

Investment Product Questionnaire

When putting your money into any type of investment, you should ask many questions. If the broker or advisor cannot answer these questions, don't invest.

1. Is this investment product registered with the SEC and my state securities agency?
() Yes () No
2. Does this investment match my investment goals?
() Yes () No
3. Why is this investment suitable for me?
4. How will this investment make money?
_____ Dividends _____ Interest _____ Capital gains
5. Specifically, what must happen for this investment to increase in value?
6. What are the total fees to purchase, maintain, and sell this investment?
7. What are those fees as a percentage of my original investments?
\$ _____ fees / \$ _____ original investment = _____ % of investment
8. After all the fees are paid, how much does this investment have to increase in value before I break even?
9. How liquid is this investment? How easy would it be to sell if I needed my money right away?
10. What are the specific risks associated with this investment?
11. What is the maximum I could lose?
12. How long has the company been in business?
13. Is its management experienced?
() Yes () No
14. Has management been successful in the past? Have they ever made money for investors before?
15. Is the company making money?
() Yes () No
16. How are they doing compared to their competitors?
17. Where can I get more information about this investment?

18. Can I get the latest reports filed by the company with the SEC:

() a prospectus or offering circular

() or the latest annual report and financial statements

Material provided by Michael P. Griffin.