

# //WealthForgeRegisteredRepresentativeRecommendationForm

Investor Name(s): \_\_\_\_\_

**Required for recommendations into 506b exempt offerings:** (please select one of the following)

- I have prior investment experience with this investor.  
 I have completed an investor qualification questionnaire for this investor as of: \_\_\_\_\_

1) **Investor Goals:** What does the investor want to gain from this investment(s) (Check all appropriate boxes)

- Preserve Capital  
 Income from Distributions Paid Out  
 Growth of Capital  
 Aggressive Growth of Capital  
 1031 Exchange  
 Other: \_\_\_\_\_

2) **List of Offerings Recommended to Investor:** List the offerings the Registered Rep presented as recommended options to the investor

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_

3) **Why Registered Rep Chose the Recommended Offerings:** What ultimately led the Registered Rep to recommending these to the investor (i.e. this is in line with investor's goal of growth of capital and is within their designated Time Horizon of 5-8 years).

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4) **Overconcentration in Alternative Investments:** If the investor has over 20% of their net worth invested in Alternative Investments (including this and any pending investments), explain why it is in the investor's best interest to maintain or increase such concentration.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5) \_\_\_\_\_ I certify that the information listed on the Investor Profile Form was obtained prior to making these recommendations. Further, I certify the information is correct and matches the representation of my sales practice contained in my disclosure within the Registered Representative Form BI.

\_\_\_\_\_  
Registered Rep Name

\_\_\_\_\_  
Registered Rep Signature

\_\_\_\_\_  
Date Signed

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