

***Rodriguez Tramont Guerra Núñez, PA
Securities Arbitration Claim
Questionnaire***



Client Name:

Attorney Name:

Date (mm/dd/yy):

Mailing Address:

Tramont Guerra Nunez, PA

255 Alhambra Circle

Suite 1150

Coral Gables, Florida 33134

(305) 350-2300 Phone

(305) 350-2525 Fax

Overview

This **Securities Arbitration Claim Questionnaire** is designed to help you gather the required information to file a securities arbitration claim. The questionnaire's format is designed to determine all relevant information required in the evaluation of a client's claim for damages. The information requested will be required when a claim is filed under the FINRA arbitration discovery procedures under Rule 99-90. The information provided for the **Securities Arbitration Claim Questionnaire** is strictly confidential and protected as an attorney client matter.

In addition to the requested documentation below, a **Case Facts Summary** will be required to provide pertinent facts relevant to your securities arbitration claim.

Please provide the following Documents to the Firm:

- Brokerage Account Statements for Account(s) at Issue (opening until present)
- Brokerage Account Trade Confirmations for Account(s) at Issue
- Tax returns (Form 1040, Schedules B, D, E) filed (3 years prior to opening of account at issue until present).
- Personal Net Worth Statement
- Personal Resume for Accountholders
- Any Trust, Corporate or Partnership Powers Concerning Accounts at Issue
- Any Power of Attorney Designations Concerning Accounts at Issue
- Other Brokerage Account Statements (3 years prior to opening of account at issue until present).
- Annuity & Life Insurance Policy Statements (3 years prior to opening of account at issue until present).
- Employer Sponsored Retirement Plan Current Account Statements (ESOP, 401(k), TSA).
- Any records of communication (letters, e-mails, etc.) between Financial Advisor and yourself.
- Any presentations provided by the Financial Advisor, including all recommendations and analyst reports.
- List of individuals you have communicated with (written, electronic or verbal) at the brokerage firm.
- List of personal advisors who have knowledge of activities in the investment accounts at issue.

Case Facts Summary

The following questions pertain to information about the account history concerning your financial advisor relationship, such as representations made, your reliance upon representations made and the failure of your financial advisor to meet your expectations:

- 1) Client Contact Information (Name, Address, Phone)

- 2) Financial Advisor Contact Information (Firm Name, Advisor Name, Address, Phone)

- 3) How did you meet your Financial Advisor (FA)?

- 4) When was the account opened?

- 5) Why did you decide to open an account with the FA?

- 6) How did he describe the investment strategy that he would employ?

- 7) To what extent did you understand the investment strategy?

- 8) What were your investment objectives for the account (e.g. Income, Growth, Trading Profits, Speculation)?

- 9) What was your stated risk tolerance (e.g. conservative, moderate, aggressive)?

- 10) What percentage of your total financial assets do the investment accounts at issue represent?

- 11) What specific securities are at issue?

- 12) What percentage do securities at issue represent in relation to the total value of the combined account assets held with brokerage firm?

- 13) Do you hold the same securities at issue with outside brokerage account?

- 14) Did your FA recommend the securities at issue?

- 15) When did you first purchase the securities at issue (month/year)?

- 16) Percentage of securities held in account was purchased at your direction?

- 17) How much did you lose in the securities at issue?

- 18) Are your investment losses realized or unrealized?

- 19) Why do you think you lost money?

- 20) When did you first notice the losses were greater than expected?

- 21) When did your FA recommend that you sell the securities at Issue?

- 22) When did you first tell your FA that you were concerned about the losses?
- 23) How did your FA respond?
- 24) Do you still own the securities that are at issue?
- 25) Where are they presently held?
- 26) If you were advised to sell the securities today, would you?
- 27) Was margin used in your account?
- 28) Were securities purchased through use of margin?
- 29) Was margin used to purchase items for personal consumption?
- 30) During your lifetime, what was the biggest investment gain you realized?
- 31) During your lifetime, what was the biggest investment loss you realized?
- 32) How do you rate your level of investment sophistication on a scale of 1 to 10 (10 = highest)?
- 33) How many years have you invested in securities (i.e. stock, bonds and mutual funds)?
- 34) Are there any estate planning or tax considerations, which were discussed with the FA concerning the manner in which your assets are invested?

35) Did you discuss with the FA any major expenditure which would require liquidation of part or all of your account assets?

36) Are there any special considerations that you discussed which may affect the manner in which the assets are to be managed?

37) Additional Comments

Acknowledgment Regarding Statutes of Limitation/Repose

Please note the facts related to investment decisions concerning your securities arbitration claim are time-sensitive and require your immediate attention. The filing of a securities arbitration claim is subject to time limitations which may restrict your ability to recover damages. Claims for advice given or investments purchased more than six (6) years ago may be barred by the eligibility rules of the arbitration forum where these matters are heard. In addition your claims may be subject to various state and federal statutes of limitation and repose. Although there are legal theories that could tell otherwise applicable statutes of limitation, there can be no assurance that those theories will succeed or that your claims will not be time barred.

The applicable statutes of limitations or repose may already have expired, or may expire in so short a time as not to allow the firm sufficient time to review the case and timely file a claim. In exchange for the firm undertaking to review and evaluate your potential case under these circumstances, you specifically agree to release the firm and all of its attorneys and staff from any liability related to any issues involving statutes of limitation or repose.

Acknowledged and Accepted

Name _____

Date _____

Email a copy of this form to investorclaims@stockmarketlosslawyer.com and save a copy for your records.