricultural Marketing Service  
Fair Trade Practices Program  
Packers and Stockyards Division

### ANNUAL REPORT OF MARKET AGENCY SELLING ON COMMISSION

Select this box if you want to receive email notifications instead of mailed letters. This will begin in the next reporting cycle.

Email Preferred ☐

**Instructions: If a line's value is zero, enter "0". If a line does not apply, enter "N/A". Return completed form to the PSD Central Reporting Unit. If all lines are not completed when the form is received, the form will be returned. See separate instructions for complete information about this report.**

#### GENERAL INFORMATION - SECTION 1

|     |                               |          |     |               |  |
|-----|-------------------------------|----------|-----|---------------|--|
| 101 | Reporting Period (mm/dd/yyyy) | a. FROM: |     | b. TO:        |  |
| 102 | Entity Name                   |          |     |               |  |
| 103 | Trade Name/d.b.a.             |          |     |               |  |
| 104 | Mailing Address               |          |     |               |  |
| 105 | City, State, Zip+4            |          |     |               |  |
| 106 | Operating Address             |          |     |               |  |
| 107 | City, State, Zip+4            |          |     |               |  |
| 108 | Contact Name                  |          |     |               |  |
| 109 | Contact Telephone             |          | 110 | Email Address |  |
| 111 | Fax Number                    |          | 112 | Web Address   |  |

#### ORGANIZATIONAL STRUCTURE - SECTION 2

List owners, officers, partners, and members in control of this business with their ownership percentage.

|     | a. Name | b. Title | c. % |
|-----|---------|----------|------|
| 201 |         |          |      |
| 202 |         |          |      |
| 203 |         |          |      |
| 204 |         |          |      |
| 205 |         |          |      |

|     |                                                                                                                                                                                                                                                                      |  |                                                   |  |                  |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------|--|------------------|
| 206 | Type organization: <input type="checkbox"/> Individual <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> L.L.C. <input type="checkbox"/> L.L.P. <input type="checkbox"/> Co-op <input type="checkbox"/> Association |  |                                                   |  |                  |
| 207 | Is this the same organization type reported last year? <input type="checkbox"/>                                                                                                                                                                                      |  | First time filing report <input type="checkbox"/> |  |                  |
| 208 | Does the entity own or operate a scale on which purchased livestock is weighed? If yes, complete line 209. No, skip to line 210                                                                                                                                      |  |                                                   |  |                  |
| 209 | a. Manufacturer                                                                                                                                                                                                                                                      |  | b. Model                                          |  | c. Serial Number |
| 210 | What is the basis of payment made to the entity for most livestock you sell? <input type="checkbox"/> Per Head <input type="checkbox"/> Live Wt. <input type="checkbox"/> Dressed Wt. or Carcass Basis                                                               |  |                                                   |  |                  |
| 211 | Is this business owned or controlled by another business entity? If Yes, list information on line 212                                                                                                                                                                |  |                                                   |  |                  |
| 212 | Entity Name:                                                                                                                                                                                                                                                         |  | Entity Address:                                   |  |                  |
| 213 | Name and Version of software program used for consignor/buyer invoices                                                                                                                                                                                               |  |                                                   |  |                  |

|     |                                                                                                                                                                           |                              |                             |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|
| 214 | Does this Business, including any Owners, Officers, Directors, Members or Employees, own an interest in any other Market Agency, Dealer Organization, or Packing Company? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|

If line 214 is yes, give the name of related firms, name of person or firms with relationship, and percentage of ownership under lines 215-218

|     | a. Name of Related Firm | b. Name of Person/Firm with Relationship | c. % |
|-----|-------------------------|------------------------------------------|------|
| 215 |                         |                                          |      |
| 216 |                         |                                          |      |
| 217 |                         |                                          |      |
| 218 |                         |                                          |      |

### SELLING ON COMMISSION OPERATION (CLAUSE 1 BOND) - SECTION 3

|     | Livestock Sold at Market                                                          | a. Cattle | b. Hogs | c. Sheep & Goats | d. Horses & Mules | e. Total (a+b+c+d) |
|-----|-----------------------------------------------------------------------------------|-----------|---------|------------------|-------------------|--------------------|
| 301 | Livestock consigned by others to your market (number of head)                     |           |         |                  |                   |                    |
| 302 | Livestock consigned by you to your market (number of head)                        |           |         |                  |                   |                    |
| 303 | Total livestock consigned to your market (number of head) Total lines 301 and 302 |           |         |                  |                   |                    |
| 304 | Gross value of livestock sold on commission                                       |           |         |                  |                   |                    |

305 NUMBER OF PUBLIC SALE DAYS COVERED BY THIS REPORT \_\_\_\_\_

### DEALER AND BUYING ON COMMISSION OPERATION (CLAUSE 2 BOND) - SECTION 4

|     | Livestock Dealer Purchases                                                       | a. Cattle        | b. Hogs           | c. Sheep & Goats | d. Horses & Mules | e. Total (a+b+c+d) |
|-----|----------------------------------------------------------------------------------|------------------|-------------------|------------------|-------------------|--------------------|
| 401 | Cost of livestock purchased on a dealer basis for registrant's account           |                  |                   |                  |                   |                    |
| 402 | Number of head of livestock purchased on a dealer basis for registrant's account |                  |                   |                  |                   |                    |
|     | Dealer Volume by quarter                                                         | a. First Quarter | b. Second Quarter | c. Third Quarter | d. Fourth Quarter | e. Total (a+b+c+d) |
| 403 | Cost of livestock purchased as a dealer, per quarter (403e is equal to 401e)     |                  |                   |                  |                   |                    |

|     | Livestock Bought on Commission                                                                                      | a. Cattle        | b. Hogs           | c. Sheep & Goats | d. Horses & Mules | e. Total (a+b+c+d) |
|-----|---------------------------------------------------------------------------------------------------------------------|------------------|-------------------|------------------|-------------------|--------------------|
| 404 | Cost of livestock bought on commission (BOC) for the account of others regardless of who paid for the livestock     |                  |                   |                  |                   |                    |
| 405 | Number of head of livestock bought on commission for the account of others regardless of who paid for the livestock |                  |                   |                  |                   |                    |
|     | BOC Volume by quarter                                                                                               | a. First Quarter | b. Second Quarter | c. Third Quarter | d. Fourth Quarter | e. Total (a+b+c+d) |
| 406 | Cost of livestock bought on commission, per quarter (406e is equal to 404e)                                         |                  |                   |                  |                   |                    |

407 Total Cost of Livestock Purchased - line 401e plus line 404e \_\_\_\_\_

408 Number of days livestock was purchased during the reporting year \_\_\_\_\_

### CLEARER AND CLEAROR DESIGNATIONS - SECTION 5

501 Select this box if you are a clearer (Cleared and under the bond coverage of another entity for your livestock purchases) ☐

502 Provide the name of the clearor if line 501 is checked: \_\_\_\_\_

503 Select this box if you are a clearor providing clearing services for clearers. ☐

If the checkbox is selected on line 503, you must enter the required information for lines 504-514

|     | Clearee's Name as Registered              |     | Dollar Value of Livestock Purchased |
|-----|-------------------------------------------|-----|-------------------------------------|
| 504 |                                           | 505 |                                     |
| 506 |                                           | 507 |                                     |
| 508 |                                           | 509 |                                     |
| 510 |                                           | 511 |                                     |
| 512 |                                           | 513 |                                     |
|     | Total Livestock Purchases of all Clearers | 514 |                                     |

## ANALYSIS OF CUSTODIAL BANK ACCOUNT FOR SHIPPERS' PROCEEDS - SECTION 6

|                                                                                              |     |       |
|----------------------------------------------------------------------------------------------|-----|-------|
| <b>Date of Custodial Analysis ( as of mm/dd/yyyy - should be same as reporting year end)</b> | 601 | _____ |
| Balance as per Bank Statement                                                                | 602 | _____ |
| Deposits in transit in mail or bank, but not on statement                                    | 603 | _____ |
| Certificates of Deposit/Savings designated as custodial funds                                | 604 | _____ |
| Proceeds on hand                                                                             | 605 | _____ |
| Proceeds receivable                                                                          | 606 | _____ |
| <b>Total of Lines 602 through 606</b>                                                        | 607 | _____ |
| Outstanding checks and drafts that have not cleared bank                                     | 608 | _____ |
| Proceeds due consignors of livestock for which checks have not yet been issued               | 609 | _____ |
| Unpaid expense items deducted from consignors' proceeds remaining in account                 | 610 | _____ |
| <b>Total of Lines 608 through 610</b>                                                        | 611 | _____ |
| Overage or Shortage in Account                                                               | 612 | _____ |
| Accounts Receivable - (from sales of livestock not classified as Proceeds Receivable)        | 613 | _____ |

## STATEMENT OF ASSETS, LIABILITIES, AND EQUITY - SECTION 7

*Include values only for the reporting entity.*

## ASSETS

## Current Assets:

|                                                                         |     |       |
|-------------------------------------------------------------------------|-----|-------|
| Cash in Non-Custodial Accounts (Enter overdrafts on Line 723)           | 701 | _____ |
| Overage in Custodial Bank Account (From Line 612, if a positive amount) | 702 | _____ |
| Current Cash Equivalents (CD's, Savings, etc.)                          | 703 | _____ |

## Trade Accounts Receivable-Net (Due in 1 year or less):

|                                                                                                  |     |       |
|--------------------------------------------------------------------------------------------------|-----|-------|
| Owners, Officers, and Affiliated Companies                                                       | 704 | _____ |
| All Others (Sources Not Related to Company)                                                      | 705 | _____ |
| <b>Total Trade Accounts Receivables-Net (Due in 1 year or less) (Total of lines 704 and 705)</b> | 706 | _____ |

## Inventory:

|                                                                            |     |       |
|----------------------------------------------------------------------------|-----|-------|
| Livestock Inventory                                                        | 707 | _____ |
| Other Inventory (Inventory to be consumed in the business during the year) | 708 | _____ |
| <b>Total Inventories (Total lines 707 and 708)</b>                         | 709 | _____ |

## Notes and Loans Receivable (Due in 1 Year or Less):

|                                                                                           |     |       |
|-------------------------------------------------------------------------------------------|-----|-------|
| Owners, Officers, and Related Entities                                                    | 710 | _____ |
| Others (Sources Not Related to Company)                                                   | 711 | _____ |
| <b>Total Notes and Loans Receivable (Due in 1 Year or Less) (Total lines 710 and 711)</b> | 712 | _____ |

|                            |     |       |
|----------------------------|-----|-------|
| Advances Made on Livestock | 713 | _____ |
| Other Current Assets       | 714 | _____ |

|                                                                                      |     |       |
|--------------------------------------------------------------------------------------|-----|-------|
| <b>Total Current Assets (Total lines 701, 702, 703, 706, 709, 712, 713, and 714)</b> | 715 | _____ |
| Property, Plant, & Equipment Net of Depreciation and Amortization                    | 716 | _____ |

## Other Assets:

|                                                                                                    |     |       |
|----------------------------------------------------------------------------------------------------|-----|-------|
| Investments in Subsidiaries and Related Companies                                                  | 717 | _____ |
| Due from Owners, Officers, and Related Entities (Due in 1 year or more)                            | 718 | _____ |
| Livestock Inventory not related to sales to customers (feeding, backgrounding, depreciable assets) | 719 | _____ |
| Other Long-Term Assets                                                                             | 720 | _____ |

|                                                                |     |       |
|----------------------------------------------------------------|-----|-------|
| <b>Total Other Assets (Total lines 717, 718, 719, and 720)</b> | 721 | _____ |
| <b>TOTAL ASSETS (Total of lines 715, 716, and 721)</b>         | 722 | ===== |

**LIABILITIES****Current Liabilities:**

Overdraft 723 \_\_\_\_\_  
 Shortage in Custodial Account (from line 612, if a negative amount) 724 \_\_\_\_\_

**Trade Account Payables:**

Livestock Payables (Due in 1 Year or Less) 725 \_\_\_\_\_  
 Other Payables to Owners, Officers, and Related Entities (Due in 1 Year or Less) 726 \_\_\_\_\_  
 Other Payables (Sources Not Related to Company)(Due in 1 Year or Less) 727 \_\_\_\_\_  
 Total Trade Account Payables (Total Lines 725, 726, and 727) 728 \_\_\_\_\_

**Current Maturities of Long-Term Debt: (Demand notes and portion of long-term notes due in 1 year or less)**

Owners, Officers, and Related Entities 729 \_\_\_\_\_  
 Others (Sources Not Related to Company) 730 \_\_\_\_\_  
 Total Current Maturities of Long-Term Debt (Total lines 729 and 730) 731 \_\_\_\_\_  
 Other Current Liabilities 732 \_\_\_\_\_

**Total Current Liabilities (Total lines 723, 724, 728, 731, and 732)**

733 \_\_\_\_\_

**Other Liabilities:**

Long -Term Debt, Less Current Maturities: (Due in 1 year or more)  
 Owners, Officers, and Related Entities 734 \_\_\_\_\_  
 Others (Sources Not Related to Company) 735 \_\_\_\_\_

**Total Long-Term Debt, Less Current Maturities (Total lines 734 and 735)**

736 \_\_\_\_\_

**All Other Liabilities**

737 \_\_\_\_\_

**TOTAL LIABILITIES (Total of lines 733, 736, and 737)**

738 \_\_\_\_\_

**EQUITY**

Owner's Equity (Unincorporated) 739 \_\_\_\_\_  
 OR  
 Stock Issued (Incorporated) 740 \_\_\_\_\_  
 Additional Paid-in Capital 741 \_\_\_\_\_  
 Retained Earnings 742 \_\_\_\_\_

**TOTAL EQUITY (must equal lines 739 through 742)**

743 \_\_\_\_\_

**TOTAL LIABILITIES AND EQUITY (must equal line 722) (Lines 738 plus 743)**

744 \_\_\_\_\_

**STATEMENT OF REVENUES AND EXPENSES - SECTION 8**

Selling Commissions of Market 801 \_\_\_\_\_  
 Gross Dealer Profit 802 \_\_\_\_\_  
 Buying Commission 803 \_\_\_\_\_  
 Other Income 804 \_\_\_\_\_  
 Total Income (Total of lines 801, 802, 803 and 804) 805 \_\_\_\_\_  
 Total Expenses 806 \_\_\_\_\_  
 Net Profit (+) or Loss (-) (Line 805 minus 806) 807 \_\_\_\_\_

**CERTIFICATION - SECTION 9**

*Under the Packers and Stockyards Act any person who willfully makes, or causes any false entry or statement of fact in this report shall be deemed guilty of offense against the United States, and be subject to a fine of \$1,000 to \$5,000, or to imprisonment for a term of not more than 3 years, or to both fine and imprisonment. Section 10 of the FTC Act, made applicable by Section 402 of the Act (7 U.S.C. 222).*

***With my signature, I certify the information provided on this form is true and correct to the best of my knowledge and belief, I am an owner, officer, or have been authorized by responsible management to certify this report. (This form must be signed by a person listed in lines 201-205.)***

901 Print Name: 902 Signature:

903 Phone Number: 904 Date: 905 Title:

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*Submitted information is confidential (9 CFR 201.96). Failure to report may result with a complaint filed against the entity in a United States District Court charging the entity with violations of the Packers and Stockyards Act and seeking civil penalties as authorized by law per day until report receipt. Section 10 of the FTC Act, made applicable by Section 402 of the Act (7 U.S.C. 222).*

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