

RAM Questionnaire

Client Account Name:
1. What month and year did you begin investing with David Ross / Ross Asset Management?
2. Did you have a prior relationship with Mr Ross (relatives, business associates, social) before investing? <input type="radio"/> Yes <input type="radio"/> No
If you had a prior relationship with Mr Ross, what was the nature of that relationship?
3. Were you referred to Ross Asset Management by an entity or person? <input type="radio"/> Yes <input type="radio"/> No
If you were referred to Ross Asset Management, please provide details of the referrer.
4. What experience do you have in investing?

5. Do you have any other types of investments outside of Ross Asset Management?

- Yes
- No

If you do have other types of investments, what are they?

6. What discussion did you have with Ross Asset Management in relation to management deeds and fees?

7. If fees were paid to Ross Asset Management - how was payment made and how often and did the fees change over the course of your investment?

8. When deciding to invest with Ross Asset Management were you presented with an application form to complete?

- Yes
- No

Are you able to provide FMA with a copy?

- Yes
- No

9. Do you have a signed copy of your management deed?

- Yes
- No

Are you able to provide FMA with a copy?

- Yes
- No

10. During your initial discussions, did Mr Ross ask you about your history or knowledge of investment, or industry experience?

- Yes
- No

If so please provide details

11. During your initial discussions, did Mr Ross ask you questions about your risk profile or risk tolerance?

- Yes
- No

What was your response to this?

12. During your initial discussions, did Mr Ross ask you questions about your stage of life and/or what you wanted from your investment?

- Yes
- No

13. During your initial discussions, did Mr Ross ask what other assets, income and liabilities you had?

- Yes
- No

14. Did Mr Ross ask for any confirmation about your financial status? For example net assets or annual gross income.

- Yes
- No

15. Were you advised there was a minimum investment amount required by Mr Ross / RAM?

- Yes
- No

If so what was it?

16. What name / entity were your funds deposited in?

17. How were your funds deposited into RAM? Please provide details of the account paid into.

18. Do you have bank records relating to your depositing activity with Ross Asset Management?

- Yes
- No

Are you able to provide copies?

- Yes
- No

19. Did Mr Ross ever ask you to invest more with Ross Asset Management?

- Yes
- No

If so please provide details

20. What did you expect Ross Asset Management to do with your money, or how did you expect your funds to be invested or managed?

Were your expectations met?

- Yes
- No

Please elaborate on how your expectations were or were not met

21. Did Mr Ross tell you what type of assets he invested in?

- Yes
- No

If so please provide details

22. What was your understanding of the custody arrangements for your investments?

23. Did Mr Ross ever indicate to you that you could expect to achieve a certain rate of return or profit on investments, or that he had historically achieved returns of any particular amount?

- Yes
- No

24. Did Mr Ross discuss how he would report to you on the funds invested by you?

25. What was your expectation of the reporting Ross Asset Management would undertake in regard to your funds under management?

26. How often did you have contact with Ross Asset Management?

27. Who at Ross Asset Management did you have contact with?

28. How did your contact with Ross Asset Management occur? For example in person, by telephone or by email.

29. How satisfactory was the contact you did have with Ross Asset Management?

- Satisfactory
- Not Satisfactory

Please state why it was or was not satisfactory

30. What was your understanding of the process for obtaining full or partial repayment of your investment?

31. Did you have any complaints with the way your funds were managed prior to Ross Asset Management going into receivership?

32. If you did have complaints, did you notify Ross Asset Management of these?

- Yes
- No

How was your complaint dealt with by Ross Asset Management and who dealt with the issue?

33. If you dealt with Ross Asset Management via email please supply the email address to which you sent your correspondence.

Funds Invested

1. Please state the actual amount invested in total

\$

2. Please state the actual amount withdrawn in total

\$

3. Do you currently have investments with Ross Asset Management?

- Yes
- No

4. If yes, what is the current value of your portfolio according to your latest Ross Asset Management statement?

\$

5. Did you make multiple deposits into Ross Asset Management?

- Yes
- No

6. If you did make more than one deposit into Ross Asset Management, what was the basis of your decision to do this?

7. Did you make any partial withdrawals from your fund?

- Yes
- No

8. If you did make partial withdrawals, how were the transactions arranged?

9. How did the transaction occur and was the process satisfactory?

10. Was there any delay in withdrawals and transfers into your account?

- Yes
- No

11. Do you hold any broker documentation in relation to your investment with Ross Asset Management?

- Yes
- No

12. Did you have any communication with brokers in relation to your investment with Ross Asset Management?

- Yes
- No

Who did you contact?

Thank you for taking the time to complete this questionnaire. We appreciate your assistance.