

**If any of this form is left blank, the transaction will not be processed, and paperwork will be returned to you for completion.**

**This product must be purchased within a brokerage account. Wealthscape must reflect a current suitability profile, including Investment Objective, Risk Tolerance and Time Horizon, plus approximate figures for Annual Income, Net Worth, Investable/Liquid Assets and Annual Expenses (ranges are NOT acceptable).**

**Client Name:**

**Account Number:**

**Product being Purchased:**

**Section 1 - Source of Funds (If liquidating more than one investment, please complete a new page for each investment liquidated)**

**1) What is the source of funds that is being used to purchase this investment?** (Annuity assets liquidated within the last 6 months should be considered an exchange/replacement)

- |                                                                                                |                                                                               |
|------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| <input type="checkbox"/> Securities other than annuities or insurance                          | <input type="checkbox"/> CD                                                   |
| <input type="checkbox"/> Full Exchange or Replacement of Annuity/Insurance contract            | <input type="checkbox"/> Inheritance/Gifts/Estate Assets                      |
| <input type="checkbox"/> Partial Exchange or Partial Liquidation of Annuity/Insurance contract | <input type="checkbox"/> Employer Sponsored Plan Rollover (401k, SIMPLE, SEP) |
| <input type="checkbox"/> Salary / Savings (Not Previously Invested Cash)                       | <input type="checkbox"/> Other - detail source _____                          |

**2) Name of specific investment product, fund or equity exited:**

**3) Date exiting product was originally purchased:**

**4) Is the source of funds coming from a sale/liquidation where you were the selling agent on the original product?**

☐ Yes ☐ No

**5) If this LLC/LP is funded from the liquidation of another investment product that is subject to a CDSC, what is the surrender charge that will be incurred?** ☐ No surrender charge ☐ 0.1%-2.99% ☐ 3.0-3.99% ☐ 4% or more

**6) If the funds are coming from the liquidation of another product and there is a CDSC of 3% or more, please explain why this is suitable.**

**Section 2 - Questions Regarding the LLC/LP being purchased**

**1) Amount of Investment:**

**2) Does the client anticipate needing principal from this investment in the next 7 years?** ☐ Yes ☐ No

**3) What percentage of the client's total liquid net worth will be in Non-Traded Investments AFTER this purchase?**

(Non-traded Investments are securities that are not traded on a securities exchange, and for which there is no secondary market. Ex: Non-Traded REIT, Non-Traded Closed-End Funds, Unlisted Limited Partnerships, LLCs) **INCLUDING TODAY'S PURCHASE.**

☐ 0-10% ☐ 11%-29% ☐ 30%-49% ☐ 50% or more

**4) Given the client's age, objective(s), time horizon, liquidity needs, etcetera, please explain how this product satisfies the client's needs.**

## Client Acknowledgement

I/We have read the offering memorandum/prospectus for this product in its entirety and have had the opportunity to research and ask my/our Financial Professional questions regarding the information received. I/We have sufficient knowledge and experience to independently evaluate the risks and merits of this investment, and to make an informed decision concerning this investment.

### GENERAL

- I/We understand and affirm that this investment is consistent with my risk tolerance and overall investment strategy.
- I/We understand that this investment is intended as a long-term investment. I/We understand that there is no secondary market for this investment, nor is this investment traded on any securities exchange, and that it is not likely that a secondary market will develop for this investment.
  - I/We understand that for a significant period of time after my initial investment I/we will not be able to redeem any portion of my/our investment for any reason.
  - I/We understand that throughout the investment period there will be significant restrictions on my ability to sell/transfer the units of my/our investment, and that I/we will be required to receive approval from the investment managers before reselling or transferring my investment units. I/we understand that even if I/we do receive approval to sell my/our investment units, I/we may not obtain full value for the units upon sale or redemption.
  - I/We understand that I/we may not have the opportunity to redeem my/our investment units until the fund is fully dissolved in accordance with the terms of the prospectus/offering memorandum.
- I/We understand that this investment offers limited diversification and may invest in only one property or a limited number of properties depending on the amount of funds raised, and that all of the risks associated with real estate ownership are associated with this investment, including the loss of principal.
- I/We are aware in the event of my/our death, our beneficiaries will inherit an illiquid investment.
- I/We represent that I/we am/are sophisticated and qualified as required by rule 506 of the sec regulation d, and that I/we have experience and sophistication in investing and that I/we are/am an “accredited investor” as defined in rule 501(a) of regulation D.
- I/We understand that Avantax is not involved in the selection of properties that are or will be included in this investment and Avantax has not inspected the properties. Investors will not have the opportunity to evaluate properties before they are acquired.

### COMPENSATION/FEES

- Avantax and my/our Financial Professional will be compensated for the sale of this company interest in addition to other companies and individuals affiliated with the company and this offering. I/We will review the applicable prospectus for specific information about the compensation paid.
- In addition to the commissions and other compensation disclosed in the applicable prospectus, Avantax may also receive additional compensation from company sponsors or affiliated companies that is not related to individual transactions, but instead is paid to support marketing, education and training services provided by Avantax. Sponsors that provide this support typically are permitted to attend Avantax sales conferences and get additional access to Avantax Financial Professionals. The amount of these payments are material.
- Avantax Financial Professional may separately receive reimbursement from company sponsors for training and educational meetings, conferences or client events, and may receive promotional items, meal or entertainment from product sponsors. I/We will consult with my/our Financial Professional for additional information about the company's reimbursement or compensation practices.

My/Our Financial Professional is an independent contractor of Avantax solely for purposes of conducting securities related activities. I/We acknowledge that Avantax does not supervise or take any responsibility for any such tax, accounting, or legal advice or services provided by my/our Financial Professional. I/We understand that since my Financial Professional is paid based on my/our investment, my/our Financial Professional may have a conflict of interest in rendering accounting, tax, or legal advice or services. I/We have weighed this conflict of interest and have knowingly decided to proceed despite such conflict(s).

### Client Signatures

I/We acknowledge review and approval and confirm the accuracy of all the information contained on all pages of this disclosure, and that my financial information listed on my/our brokerage account is up to date.

Name of Client	Signature	Date
Name of Client	Signature	Date

### Financial Professional Use Only

Financial Professional Signature:	Date:
Financial Professional Name (Printed):	FP Number:

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