

## Alternative Investment Suitability Questionnaire

This form is required for each initial and subsequent purchase of an alternative product. All information must be completed in order to be considered for transaction approval. Alternative investments typically include Non-Traded REITs, Equipment Leasing, Oil & Gas, Hedge Funds, 1031 Exchanges.

### Account Information

Muriel Siebert & CO., LLC. # \_\_\_\_\_ (when Applicable)

Account Owner's Name	Date of Birth
Joint Owner's Name	Date of Birth
Total Number of Years of Overall Investment Experience	Years of Experience in Alternative Products
Annual Income (from all sources) \$	Net Worth (excluding primary residence, autos, etc.) \$
Total Net Worth (all assets including real estate, minus all outstanding liabilities, such as mortgage & loans) \$	
Accredited Investor:      No      Yes	

### Investment Profile

<b>Investment Objectives</b>			
( Check One ) See attached form supplement for definitions regarding investment objective.			
Income	Growth & Income	Long Term Growth	Short Term Growth
Trade Date of this Transaction: _____			
This Transaction was:      Solicited      Unsolicited			
Name of Investment Sponsor		Name of Investment Product	
Date of Prospectus		Date of Prospectus Delivery to Client	

Is this an additional investment into this product for this client?      No      Yes

If Yes to above, list the amount currently invested in this product:

Amount of this transaction:      1. \$ \_\_\_\_\_

Total amount invested in this product (line 1 + 2):      2. \$ \_\_\_\_\_

Total amount currently invested in other Alternative Investments:      3. \$ \_\_\_\_\_

Total amount invested in all Alternative Investments (Line 3 + 4):      4. \$ \_\_\_\_\_

Total percentage of Net Worth invested in all Alternative Investments:      5. \$ \_\_\_\_\_

Source of funds: \_\_\_\_\_ CDSC Fee (if applicable): \$ \_\_\_\_\_

Please describe in detail why this transaction is suitable for the client: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Client Acknowledgment** (all registered account holders or authorized agent on the account must initial):

☐ ☐ I/We hereby acknowledge, understand and agree to the above.

- A. Receipt of prospectus or offering memorandum. I /We understand that it is my/our responsibility to read the prospectus and all other offering materials prepared by the investment sponsor thoroughly and to understand them prior to investing.
- B. I/We are relying on the information presented in the prospectus or offering memorandum, and I/we am/are aware that past performance is no guarantee of future results. I/We understand the characteristics, risk factors, the objectives, and the sales charges for this investment.
- C. Investment Switch/Replacement: If my/our representative did sell me the previous product, I/we understand that my representative was compensated for selling that product and will be compensated for my/our purchase of this new product.
- D. I/We understand that the current distribution yield, if any, is not guaranteed, and that this is not a "fixed income" product. Dividends and distributions may be: reduced, paid out in stock instead of cash, or even cease altogether, depending on the financial health of the investment. I/We understand that the shares may be re-priced in the future, at a lower amount than what I/we purchased them for, depending on the value fluctuations of the underlying holdings within the specific investment program.
- E. Taxes: I/We understand that tax laws could change and affect the tax treatment of this investment. I/We have been advised to consult with my/our own tax professional to determine the tax treatment of this investment for my/our situation.
- F. Suitability: I/We meet the suitability requirements for this investment. This investment is not disproportionate in relation to my/our overall investment portfolio and is consistent with my/our investment objectives and overall financial situation. I/We understand this investment involves risk and that I/we could lose our entire investment.
- G. Liquidity: I/We understand this is a long-term investment with an indefinite holding period with no or very limited liquidity. If a
- H. Control: I/We understand that the investment sponsor is responsible for carrying out the business plan for this venture and the success or failure of this venture is dependent on the investment sponsor. I/We understand that MURIEL SIEBERT & CO., LLC. is acting as a broker only, is not affiliated with the investment sponsor, does not participate in or influence in any way the performance of this venture, and that MURIEL SIEBERT & CO., LLC. is not responsible for the accuracy of any representations or statements made in the prospectus or offering memorandum.
- I. Indemnity: I/We agree to indemnify and hold harmless MURIEL SIEBERT & CO., LLC. and any person controlling or under common control with it from and against any cost, liability, or expense arising out of or connected with this investment.
- J. Certification: I/We certify that all of the information provided on this form is true, correct, and complete including my financial information. I/We agree to notify our financial advisors or any significant changes in our financial information in the future.
- K. I/We understand and agree to the fees and costs associated with the purchasing and selling of this investment.

**Client Acknowledgement** (all registered account holders or authorized agent on the account must initial):

☐ ☐

I/We hereby acknowledge, understand and agree to items A through K above.

## Definitions of an Accredited Investor



SEC's definition of an accredited investor is put forth in Rule 501 of Regulation D.


To be an accredited investor at the individual level, a person must have an annual income of \$200,000, or \$300,000 on joint basis, for the past two consecutive years and be able to demonstrate that this income level will continue. An individual can also be considered an accredited investor if he or she has a net worth exceeding \$1 million, either individually or jointly with his spouse.

## Definitions of Investment Objective

- **Income:** An investment approach by which an investor generally seeks current income over time.
- **Growth & Income:** An investment approach by which an investor generally seeks capital gains through buying and selling securities over a period of time and also seeks current income over time.
- **Long-Term Growth:** An investment approach by which an investor generally seeks capital appreciation through buying and holding securities over an extended period of time.
- **Short-Term Growth:** An investment approach by which an investor generally seeks short-term capital gains through buying and selling securities over a short period of time.

**Authorization and Signatures.** By signing below, I/we hereby verify the accuracy of the information contained herein and confirm that the product suitability requirements are met.

Client Signature	Print Name	Date
		
Joint Account Signature	Print Name	Date
		

Financial Advisor Signature	Print Name	Date	RR#
			
Registered Principal Signature	Print Name	Date	
