



The Persante Law Group, P.A.

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Probate Litigation

Trust Litigation

Securities Litigation

Business Litigation

Mediation

QUESTIONNAIRE FOR SECURITIES CASES

The information requested here is very important to us. Please be as thorough as possible in filling out this form. We must have all of the information requested before we can proceed with your potential litigation/arbitration. All information provided here is confidential and is protected by attorney-client privilege.

Complete name of person(s) or entity(ies) pursuing the claims:

General nature of your complaint: _____

Complete name of the securities firm, broker and branch manager dealt with:

Firm: _____

Broker: _____

Branch Manager: _____

With respect to each of the accounts under contention, please provide the following information:

1. Single Account Name	Date Opened/ Closed	Losses In Account	Financial Advisor(s)
Investment Objective: <input type="checkbox"/> Speculation <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Growth + Income <input type="checkbox"/> Preservation of income			Risk Tolerance: <input type="checkbox"/> High <input type="checkbox"/> Low <input type="checkbox"/> Medium
Do you have a copy of the account agreement? <input type="checkbox"/> YES <input type="checkbox"/> NO			
2. Joint Account Name	Date Opened/ Closed	Losses In Account	Financial Advisor(s)
Investment Objective: <input type="checkbox"/> Speculation <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Growth + Income <input type="checkbox"/> Preservation of income			Risk Tolerance: <input type="checkbox"/> High <input type="checkbox"/> Low <input type="checkbox"/> Medium
Do you have a copy of the account agreement? <input type="checkbox"/> YES <input type="checkbox"/> NO			
3. Trust Account Name	Date Opened/ Closed	Losses In Account	Financial Advisor(s)
Investment Objective: <input type="checkbox"/> Speculation <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Growth + Income <input type="checkbox"/> Preservation of income			Risk Tolerance: <input type="checkbox"/> High <input type="checkbox"/> Low <input type="checkbox"/> Medium
Do you have a copy of the account agreement? <input type="checkbox"/> YES <input type="checkbox"/> NO			
4. IRA Account Name	Date Opened/ Closed	Losses In Account	Financial Advisor(s)
Investment Objective: <input type="checkbox"/> Speculation <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Growth + Income <input type="checkbox"/> Preservation of income			Risk Tolerance: <input type="checkbox"/> High <input type="checkbox"/> Low <input type="checkbox"/> Medium

Do you have a copy of the account agreement? <input type="checkbox"/> YES <input type="checkbox"/> NO			
5. Family Partnership Account Name	Date Opened/ Closed	Losses In Account	Financial Advisor(s)
Investment Objective: <input type="checkbox"/> Speculation <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Growth + Income <input type="checkbox"/> Preservation of income			Risk Tolerance: <input type="checkbox"/> High <input type="checkbox"/> Low <input type="checkbox"/> Medium
Do you have a copy of the account agreement? <input type="checkbox"/> YES <input type="checkbox"/> NO			
6. Profit Sharing Account Name	Date Opened/ Closed	Losses In Account	Financial Advisor(s)
Investment Objective: <input type="checkbox"/> Speculation <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Growth + Income <input type="checkbox"/> Preservation of income			Risk Tolerance: <input type="checkbox"/> High <input type="checkbox"/> Low <input type="checkbox"/> Medium
Do you have a copy of the account agreement? <input type="checkbox"/> YES <input type="checkbox"/> NO			
7. Other Account Name	Date Opened/ Closed	Losses In Account	Financial Advisor(s)
Investment Objective: <input type="checkbox"/> Speculation <input type="checkbox"/> Growth <input type="checkbox"/> Income <input type="checkbox"/> Growth + Income <input type="checkbox"/> Preservation of income			Risk Tolerance: <input type="checkbox"/> High <input type="checkbox"/> Low <input type="checkbox"/> Medium
Do you have a copy of the account agreement? <input type="checkbox"/> YES <input type="checkbox"/> NO			

Your address at the time the accounts were opened

Any other address (es) you had during the time the accounts were open.

How much money did you initially invest with the firm? \$ _____

What was the source of the funds for your initial investment? _____

Your financial position at the time the account was opened:

Current financial position:

Gross net worth:	\$ _____	\$ _____
Value of residence:	\$ _____	\$ _____
Liquid net worth:	\$ _____	\$ _____
Long-term debt:	\$ _____	\$ _____
Monthly cash flow:	\$ _____	\$ _____
Real property	\$ _____	\$ _____
Mortgages on real property:	\$ _____	\$ _____

In what manner do you believe your accounts were mishandled?

Provide specific acts which you contend constitute wrongdoing (*i.e.*, fraud, misrepresentation, negligence, etc.)

Why did you choose the firm?

Did you approve each transaction before it was executed by the broker?

YES NO

Describe your feelings and trust toward the broker and how that changed, if at all, over time.

Did the broker ever ask you how much on a percentage basis you would be willing to lose in a down market? If so, what percent?

YES NO

Did you ever receive any letters from the branch manager or the brokerage house asking you if you were happy with the performance in your account?

YES NO

Did the branch manager ever call you regarding your account(s)?

YES NO

If so, please describe your conversations:

What was the description of the investments?

Were you provided with a prospectus for any of the investments? If yes, indicate any comments the broker made with regard to the prospectus.

Describe all significant conversations that you had with the broker or any supervisors and indicate the date or approximate date and location of each such conversation.

State specifically any concerns that you had about safety and the broker's response to those concerns

Detail any conversations which the broker had with you with regard to the suitability of the investments or of the strategy employed

Risk factor representations by the broker:

Suitability:	<hr/>
Liquidity:	<hr/>
Risk:	<hr/>
Reasons to invest:	<hr/>
Guarantees:	<hr/>
Investment selection:	<hr/>
Risk of principal:	<hr/>
Risk of income:	<hr/>
Time risk:	<hr/>
Liquidity risk:	<hr/>
Other risk:	<hr/>
Other considerations:	<hr/>

List the names of all prior firms at which you maintained a brokerage account and provide the name of every broker or registered investment advisor that you dealt with at each firm and provide the dates that you opened those brokerage accounts and the dates you closed those brokerage accounts.

<i>Date open/closed</i>	<i>Firm & Address</i>	<i>Broker(s)</i>

Your prior years of investment experience with regard to the following:

- Stocks: _____ years
- Bonds: _____ years
- Mutual funds: _____ years
- Limited partnerships: _____ years
- Options: _____ years
- Commodities: _____ years
- Warrants: _____ years
- Variable annuities: _____ years
- Fixed annuities: _____ years
- Indexed annuities: _____ years
- Hedge funds: _____ years

Have you ever had discount brokerage account where you were the decision maker on the securities bought and sold?

YES NO

Have ever engaged in day trading?

YES NO

List any investment seminars you have attended, including the name of the entity putting the investment seminar on and the date(s) you attended.

<i>Date</i>	<i>Description</i>	<i>Organization putting on seminar</i>

List any financial publications or services you have ever subscribed to:

Have you ever filed a prior arbitration claim or lawsuit against a broker/dealer? If so, please provide the name of the broker/dealer and broker involved, the date the claim was filed and whether the claim was settled, dismissed or heard by an arbitration panel/court.

<i>Date Filed</i>	<i>Brokerage Firm</i>	<i>Broker (if named)</i>	<i>Final Disposition</i>
			<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court
			<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court
			<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court
			<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court

Have you ever filed a prior arbitration claim or lawsuit against any person or entity? If so, please provide the name of the person/entity the date the claim was filed and whether the claim was settled, dismissed or heard by an arbitration panel/court.

<i>Date Filed</i>	<i>Opposing Party(ies)</i>	<i>Final Disposition</i>
		<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court
		<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court
		<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court
		<input type="checkbox"/> settled <input type="checkbox"/> dismissed <input type="checkbox"/> heard by panel/court

Completed by: _____ Date: _____

