

# Investor Statement



## Illinois Secretary of State Securities Department

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800-628-7937

**By completing this statement you will be assisting the Illinois Securities Department with the inquiry of a Company, Dealer, Investment Advisor, etc.  
The information received will enable the Securities Department to conduct a more accurate inquiry.**

### INVESTOR INFORMATION:

Name: \_\_\_\_\_ Age: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Home Telephone Number: \_\_\_\_\_ Work Telephone Number: \_\_\_\_\_

Please indicate the most convenient day to be contacted:

- Monday
- Tuesday
- Wednesday
- Thursday
- Friday

Please indicate the most convenient time and place to be contacted:

- Work (indicate time): \_\_\_\_\_
- Home (indicate time): \_\_\_\_\_

### INQUIRY REFERENCE TO:

Name (Company, Firm/Dealer, Investment Advisor, Operator, Driller or Individual): \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Name, Title/Position, Address and Telephone Number of first person you dealt with: \_\_\_\_\_

### CONTACT INFORMATION:

Did you know the person who contacted you prior to the sale?

- Yes
- No

Did the salesperson come to your home?

- Yes
- No

Did you go to the firm's place of business?

- Yes
- No

Did you meet the salesperson away from the firm's place of business (such as a convention, your business, restaurant or other location)?

- Yes (indicate other location): \_\_\_\_\_
- No

Did you receive a telephone call from the firm?

- Yes
- No

Did you call the firm?

- Yes
- No

Did you receive information in the mail?

- Yes
- No

Did you respond to a radio, television or newspaper advertisement?

- Yes
- No

**DESCRIBE SECURITY PURCHASED OR OFFERED:**

Common Stock Name: \_\_\_\_\_

Describe Promissory Notes or Investment Contract: \_\_\_\_\_

Describe Bonds or Debentures: \_\_\_\_\_

Limited Partnership Interests:

- Yes
- No

Fractional undivided interest in oil, gas or other mineral leases:

- Yes
- No

Describe other types of securities: \_\_\_\_\_

Number of notes/shares purchased and amount paid: \_\_\_\_\_

Date of transaction or date agreement was signed: \_\_\_\_\_

To whom was payment given or sent: \_\_\_\_\_ How was payment sent (mail, courier, UPS, etc.): \_\_\_\_\_

**FORM OF PAYMENT:**

- Cash
- Credit Card
- Loan
- Promissory Note
- Check (indicate date check was cancelled and check number): \_\_\_\_\_
- Other form of payment (please specify): \_\_\_\_\_

**MISCELLANEOUS:**

Have you filed an inquiry or complaint with the company, firm, dealer or investment advisor?

- Yes
- No

If yes, indicate Name, Address and Telephone Number of Person or Agency and Date: \_\_\_\_\_

\_\_\_\_\_

