

DISCOVERY RESPONSE FORM

Please gather the following documents and send them to us as soon as possible. Please also **return this form along with your documents**, indicating for each item whether: (1) you have enclosed all the responsive documents you have; (2) you do not have any documents responsive to that request; (3) you have already sent us every responsive document to that request that you had.

We do not need for you to explain why you may or may not have certain documents. All that we need to know is whether or not you have the requested documents and if you have already sent them to us. If you feel your response needs clarification, please use the space provided for comments.

(1) Tax Returns (individually and for any company under your control) for the past 6 years

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

(2) Financial Statement of Assets/Liabilities (if you have one)

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

(3) Copies of all documents you received from the Respondent (including opening account agreements, account statements, confirmations, correspondence, etc.)

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

- (4) Copies of all documents you received from the investment sponsor (i.e., the investment itself, not the brokerage firm)

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

- (5) Account Statement and confirmations for any accounts maintained at other brokerage firms

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

- (6) Any notes kept by you regarding your investments with Respondent

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

- (7) Any complaints filed with Respondent or FINRA regarding your investments with Respondent

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

(8) Any previous complaints filed involving securities matters

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____

(9) Copy of your resume(s) or documents sufficient to show your education and employment background

RESPONSE: ☐ I am enclosing all of the documents I have for this request.

☐ I have already sent you all of the documents I have for this request.

☐ I do not have any documents for this request.

Comment: _____
