

**PRELIMINARY QUESTIONNAIRE FOR KEVIN J. STEELE INVESTORS**

**After completing this form, please send copies of any documents relating to your investment, including copies of all cancelled checks (front and back), wire transfer receipt or bank drafts, statements, etc., to the Commodity Futures Trading Commission, 525 W. Monroe Street, Suite 1100, Chicago, IL 60661 to the attention of Mary Beth Spear, Futures Trading Investigator.**

1. Name: \_\_\_\_\_

Home Phone # ( ) \_\_\_\_\_ Bus. Phone # ( ) \_\_\_\_\_

Street: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_ Country: \_\_\_\_\_

E-mail: \_\_\_\_\_ Occupation: \_\_\_\_\_

2. How did you first learn of this investment?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. I invested the following amounts on the date(s) indicated in the name of

\_\_\_\_\_ :

DATE	AMOUNT OF INVESTMENT IN U.S. DOLLARS	METHOD OF INVESTMENT (check, wire, bank draft, cash)	NAME OF PERSON OR ENTITY INVESTMENT SENT	NAME OF FINANCIAL INSTITUTION FUNDS SENT TO	BANK ACCOUNT NUMBER FUNDS SENT TO
<b>TOTAL INVESTMENT:</b>					

4. I made withdrawals from my investment as follows:

DATE	AMOUNT WITHDRAWN IN U.S. DOLLARS	METHOD RECEIVED RETURN OF FUNDS INVESTED (check, wire, bank draft, cash)	NAME OF PERSON OR ENTITY INVESTMENT RETURNED FROM	NAME OF FINANCIAL INSTITUTION FUNDS RETURNED FROM
<b>TOTAL WITHDRAWAL:</b>				

5. “**TOTAL**” INVESTMENT minus “**TOTAL**” WITHDRAWAL in U.S. Dollars:

<b>TOTAL INVESTMENT:</b>	
<b>MINUS TOTAL WITHDRAWAL:</b>	
<b>BALANCE OF INVESTMENT:</b>	

6. I received monthly trading statements for each month of my investment from \_\_\_\_\_ via \_\_\_\_\_ (U.S. Mail, facsimile, email).

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print name

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### **PRIVACY ACT STATEMENT (7 U.S.C. § 552a)**

The Commission has the authority to collect information and evidence pertinent to the effective enforcement of the Commodity Exchange Act (“Act”) and the Commission’s Regulations. 7 U.S.C. §§ 2, 5, 9, 12(a), 13a-1, 15. It may also collect information and evidence relating to futures and options matters on behalf of foreign authorities. 7 U.S.C. § 16(f) (1).

The Commission’s principal reason for soliciting this information from you is to monitor and/or enforce compliance with the Act and Regulations, or to assist foreign authorities in gathering information relevant to their responsibilities. There are no direct effects or sanctions for failing to provide any or all of the requested information.

Any information you do provide, however, must be truthful. A person who is found to have knowingly and willfully submitted false, fictitious, and/or fraudulent statements to the Commission may be fined up to \$10,000 and/or imprisoned up to five years for such conduct. 18 U.S.C. § 1001; 17 C.F.R. § 11.6(b).

The information you provide may be used in the routine operation of the Commission, which includes law enforcement, review of legislative and regulatory proposals, regulation of the commodity futures markets, and review of reports and documents filed with the Commission. Specifically, the Commission may use the information obtained from this survey in any administrative or civil proceeding in which it is a party, or any member of the Commission or its staff participates as a party. It may also provide the information to other state and federal agencies, and foreign authorities.