

**QA<sup>3</sup> Financial Corp.**  
**Limited Partnership (LP) & Direct Participation Program (DPP) Information Form**

Client(s) Name(s) \_\_\_\_\_ Representative(s) \_\_\_\_\_

This transaction is:  Solicited  Unsolicited

New Business  Addition to existing account (Acct. #) \_\_\_\_\_

Account Type:  Non-Qualified: \_\_\_\_\_  Qualified: \_\_\_\_\_

I. LP / DPP being purchased \_\_\_\_\_ Purchase Amount \$ \_\_\_\_\_

II. Does LP & DPP investments (including this purchase) account for 15% or more of the client's net worth (exclusive of primary residence)?  Yes  No If yes, please provide detailed reasons for purchase:

III. Source of funds for this purchase:  New Money (check)  Sale of Stock(s)/Bond(s)  CD(s)  
 Liquidation of Mutual Fund(s)  Annuity Surrender  Life Insurance Surrender  Other \_\_\_\_\_

IV. Applicable Prospectus and/or Offering Circular dated \_\_\_\_\_ presented to client on: \_\_\_\_\_.

**If a Fixed or Variable Contract is being surrendered to fund LP / DPP investment:**

Contract type:  Variable Annuity  VUL  UL  Whole Life  Fixed Annuity (interest rate) \_\_\_%  CD

Surrendered Co. Name \_\_\_\_\_ Product Name \_\_\_\_\_ Current Value \$ \_\_\_\_\_

Contract # \_\_\_\_\_ Issue Date \_\_\_\_\_ Surr. Charge \$ \_\_\_\_\_ = Surr. Charge \_\_\_%

MEA (Mortality, Expense, Admin.) Fees: Fixed \$ \_\_\_\_\_/year or \_\_\_\_\_% of contract value/year

Are you the Representative(s) listed on the surrendered contract?  Yes  No

**If Liquidating a Mutual Fund to fund LP / DPP investment:**

Name of Mutual Fund(s) being liquidated: \_\_\_\_\_

Class of fund(s) liquidated:  A shares  B shares (years held \_\_\_ yrs)  C shares  Other share class \_\_\_\_\_

CDSC of \_\_\_\_\_% on liquidation (B or C shares only)

Are you the Representative(s) listed on the liquidated Mutual Fund(s)?  Yes  No

*If surrendering a fixed or variable contract(s), or liquidating mutual fund(s), explain in depth all reasons for transaction:*

Client Signature: \_\_\_\_\_

**By signing below you acknowledge the following:**

**I have received, from my Representative, and reviewed the prospectus and/or offering circular pertaining to the LP / DPP in which I am investing.** I meet the suitability requirements as set forth in the prospectus or offering circular. I understand LPs / DPPs are subject to investment risk, including possible loss of principal amount invested. I understand that, due to a lack of liquidity, I may incur a substantial loss in principal if I resell or dispose of the units. I am fully aware of the risks of investing in a LP / DPP and believe this investment meets my investment objectives. I understand that if I have surrendered a fixed or variable contract, to purchase the LP / DPP investment, I may have incurred a surrender charge on that contract. I also understand that if I liquidated mutual fund shares, to purchase the LP / DPP investment, I may have incurred a CDSC on the mutual fund shares. I certify by signing below that the above information is correct to the best of my knowledge.

I understand the Registered Representative and QA<sup>3</sup> will receive a commission for this transaction.

Client signature \_\_\_\_\_ Date \_\_\_/\_\_\_/\_\_\_

Joint client signature \_\_\_\_\_ Date \_\_\_/\_\_\_/\_\_\_

**I ATTEST THE ABOVE INFORMATION IS CORRECT TO THE BEST OF MY KNOWLEDGE.**

Representative(s) Signature \_\_\_\_\_ Date \_\_\_/\_\_\_/\_\_\_

QA<sup>3</sup> Designated Signature \_\_\_\_\_ Date \_\_\_/\_\_\_/\_\_\_

Please Fax completed form to: 402-964-3725 Alternate Fax: 402-964-3707