



Securities Arbitration & Investment Fraud Lawyers
GUILIANO LAW GROUP, P.C.

CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED

INVESTOR QUESTIONNAIRE

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.

I. 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.

Documents that you provide to us are also confidential. Important or relevant documents include customer statements, new account forms, disclosure agreements, correspondence, e-mail or electronic communications, and other documents, (including large documents or files in excess of 25 MB) may be securely transmitted to us at stockbrokerfraud@gmail.com. Physical or paper copies of documents may also be scanned or imaged and sent to us electronically, or alternatively you may send us copies of these documents by regular mail, or by overnight delivery. All original or other documents provided to us will be returned to you at our expense. However, when sending original documents, please be sure to transmit them to us by Federal Express, UPS or Priority Mail from the U.S. Postal Service. Our central mailing address is: The Guiliano Law Group, P.C., 1700 Market Street, Suite 1005, Philadelphia, Pennsylvania 19102. You can also call us directly with any questions at (877) SEC-ATTY.

Preserve all documents, including electronic records, that you may have regarding this matter. Never write notes or make notations on original documents. Never contact the securities firm, stockbroker or investment professional that is the subject of our claim. Upon request, we can prepare an authorization or request for you to obtain certain documents directly from any firm. Do not forward e-mails or electronic communications directly to us. Instead, print them or save them to .pdf (portable document format) and send them to electronically as attachments.

II. CONTACT INFORMATION

Your Name: _____
Address: _____

Home Telephone Number: _____
Work Telephone Number: _____
Cellular/Wireless Number: _____
E-mail Address: _____

Name of Brokerage Firm(s)(Against Whom You Have This Claim):

Name of Your Broker (Against Whom You Have This Claim):

Branch Office Address:

Types of Accounts:

☐ Individual ☐ Joint Account ☐ IRA/401K ☐ Other

Names On Account(s): _____

Dates Accounts Opened: _____

Dates Accounts Closed: _____

Account Owner (1)

Name: _____

Date of Birth: _____

Account Owner (2)

Name: _____

Date of Birth: _____

Education:

Highschool (Name): _____

Year: _____

Location: _____

Education:

Highschool (Name): _____

Year: _____

Location: _____

College (Name): _____

Year(s): _____

Major/degree: _____

College (Name): _____

Year(s): _____

Major/degree: _____

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Account Owner (1)

Occupational History:

Employer Position Years

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Account Owner (2)

Occupational History:

Employer Position Years

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

How and Why Was This Brokerage Firm or Broker Chosen:

The Reason For The Decision To Invest:

Briefly Summarize Your Complaint:

Approximate Value Initial/Total Investment:

Source of Investment:

Approximate Withdrawals (if any):

Approximate Ending Value:

Securities or Investment Products at Issue:

Name/Description	Approx. Date	Name/Description	Approx. Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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Please Estimate Your Total Out-Of-Pocket Losses or Damages (Not Including Lost Interest Or Lost Income) From Securities or Investment Products at Issue:

What level of investment risk were you willing to assume?

☐ None

☐ Minimal

☐ Moderate

☐ High

What was your primary investment objective:

☐ Safety

☐ Income

☐ Growth

☐ Speculation

At the time of the investment, what was your approximate:

Annual Income

Investable Assets

Net Worth

III. Prior Investment Experience:

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

Prior Investment Experience [Check all that apply]

- ☐ Stocks/Equities
- ☐ Mutual Funds
- ☐ Corporate Bonds
- ☐ Government Bonds
- ☐ Other Fixed Income
- ☐ Options
- ☐ Margin

- ☐ Annuities
- ☐ Alternative Investments
- ☐ Structured Products
- ☐ Private Placements
- ☐ Partnerships/Real Estate
- ☐ Other (Please specify):

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

At what financial institution, and in what type of securities, was the money held prior to being invested in the account or products at issue?

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Did review your account on-line? ☐ Yes ☐ No
If so, approximately, how frequently?

Did you communicate with the Broker or representatives via electronic mail? ☐ Yes ☐ No

How frequently did you meet or communicate with the broker or representatives of their firm?

Has anyone from the securities firm other than the representative, ever contacted you, by any means, concerning the broker, your investments, or the activity in your account? ☐ Yes ☐ No

If so, please explain and provide us these documents (if any).

Have you complained, or have been otherwise in contact with securities regulators, including FINRA, the SEC or State Securities Regulators. ☐ Yes ☐ No

If so, please explain and provide us these documents (if any).

Did you ever purchase securities on your own initiative (unsolicited) through the broker at issue, or in a self-directed or on-line securities account? ☐ Yes ☐ No
(if so, please identify)

Have you ever attended any investment related seminars (if so, when)?
Have You Held Any Professional Licenses: ☐ Yes ☐ No
(if so, please identify)

Are you a member of any class action lawsuit? ☐ Yes ☐ No
(if so, please identify)

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Please list and/or describe any lawsuits or legal proceedings to which you have been a party as plaintiff or defendant? ☐ None

Have you ever been charged or convicted of any felony, or misdemeanor?
(If so, please explain). ☐ Yes ☐ No

Do you subscribe to any on-line investment services? ☐ Yes ☐ No
(if so, please identify) _____

Have you ever posted on any blog or bulletin board or downloaded financial or investment information from the Internet? ☐ Yes ☐ No
(if so, please identify) _____

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

Please tell us anything else that you deem helpful?

THE INFORMATION CONTAINED HEREIN IS PRIVILEGED AND IS PROVIDED FOR THE PURPOSE OF SEEKING LEGAL REPRESENTATION. 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.

Name

Date