



Compliance – Customer Identification Program

Project Name: \_\_\_\_\_

The purpose of this questionnaire is to solicit certain information which is required by FINRA and defined in FINRA Rule 2111(a) regarding your financial status to determine whether you are an “Accredited Investor” as defined under applicable federal and state securities laws, and otherwise meet the suitability criteria established by the Company for this investment. *This questionnaire is not an offer to sell securities.* Your answers on all forms will be kept confidential. You agree, however, that this questionnaire may be shown to such persons as the Company deems appropriate to determine your eligibility as an “Accredited Investor” or to ascertain your general suitability.

***Please answer all questions completely and execute the signature page***

1) Customer Name: \_\_\_\_\_ SS# \_\_\_\_\_ Date of Birth \_\_\_\_\_

2) Customer Address: \_\_\_\_\_

3) Valid Government Issued ID: \_\_\_\_\_ CLEARLY SCANNED AND EMAIL

4) Investor Profile & Suitability

- Investment Objective \_\_\_\_\_ Years of Investment Experience \_\_\_\_
- Do You Have Experience in Private Placement Investing?  Yes  No  N/A
- Risk Tolerance  High  Medium  Low
- Investment Time Horizon  Long Term (More than 5 yrs.)  Medium Term (5 to 1 yrs.)  Short Term (less than 1 yr.)
- Liquidity Needs  Long Term  Medium Term  Short Term
- Other Investments \_\_\_\_\_
- Financial Situation & Needs \_\_\_\_\_
- Tax Status \_\_\_\_\_

5) Accredited Investor Attestation: YES  NO

6) Executed Subscription Documentation YES  NO

7) Other Comment \_\_\_\_\_

Completed by: \_\_\_\_\_

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

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