

INVESTMENT INFORMATION

BROKERAGE OR INVESTMENT ADVISOR FIRM

BROKER/REPRESENTATIVE

ACCOUNT #

BRANCH ADDRESS

CITY, STATE

ZIP

PHONE

Please check applicable boxes (as of the time of investment):

<u>Account Type</u>	<u>Prior Trading Experience</u>	<u>Investment Objective (Please Rank)</u>	<u>Liquidity Time Horizon</u>
<input type="checkbox"/> Tax Deferred	<input type="checkbox"/> Stocks	<input type="checkbox"/> Safety of Principal	<input type="checkbox"/> 0-6 Months
<input type="checkbox"/> Regular Acct.	<input type="checkbox"/> Bonds	<input type="checkbox"/> Tax Free Income	<input type="checkbox"/> 6-12 Months
<input type="checkbox"/> Custodial	<input type="checkbox"/> Mutual Funds	<input type="checkbox"/> Income	<input type="checkbox"/> 1-2 Years
<input type="checkbox"/> Options	<input type="checkbox"/> Options	<input type="checkbox"/> Growth	<input type="checkbox"/> 2-5 Years
<input type="checkbox"/> Margin	<input type="checkbox"/> Commodities	<input type="checkbox"/> Trading	<input type="checkbox"/> 5-10 Years
	<input type="checkbox"/> Foreign Securities	<input type="checkbox"/> Speculation	<input type="checkbox"/> > 10 Years

Type of Investments Made:

(Please check the box for applicable investments made)

Bonds:

- | | |
|-------------------------------------------------|---------------------------------------------------------------|
| <input type="checkbox"/> Money Market | <input type="checkbox"/> Tax Free Muni (A rated or higher) |
| <input type="checkbox"/> U.S. Gov. T-Bills | <input type="checkbox"/> Tax Free Muni (Baa rated or lower) |
| <input type="checkbox"/> U.S. Gov. Notes | <input type="checkbox"/> Corporate Bonds (A rated or higher) |
| <input type="checkbox"/> U.S. Gov. Bonds | <input type="checkbox"/> Corporate Bonds (Baa rated or lower) |
| <input type="checkbox"/> U.S. Gov. Agency Bonds | <input type="checkbox"/> Convertible Bonds |

Stock:

- Preferred Stock
- Blue Chip Stock (eg. IBM)
- Small Cap Stock (NASD Mkt.)
- International Stock

Mutual Funds & Partnerships:

- Gov. Bond Funds
- GNMA Bond Fund
- Tax Free Muni Bond Fund
- Corporate Bond Fund
- Corp. Junk Bond Fund
- Blue Chip Stock Fund
- Growth Stock Fund
- Balanced Fund (Stocks & Bonds)
- International Stock Fund
- International Bond Fund
- Limited Partnerships

Speculation

- Options
- Short Sales
- Penny Stock
- Precious Metals
- Commodities

Were any other persons present when the investment opportunity was explained to you?
 (Please list their names and addresses)

NAME	HOME ADDRESS	CITY, STATE	ZIP	PHONE
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NAME	HOME ADDRESS	CITY, STATE	ZIP	PHONE
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Do you know of anyone else who has invested in the same company or business or who invested through the same salesperson?

NAME	HOME ADDRESS	CITY, STATE	ZIP	PHONE
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NAME	HOME ADDRESS	CITY, STATE	ZIP	PHONE
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Transactions in Question:

If the entire account is in question or there have been more than 5 questionable trades, please enclose account statements with the questionable trades marked.

Date of Purchase	Investment	Shares/Units Invested	Amount Invested	Gain Loss
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

Yes No

- Have you filed a complaint with the brokerage or investment advisory firm in question?
- Have you filed this complaint with any other agency? (Securities and Exchange Commission, National Association of Securities Dealers, Inc. NASD, Police, Better Business Bureau) Please Specify: _____
- Have you obtained legal counsel? Please Specify: _____

Please attach copies of all documents to help us better understand your complaint.

PLEASE SIGN AND DATE:

SIGNATURE

DATE

THANK YOU FOR TAKING THE TIME TO COMPLETE THIS FORM