

Name: _____

Date of Birth: _____

Spouse's Name (if applicable): _____

Date of Birth: _____

1) What was the amount of your loss?

2) Where did the lost investment funds originate (IRA, 401K, Savings Acct, Checking, Etc.)?

3) Are you currently in a position that requires you to still pay taxes?

4) What is your Federal tax filing status?

5) What is your current taxable income (net after standard deductions)?

6) Do you currently have any brokerage accounts at this time, if so with whom?

7) In what name or names was this investment(s) made?

8) Was your investment to help supplement your current income, retirement or college fund?

9) How did you originally hear about this investment(s)?

10) Whom did you speak with directly about this investment(s)?

Name: _____

10) When did you first meet with him or her? _____

11) How did this person portray him or her self, (owner/broker/salesperson)?

12) Did you feel pressured to purchase this investment(s)? _____

13) Did they provide you a prospectus? _____

14) Did you receive monthly or quarterly investment statements? _____

15) Did you receive a 1099 on a yearly basis? _____

16) What type of promise(s) did he/she give you (returns/guarantees/safe investment/can't lose)?

17) How much did you first invest, how much principal and how many times did you invest in total? (Please indicate years, if known)

18) Did he/she have you liquidate in order to become involved in this investment(s)? _____

19) Have you ever invested in this type of investment(s) before? _____

20) On a scale of 1 to 10, where would you have placed your investment knowledge/skill? _____

21) What type of investments did you request, high risk, medium risk or low risk? _____

22) At what point did you know that something was not correct and how did you hear of that information?

Name: _____

23) Did you ever make contact with him or her after hearing this information? If so what happened?

24) Have you gotten any of your investment back, if so how much?

25) What have you done to recover any of your investment?

26) Did they follow your instructions with your money; (did he/she use this money for personal gain)?

27) Is there any other important information you feel I need would need or want to know?

I, _____, confirm that the above information is accurate and true to the best of my knowledge.

Signature

Date

How you prefer to be contacted?

Telephone _____

Email _____

Contact #

Email Address

Best Time to be Reached