**Investor Questionnaire**

Please review each page of this questionnaire before beginning to complete it. If you have obtained this questionnaire from the Receiver’s website, the Receiver will assign an investor number to you upon receipt of your completed questionnaire. If you have any questions regarding the information requested in the questionnaire, please contact the Brianna Dinmore at bdinmore@conradobrien.com. Please return your completed questionnaire via email to bdinmore@conradobrien.com.

**Investor Identification**:

Name: Telephone No.: E-mail Address:

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

Are you represented by an attorney in connection with this matter? Y\_\_\_ N\_\_\_\_. If yes, please provide your attorney’s contact information:

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*If any of the foregoing information changes, please notify us of the change. This information will be used to contact you.*

Please respond as appropriate to the following inquiries:

\_\_\_\_ All of my documentation was provided previously to (name) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, at (circle one):

SEC FBI Postal Inspection Services or (other) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ on (date) \_\_\_\_\_\_\_\_\_\_\_\_.

The information was provided by: \_\_\_\_ me \_\_\_\_ Someone else (who?) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_I have not provided my documentation to any investigating authority.

**YOUR ACCOUNTS WITH RECEIVERSHIP PARTIES[[1]](#footnote-1)**

Please provide the name and contact information of the person or persons who provided information to you concerning investment(s) with or investment services provided by Brenda Smith, or any of the Receivership Parties **beforeyou invested or contracted for investment services** with Ms. Smith or any of the Receivership Parties.

Name:

Address:

Telephone Number(s):

E-mail Address(es):

Name:

Address:

Telephone Number(s):

E-mail Address(es):

Describe the information provided and the effect, if any, that it had on your investment decision(s). (please attach additional pages as needed):Please provide the name and contact information of the person or persons who provided information to you concerning investment(s) with or investment services provided by Brenda Smith, or any of the Receivership Parties **afteryou invested**, and/or with whom you communicated after you invested, including any provider of general information, and any provider of information specific to your particular investment(s). Specify what you were told after your investment(s), both generally about the investment(s) and specific to your account. Include with this questionnaire copies of any materials provided to you, including monthly statements and documentation of withdrawals and redemptions, unless you have already provided such information to investigating authorities and indicated so on page 1 of this questionnaire.

Name:

Address:

Telephone Number(s):

E-mail Address(es):

Name:

Address:

Telephone Number(s):

E-mail Address(es):

Describe the information provided to you and the effect, if any, that it had on your investment decision(s). (Use the back of this page and additional pages as needed):For your account(s) held or managed by Brenda Smith, or any of the Receivership Parties, please identify the source of any payments made to you, including the individual or entity that provided the payment; the name on the payor account and the account number; and the financial institution from which the payment originated and the account number. Include with this questionnaire any and all documentation of payments made to you.

Payment provider:

Payor account name:

Payor account number:

Originating financial institution and account number:

Payment provider:

Payor account name:

Payor account number:

Originating financial institution and account number:

Payment provider:

Payor account name:

Payor account number:

Originating financial institution and account number:

**Additional Information:**

Please provide any additional information regarding your investment(s) and interactions with Brenda Smith or the Receivership Partiesthat you think would help the Receiver recover assets for the benefit of the Receivership estate. *(Before responding to this request, please review page 6 of this questionnaire and the charts that follow to avoid providing duplicative information in this space)*.

**Investment Detail for Accounts Held or Managed by Brenda Smith and/or the Receivership Parties:**

**For each account over which you exercise control**, please provide the information requested in the charts on the following pages, using a separate chart for each account. Please photocopy the attached charts before completing them in case you need additional charts**. If you have not already done so, provide to us all documentation that you have concerning your investment(s), including the check (front and back) or other documentation for the initial investment, evidence of payment(s) and/or subsequent investments (front and back of checks), account statements, solicitation documents and correspondence, and evidence of money received.**

**If you invested by money order, bank check, wire transfer, or cashier’s check,** provide a copy of that check (front and back), wire transfer documentation, and/or money order receipt. This information is needed because the records that we have do not always **clearly** indicate the **original** source of payments made by these methods. Unless you provide this information to us, we may have difficulty confirming payments you made by these methods.

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| **Account No.** | **Name and Address of Account (as set forth on Account Statements). Please also note here if the account is for the benefit of someone else and identify the beneficiary.** | **Date**  **(Include date of each principal investment, fee payment, or payment receipt, as appropriate)** | **Amount Invested (List separately, for each investment of principal, only the principal invested, *not* interest or rollover amounts reflecting interest)** | **Fees paid to Brenda Smith or Receivership Parties specific to your account(s), such as redemption fees (if any)** | **Method of Payment**  **(E.g. Bank Check, Cashier’s Check, Money Order, Wires, Personal Check, Cash, . . . )** | **Amount(s) received from Brenda Smith and/or Receivership Parties (withdrawals, redemptions, loans, gifts, or otherwise, in any form)** |
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| **Account No.** | **Name and Address of Account (as set forth on Account Statements). Please also note here if the account is for the benefit of someone else and identify the beneficiary.** | **Date**  **(Include date of each principal investment, fee payment, or payment receipt, as appropriate)** | **Amount Invested (List separately, for each investment of principal, only the principal invested, *not* interest or rollover amounts reflecting interest)** | **Fees paid to Brenda Smith or Receivership Parties specific to your account(s), such as redemption fees (if any)** | **Method of Payment**  **(E.g. Bank Check, Cashier’s Check, Money Order, Wires, Personal Check, Cash, . . . )** | **Amount(s) received from Brenda Smith and/or Receivership Parties (withdrawals, redemptions, loans, gifts, or otherwise, in any form)** |
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| **Account No.** | **Name and Address of Account (as set forth on Account Statements). Please also note here if the account is for the benefit of someone else and identify the beneficiary.** | **Date**  **(Include date of each principal investment, fee payment, or payment receipt, as appropriate)** | **Amount Invested (List separately, for each investment of principal, only the principal invested, *not* interest or rollover amounts reflecting interest)** | **Fees paid to Brenda Smith or Receivership Parties specific to your account(s), such as redemption fees (if any)** | **Method of Payment**  **(E.g. Bank Check, Cashier’s Check, Money Order, Wires, Personal Check, Cash, . . . )** | **Amount(s) received from Brenda Smith and/or Receivership Parties (withdrawals, redemptions, loans, gifts, or otherwise, in any form)** |
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| **Account No.** | **Name and Address of Account (as set forth on Account Statements). Please also note here if the account is for the benefit of someone else and identify the beneficiary.** | **Date**  **(Include date of each principal investment, fee payment, or payment receipt, as appropriate)** | **Amount Invested (List separately, for each investment of principal, only the principal invested, *not* interest or rollover amounts reflecting interest)** | **Fees paid to Brenda Smith or Receivership Parties specific to your account(s), such as redemption fees (if any)** | **Method of Payment**  **(E.g. Bank Check, Cashier’s Check, Money Order, Wires, Personal Check, Cash, . . . )** | **Amount(s) received from Brenda Smith and/or Receivership Parties (withdrawals, redemptions, loans, gifts, or otherwise, in any form)** |
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1. “Receivership Parties” include the following entities: Broad Reach Capital, LP; Broad Reach Partners, LLC; Bristol Advisors, LLC; BA Smith & Associates LLC; Bristol Advisors LP; CV Brokerage, Inc; Clearview Distribution Services LLC; CV International Investments Limited; CV International Investments PLC; CV Investments LLC; CV Lending LLC; CV Minerals LLC; BD of Louisiana, LLC; TA 1, LLC; FFCC Ventures LLC; Prico Market LLC; GovAdv Funding LLC; Elm Street Investments, LLC; Investment Consulting LLC; and Tempo Resources LLC [↑](#footnote-ref-1)