

## ***Due Diligence Investment Questionnaire***

With any investment, a wise investor should ask questions and get written information. Take notes so you have a record of what you were told, in case you have a dispute later.

1. Is the investment registered with the SEC and the state securities agency in the state where I live or is it subject to an exemption?

Yes  No

2. Is the person recommending this investment registered with my state securities agency? Is there a record of any complaints about this person?

Yes  No

3. How does this investment match my investment objectives?

4. Will you send me the latest reports that have been filed on this company?

5. What are the costs to buy, hold, and sell this investment?

6. How easily can I sell ?

7. Who is managing the investment? What experience do they have?

8. What is the risk that I could lose the money I invest?

9. What return can I expect on my money? When?

10. How long has the company been in business?

11. Are they making money, and if so, how?

12. What is their product or service?

13. What other companies are in this business?

14. How can I get more information about this investment, such as audited financial statements?

Material provided by Michael P. Griffin.