

# INVESTOR QUESTIONNAIRE

RE 870 (Rev. 12/12)

- Initial: \_\_\_\_\_ (Date Completed)  
 Annual: \_\_\_\_\_ (Date Completed)  
 No material changes: Check here and sign the Certifications on page two.

This questionnaire is intended to assist brokers in determining an investor's suitability for trust deed and real property sales contract investments as required by Business and Professions Code Section 10232.45.

**NOTE: The California Department of Real Estate does not endorse or offer any opinions regarding the suitability of any proposed or existing real estate investments. A guide to trust deed investments entitled "Trust Deed Investments – What You Should Know!!" (RE35) is available on the Department's web site at [www.dre.ca.gov](http://www.dre.ca.gov) under the Publications menu.**

## INVESTOR

INVESTOR NAME

CO-INVESTOR NAME

If the investor is an entity, this questionnaire should be completed and signed on the entity's behalf by the natural person with the authority to invest the entity's funds.

NAME OF ENTITY

TYPE OF ORGANIZATION (Limited Liability Company, Retirement Plan, Pension Plan, Partnership, etc.)

NAME OF PERSON COMPLETING THIS QUESTIONNAIRE

TITLE

## GENERAL INFORMATION

ADDRESS

ADDRESS

TELEPHONE NUMBER

TELEPHONE NUMBER

DATE OF BIRTH

DATE OF BIRTH

## EMPLOYMENT INFORMATION

CURRENT POSITION:

TITLE

RETIRED

LENGTH OF TIME IN POSITION

Years

CURRENT POSITION:

TITLE

RETIRED

LENGTH OF TIME IN POSITION

Years

PREVIOUS POSITIONS/PROFESSIONS

PREVIOUS POSITIONS/PROFESSIONS

## EDUCATION

HIGHEST YEAR COMPLETED

HIGHEST YEAR COMPLETED

YEAR OF GRADUATION

YEAR OF GRADUATION

DEGREE/DIPLOMA

DEGREE/DIPLOMA

## FINANCIAL SITUATION

ESTIMATED ANNUAL INCOME

Under \$50,000

\$50,001 to \$100,000

\$100,001 to \$200,000

\$200,001 to \$300,000

\$300,001 to \$500,000

\$500,001 to \$750,000

\$750,001 to \$1,000,000

\$1,000,001 to \$5,000,000

\$5,000,001 to \$10,000,000

Over \$10,000,000

ESTIMATED NET WORTH (Do not include the value of a principal residence, home furnishings, or automobiles.)

Under \$50,000

\$50,001 to \$100,000

\$100,001 to \$200,000

\$200,001 to \$300,000

\$300,001 to \$500,000

\$500,001 to \$750,000

\$750,001 to \$1,000,000

\$1,000,001 to \$5,000,000

\$5,000,001 to \$10,000,000

Over \$10,000,000

ESTIMATED LIQUID ASSETS (Cash in bank, readily marketable stocks or bonds)

Under \$50,000

\$50,001 to \$100,000

\$100,001 to \$200,000

\$200,001 to \$300,000

\$300,001 to \$500,000

\$500,001 to \$750,000

\$750,001 to \$1,000,000

\$1,000,001 to \$5,000,000

\$5,000,001 to \$10,000,000

Over \$10,000,000

SOURCE OF INCOME AND CASH RESOURCES

**FINANCIAL SITUATION (continued)**

LIQUIDITY NEEDS – Select one of the following:

- Primary need is liquidity/cash
- Need some liquidity for possible quick access to cash
- No liquidity needed; have other sources of cash

**INVESTMENT EXPERIENCE**

Report investment experience in years:

- |   |   |  |  |
|---|---|--|--|
| <input type="checkbox"/> No investment experience |   |  |  |
| <input type="checkbox"/> Mutual Funds _____       | <input type="checkbox"/> Annuities _____        | <input type="checkbox"/> Bonds _____   |  |
| <input type="checkbox"/> Stocks/Shares _____      | <input type="checkbox"/> Notes _____            | <input type="checkbox"/> Options _____ |  |
| <input type="checkbox"/> Real Estate _____        | <input type="checkbox"/> Other (specify): _____ |  |  |

INVESTMENT EXPERIENCE IN NOTES SECURED BY TRUST DEEDS OR REAL PROPERTY SALES CONTRACTS

- Months  Years

NUMBER OF PREVIOUS INVESTMENTS IN NOTES SECURED BY TRUST DEEDS OR REAL PROPERTY SALES CONTRACTS

OTHER INVESTMENTS CURRENTLY HELD BY THE INVESTOR

**OTHER CONSIDERATIONS**

OTHER EDUCATIONAL, BUSINESS, OR FINANCIAL EXPERIENCES, INVESTMENT CONSIDERATIONS, FINANCIAL SITUATIONS, TRAINING (INCLUDING SEMINARS, CONTINUING EDUCATION, ETC.), OR PROFESSIONAL LICENSES AND CERTIFICATIONS

**INVESTMENT OBJECTIVE**

OBJECTIVE OF INVESTOR(S) FOR PURCHASING OR INVESTING IN TRUST DEEDS OR REAL PROPERTY SALES CONTRACTS

**INVESTOR ACKNOWLEDGEMENT**

*I certify (or declare) that the information provided in this questionnaire is true and correct to the best of my knowledge. I am providing this information for the purpose of determining whether or not trust deed or real property sales contract investments are suitable for me. I understand that the broker may request an annual update of this information and that the broker may request additional information regarding my suitability as an investor for each specific transaction. I acknowledge that investments in notes secured by trust deeds and real property sales contracts are subject to risk of loss of principal and monthly income.*

INVESTOR SIGNATURE	DATE	CO-INVESTOR SIGNATURE	DATE
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**BROKER ACKNOWLEDGEMENT**

*I certify (or declare) that I have reviewed this completed questionnaire and that I will use the information herein to aid in meeting my responsibility to make reasonable efforts to determine that proposed investments are suitable and appropriate for the investor(s) above based on the information provided.*

NAME OF BROKER	LICENSE ID NUMBER	BROKER'S REPRESENTATIVE	LICENSE ID NUMBER
BROKER OR DESIGNATED REPRESENTATIVE SIGNATURE			DATE

A broker shall maintain records of the information used to determine that an investment is suitable and appropriate for each investor/purchaser for at least four years.