

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 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	CURRENT POSITION:	TITLE
	RETIRED		RETIRED
	LENGTH OF TIME IN POSITION Years		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:

No investment experience

Mutual Funds

Stocks/Shares

Real Estate

Annuities

Notes

Other (specify):

Bonds

Options

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 HARMON FINANCIAL CORP.	LICENSE ID NUMBER 0491007	BROKER'S REPRESENTATIVE ELIZABETH HARMON	LICENSE ID NUMBER 01182193
BROKER OR DESIGNATED REPRESENTATIVE SIGNATURE <i>Elizabeth Harmon</i>			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.