



POTENTIAL CLIENT CONFIDENTIAL QUESTIONNAIRE

1. Name:

Date of Birth:

Current Address:

Current Phone Numbers:

Present Occupation (former if you are retired):

Present Employer (former if you are retired):

2. If you are retired, state the date of your retirement and the age at which you retired:

3. Describe your experience as an investor before engaging your broker or investment adviser at issue. Specifically, please set forth in detail what stocks, bonds, CD's, limited partnership interests, options, futures, private placements and/or real estate investments you had invested in. For each such investment, set forth the name of the entity in which you invested, the amount of the investment, the length of time you held the investment, and a short description of why you had so invested.

4. Would you describe yourself as a sophisticated, somewhat knowledgeable, or not at all knowledgeable investor? Why?

5. By way of background, please tell us your:

Net Worth:

Liquid Net Worth (not counting your residence):

Annual Income for the last 5 years:

Tax Bracket:

Risk Tolerance:

Highest Level Of School Completed:

6. When you first met your broker / investment adviser, how far were you from retirement?

7. What did you believe your liquidity needs for retirement to be when you first met your broker / investment adviser?

8. Did you have anyone -a friend, relative, accountant or other professional advising you about money matters during the time you were with your broker / investment adviser?
YES or NO

If you responded "Yes," please identify the person or persons advising you, and describe what they told you.

9. How and when did you become aware of your broker / investment adviser?

10. When did you first meet with your broker / investment adviser?

11. Describe your first meeting with your broker / investment adviser. In particular, did you discuss your risk tolerance, investment goals, or concerns? Did you discuss your retirement goals? If you did, please describe that part of the conversation as best you can. Also, please discuss what promises or commitments, if any your broker / investment adviser made.

- 12. Describe the details of each subsequent meeting you had with your broker / investment adviser or someone from their offices. Tell us everything you can remember, and do not worry about whether your recollections are trivial or not. Try to set forth the name of the person with whom you met, when you met them, where you met them, what you said, and what they said. Were any promises or commitments made? What as promised? Did they discuss risks or ask you for information about your finances, age, goals, concerns, etc? What was your impression of them from each such meeting?**

13. List the specific account number and account name on each account you opened with your broker or investment adviser. For each such account, please give us the information identified below (regarding the source of funds, please tell us where you got the money to invest -a former account, savings, pension, IRA rollover, sale of other investments, etc.).

Account No.1:

Name:

Account Number:

Starting Balance:

Source of Funds:

Current Balance:

Types of investments in account (stocks, bonds, options or other (be specific)):

Account No.2:

Name:

Account Number:

Starting Balance:

Source of Funds:

Current Balance:

Types of investments in account (stocks, bonds, options or other (be specific)):

Account No.3:

Name:

Account Number:

Starting Balance:

Source of Funds:

Current Balance:

Types of investments in account (stocks, bonds, options or other (be specific)):

Account No.4:

Name:

Account Number:

Starting Balance:

Source of Funds:

Current Balance:

Types of investments in account (stocks, bonds, options or other (be specific)):

Account No.5:

Name:

Account Number:

Starting Balance:

Source of Funds:

Current Balance:

Types of investments in account (stocks, bonds, options or other (be specific)):

Account No.6:

Name:

Account Number:

Starting Balance:

Source of Funds:

Current Balance:

Types of investments in account (stocks, bonds, options or other (be specific)):

CONTINUE ONTO ADDITIONAL SHEETS IF NECESSARY

14. Describe as best you can the investment patterns or activity you noticed once your accounts were opened. Also, how closely did you watch the accounts?

15. When did you first become concerned or alarmed about the handling of your accounts? What prompted the concern? What did you do about it?

16. Have you complained to anyone at your broker's or investment adviser's office about their handling of your money? **YES or NO**

If so, when did you complain, how did you complain, to whom did you complain? What was said by each person? Did the responses calm you or cause to do or not do anything?

17. For each account you opened with your broker and/or investment adviser, tell us how much money you believe you lost in that account. Describe how you calculated that figure.

- 18. Tell us about the current status of your accounts. Have you left them alone? Have you moved your money to another broker or investment adviser? If you have moved the money, tell us who your new broker or investment adviser is, where they are located, their phone number, and what success you have or have not had with them. Also, tell us when you moved the accounts.**

19. Tell us whether your losses have affected your present circumstances or plans for the future, and describe the ways you have been affected.

20. As regarding the account(s) in issue, please provide the following account documents:

- a) The new account document (may also be known as a "suitability document" or "opening account document") and any paperwork used to open your account(s);
- b) Your customer agreement with your broker or investment adviser;
- c) Monthly account statements, from the opening account statement through to your most recent statement *in chronological order*;
- d) Confirmation sheets for all transactions *in chronological order*;
- e) Margin agreements and calls, if applicable;
- f) All communications had to and from your broker or investment adviser;
- g) All documents you relied upon prior to either investing with your broker or investment adviser, or making any individual investment decisions once you had invested with them;
- h) Monthly statements and confirmations from all previous brokerage firms or investment advisers with which you held accounts *put in chronological order*;
- i) Monthly statements and confirmations from all subsequent brokerage firms or investment advisers with which you held accounts, *put in chronological order*;
- j) Your tax returns, including all schedules, for a time period of three years before you invested with your broker or investment adviser to the present (if this is less than five years, please provide tax returns for the last five years), this should include both your own personal tax returns as well as any filed for any businesses you own;
- k) Any financial statements reflecting your assets, liabilities, or net worth for a time period of three years before you invested with your broker or investment adviser to the present (if this is less than five years, please provide such records for the last five years);
- l) Any copies you kept of things you gave, mailed, e-mailed or faxed to your broker or investment adviser;
- m) Copies of anything your broker or investment advisor mailed, gave, sent or faxed to you;
- n) Any correspondence or notes by or from anyone, including your accountant, a relative, a friend or another broker or investment adviser concerning your dealings with your broker or investment adviser;

- o) Any documents you have that pertain in any way to investments you made prior to, subsequent to, or in addition to your dealings with your broker or investment advisor;
- p) Anything that publicized to you the existence of or qualifications of your broker or investment adviser, such as brochures or advertisements; and
- q) Any diary entry or notes that reflect your conversations with your broker or investment adviser.

IF YOU SHOULD SEND US ORIGINAL COPIES OF DOCUMENTS AND YOU DO NOT HAVE A COPY FOR YOURSELF, YOU ARE ADVISED TO ENSURE THAT THE DOCUMENTS ARE DELIVERED TO THIS OFFICE IN A SAFE MANNER – DO NOT SEND THE DOCUMENTS TO US SUCH THAT THEY CAN BE "LOST IN THE MAIL."