

CONFIDENTIAL CLIENT QUESTIONNAIRE

Please answer the following questions as honestly and fully as possible. It is essential that you be completely candid in answering this questionnaire. The questions are designed to give us information, which may be relevant to your representation. In addition, some of this information is being gathered for conflicts of interest purposes. If your securities account is a joint account, please provide information for the other party as well. If you run out of space, please continue your reply on ANOTHER SHEET OF PAPER.

YOUR BACKGROUND

1. Name: _____

2. Address: _____

3. Phone No: Home _____ Work _____

4. Age: _____

5. Name Of Spouse: _____

6. Names and Ages of Children: _____

7. Please list all schools you have attended. Start with the last school. It is not necessary to list elementary schools.

A. School Attended: _____
Dates Attended: _____
Degree Earned: _____
Major Study Areas: _____

B. School Attended: _____
Dates Attended: _____

Degree Earned: _____

C. School Attended _____

Dates Attended: _____

Degree Earned: _____

8. Please list all of your jobs since you began working full time. if you have ever acted as a manager, sales or as trustee for a pension plan, indicate so under "duties."

A. Employer: _____

Dates Employed: _____

Your Title: _____

Duties: _____

Reason For Leaving: _____

B. Employer: _____

Dates Employed: _____

Your Title: _____

Duties: _____

Reason For Leaving: _____

C. Employer: _____

Dates Employed: _____

Your Title: _____

Duties: _____

Reason For Leaving: _____

D. Employer: _____

Dates Employed: _____

Your Title: _____

Duties: _____

Reason For Leaving: _____

E. Employer: _____
Dates Employed: _____
Your Title: _____
Duties: _____
Reason For Leaving: _____

IF YOU HAVE EVER BEEN EMPLOYED BY A BROKERAGE FIRM, PLEASE FILL OUT THE QUESTIONS ON EXHIBIT "A."

9. Did you ever serve in the military? If so, please list the following:

Dates Of Service: _____

Branch: _____

Highest Rank: _____

Type Of Discharge: _____

10. Did you or your spouse own more than 5% of any business, including corporations? If so, please identify them.

11. Are you or your spouse partners in any partnerships? If so, identify them.

12. If you answered no. 11 affirmatively, please name the other partners and identify whether they are partners of you or your spouse.

13. Income over last 6 years:

| Year | Income |
|-------|--------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

14. What is your net worth (exclusive of your primary residence)?

15. Have you ever subscribed to or regularly read any of the following business publications?

| | | | |
|---------------------|-------|---------------------|-------|
| Wall Street Journal | _____ | Other (please list) | _____ |
| Barron's | _____ | | _____ |
| Business week | _____ | | _____ |
| Money | _____ | | |
| Fortune | _____ | | |
| Valueline | _____ | | |

16. Have you ever attended a course or seminar about investments on the stock market? If so list:

| | <u>Name Of Course</u> | <u>Date</u> | <u>Topic</u> |
|----|-----------------------|-------------|--------------|
| A. | _____ | _____ | _____ |
| B. | _____ | _____ | _____ |
| C. | _____ | _____ | _____ |
| D. | _____ | _____ | _____ |

17. Describe in general terms your experience investing in stocks, bonds, commodities, options (puts and calls) limited partnerships, tax shelters or any other type of security.

YOUR INVESTMENT HISTORY

A. Personal Checking

Account: _____

B. Personal Savings

Account: _____

C. Other Brokerage Accounts: _____

_____ None _____

D. Real Estate Investment: _____

_____ None _____

E. REITS, CDO's, CMO's: _____

_____ None _____

F. IRA Accounts: _____

G. Bond or Fixed Income Investments: _____

_____ None _____

H. Mutual Funds: _____

_____ None _____

I. Work Related 401(k) Account: _____

_____ None _____

J. 403(b) or Profit Sharing Plan: _____

_____ None _____

K. Other Business Investment Accounts: _____

_____ None _____

L. Private Placements/Alternative Investments: _____

_____ None _____

M. Limited Partnerships: _____

_____ None _____

N. Hedge Funds: _____

_____ None _____

O. Annuity Information: _____

_____ None _____

P. Other Insurance: _____

_____ None _____

IN ORDER TO GIVE ME SPECIFIC FACTS I NEED CONCERNING YOUR TRADING DESCRIBED IN NO. 17, PLEASE FILL OUT THE QUESTION ON EXHIBIT "B." USE ONE FORM PER ACCOUNT.

18. Which of the following best describes your investment objectives?

A. ___ Safety Of Principal D. ___ Short-term Growth

B. ___ Long-Term Growth E. ___ Speculation

C. ___ Income F. ___ Trading

___ Taxable G. ___ Business Risk

___ Nontaxable Appreciation

A. Please provide copies of any documents you received from any source concerning your investments

In addition, please provide copies of your monthly account statements from the date of your initial purchase of the investment products in question through the

present and copies of any confirmation slips you received for purchases of these products.

B. Please list the names of any registered representative or other employees whom you spoke concerning investments in these products.

C. Please describe in detail what you were told about investing in these products.

D. Please describe your investment objectives at the time you were approached to invest in the products.

EXHIBIT "A"
IF YOU HAVE BEEN EMPLOYED BY A BROKERAGE FIRM, PLEASE ANSWER THE FOLLOWING:

1. Have you ever served as an administrative manager, branch manager or compliance officer?

2. What licenses did you hold?

3. Have you ever been responsible for hiring or firing registered representatives?

4. Have you ever participated in preparing u-5 termination statements regarding registered representatives?

5. Have you ever served on a securities arbitration panel?

EXHIBIT "B"

COMMODITIES OR OPTION ACCOUNTS YOU HAVE OWNED

A. Brokerage Firm

1. Name: _____

2. Address: _____

B. Account

1. Account No: _____

2. Date Opened: _____ Date Closed: _____

3. Approximate value of account at highest: _____

4. Investment objectives of account (As stated to brokerage firm) _____

5. Account Characteristic CS:

Margin Acct. _____ Options Acct. _____

Cash Acct. _____ Invest. Acct. _____

Commodity Acct. _____ Retirement Acct _____

C. Person Servicing Account

Name

Dates

D. How did you come to do business with this person?

Referral _____ Cold Called _____

Attended seminar sponsored by broker _____

E. Approximately how many personal meetings did you have with the person handling your account?

1 - 3 ____

3 - 5 ____

5 Or More ____

F. Did you ever have any conversation or correspondence with the manager of the office? Please explain.

Please describe additional accounts:
