

# NEW CLIENT QUESTIONNAIRE

## INSTRUCTIONS

THIS QUESTIONNAIRE IS FOR INFORMATION PURPOSES SO WE CAN LEARN ABOUT YOU AND YOUR CLAIM. IT IS IMPORTANT IT BE COMPLETED EVEN IF RESPONSES ARE BASED UPON ESTIMATES, APPROXIMATE AMOUNTS, OR APPROXIMATE DATES IN TIME TO THE BEST OF YOUR KNOWLEDGE AND INFORMATION. This Questionnaire is for evaluative purposes to determine whether to undertake your representation in a potential legal matter. The information you provide to us is for the purpose of seeking legal representation and is confidential and privileged. Responding or completing this Questionnaire shall not create an Attorney-Client relationship which can only be established after all potential conflicts of interest can be developed, after careful consideration of the relevant facts that may pertain to your claim or claims, and a written fee agreement is entered into between us setting forth, among other things, the scope of our representation. All claims arising under state or federal law have deadlines, are time sensitive and will be forever barred or lost if not brought within a specified period of time after these events occurred or should have been discovered. Unless, and until, representation is offered to you by way of a written fee agreement formally undertaking your representation in this matter, we shall not be responsible should your putative claim not be brought in a timely manner, or is forever barred or lost, as a result of the applicable statutes of limitation relating to your claim. The evaluation of your claim, any tentative conclusions about any claim, should not be construed or relied upon as an opinion or determination as to the viability or non viability of any such claim, nor shall be construed or relied upon in any way as investment advice in deciding to buy, sell or hold any security which may be subject to any such claim.

### I. Client Contact Information

<b>Your Name:</b>	_____
<b>Address:</b>	_____ _____
<b>Home Telephone Number:</b>	_____
<b>Work Telephone Number:</b>	_____
<b>Cellular/Wireless Number:</b>	_____
<b>E-mail Address:</b>	_____

### II. Introductory and Background Information

<b>Name of Brokerage Firm(s)(Against Whom You Have This Claim):</b>	_____
<b>Name of Your Broker (Against Whom You Have This Claim):</b>	_____
<b>Branch Office Address:</b>	_____
<b>Names On Account(s):</b>	_____
<b>Dates Accounts Opened:</b>	_____

Date(s) of Birth of Account Owners: 1. \_\_\_\_\_ 2. \_\_\_\_\_

**Education**  
**Highschool:** \_\_\_\_\_ **Year:** \_\_\_\_\_ **Location:** \_\_\_\_\_  
**College:** \_\_\_\_\_ **Year:** \_\_\_\_\_ **Major/degree:** \_\_\_\_\_  
**College:** \_\_\_\_\_ **Year:** \_\_\_\_\_ **Major/degree:** \_\_\_\_\_

**Family:** (Spouse): \_\_\_\_\_ **Age(s):** \_\_\_\_\_  
(Children): \_\_\_\_\_ **Age(s):** \_\_\_\_\_

**Occupational History:**

Employer	Title/Position	Years
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Customer Owned Business(es):**

Name	Location	Description	Years
_____	_____	_____	_____
_____	_____	_____	_____

**A. INVESTMENT EXPERIENCE**

**Prior Investment Experience:**

Name/Investment Firm	Years of Account	Approx. Value Accounts
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

	Years of Account	Approx. Value Accounts
a. Equities:	_____	_____
b. Bonds:	_____	_____
c. Options:	_____	_____
d. Margin:	_____	_____
e. Mutual Funds:	_____	_____
f. Annuities:	_____	_____
g. Other Fixed Income:	_____	_____
h. Partnerships/Real Estate	_____	_____
j. Other (Please specify):	_____	_____

**B. DECISION TO INVEST**

**The Reason For The Decision To Invest:** \_\_\_\_\_

**Approximate Value Initial/Total Investment:**  
\_\_\_\_\_

**Source of Investment:**  
\_\_\_\_\_

**How and Why Was This Brokerage Firm and Broker Chosen:** \_\_\_\_\_  
\_\_\_\_\_

**Other Brokerage Accounts (Held At The Time This Account Was Opened):**  
\_\_\_\_\_  
\_\_\_\_\_

**What level of investment risk were you willing to assume?**  
None          Minimal          Moderate          Substantial          High

**What was your primary investment objective:**  
Safety          Income          Moderate          Growth          Aggressive

**At The Time The Investment Was Made List The Following:**

**Your Age:**\_\_\_\_\_ **Employment:**\_\_\_\_\_ **Income:** \_\_\_\_\_

**Investable Assets:** \_\_\_\_\_ **Total Savings:** \_\_\_\_\_

**Date Of First Contact With Broker/Brokerage Firm:** \_\_\_\_\_

**What Did You Tell Your Broker About Your Investment Objectives, Knowledge of Investments, or Level of Risk You Were Willing To Take:**  
\_\_\_\_\_  
\_\_\_\_\_

**What specific information did you tell your broker that you wanted to accomplish or do through your investing?**  
\_\_\_\_\_  
\_\_\_\_\_

**Where was the money held prior to being invested in this account?**  
\_\_\_\_\_

**Did you have specific ideas on the way you wanted to have your money invested and/or the stocks (other) in which you wanted to invest?**  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**E. INVESTOR INFORMATION**

**Have you ever attended any investment related seminars (if so, when)?**

---

**Have You Held Any Professional Licenses:**

---

**Are you a member of any class action lawsuit related to any of the investments of which you complain?**

**Yes                      No**

**Please list any lawsuits and the nature of any lawsuit to which you have been a party as plaintiff or defendant**

---

**Have you ever been charged or convicted of any felony, or misdemeanor? (If so, please explain).**

---

**Do you subscribe to any internet related investment services?**

---

**Have you ever served on the Board of Directors of Any Public or Private Company?**

---

**Have you ever posted on any blog or bulletin board or downloaded financial or investment information from the Internet**

---

**Please list any financial or other publications to which you subscribe:**

---

---

**C. BROKERAGE RELATIONSHIP**

How often did you communicate with the broker and who initiated the contact?

---

Was contact made by phone or in person?

---

Did you ever communicate with your broker by e-mail?

---

Did you ever place transactions on-line, or review your account on-line (if so, how frequently)?

---

**D. NATURE OF COMPLAINT**

**Briefly Summarize Your Complaint, What You Believe The Broker Did That Was Wrong or Unlawful, What The Problem Was, What Caused Your Damages:**

---

---

---

---

**Please Estimate To The Best Of Your Ability Your Total Out-Of-Pocket Losses (Not Including Lost Interest Or Lost Income) From The Investments About Which You Complain. "Out-of-Pocket Losses" include the total value of cash or securities deposited into your account, less any withdrawals from the account, less the final balance of cash or securities in the account.**

**Total Deposits:** \_\_\_\_\_

**Total Withdrawals:** \_\_\_\_\_

**Residual or Ending Value:** \_\_\_\_\_

**F. DOCUMENTS**

<b>Did you sign a Customer Agreement:</b>	_____
<b>Margin Agreement:</b>	_____
<b>Option Agreement:</b>	_____
<b>Investment Risk/ Questionnaire:</b>	_____
<b>Other (Please Describe):</b>	_____
<b>Did you Receive:</b>	
<b>Monthly Account Statements:</b>	_____
<b>Completed Account Agreements:</b>	_____
<b>Forecasts/Plans/Analysis:</b>	_____
<b>Sales Lit./Marketing Brochures:</b>	_____
<b>Prospectuses:</b>	_____
<b>Subscription Agreements:</b>	_____
<b>Correspondence Management:</b>	_____
<b>Investment Research Reports:</b>	_____
<b>Written Investment Recommendations:</b>	_____
<b>Other Communications (Please Describe):</b>	_____
<b>Do you have copies of the documents you received?</b>	

<b>Please tell us anything else that you deem helpful?</b>
_____
_____
_____
_____
_____
_____

*BY SIGNING BELOW, I CERTIFY THAT THE FOREGOING INFORMATION IS SUBSTANTIALLY ACCURATE THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF. I UNDERSTAND THAT IF ANY OF THE FOREGOING INFORMATION IS NOT ACCURATE THAT IT MAY HAVE A MATERIAL ADVERSE IMPACT ON THE SUCCESS OF ANY CLAIM I MAY HAVE, AND COULD RESULT IN THE TERMINATION OF ANY FUTURE REPRESENTATION BY YOU.*

Dated: \_\_\_\_\_

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

