

# CHARLES SCHWAB & Co., INC.

## CONFIDENTIAL CLIENT QUESTIONNAIRE

1. Full Name: \_\_\_\_\_
2. Street Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_
3. Telephone and /or Cell Nos.: \_\_\_\_\_
4. Email Address: \_\_\_\_\_
5. Are you a current or former employee, officer and or director of Charles Schwab & Co., Inc., herein after "Charles Schwab" Yes No
6. Are any of your immediate family members a current or former employee, officer and or director of Charles Schwab? Yes No
7. Are you a broker dealer associated with Charles Schwab? Yes No
8. Please complete the table below regarding your investments with Charles Schwab. Please use a separate piece of paper to provide additional information. If you have a monthly statement with this information, please attach the statement when you return the Questionnaire.

Name of Stock	# of Shares	Date of Purchase	Purchase Price	Date Sold	Sale price	# of Shares Still Holding

9. Did you utilize Charles Schwab's online trading platform? Yes No

10. Did you attempt to place a limit order utilizing Charles Schwab's online trading platform?

Yes No

11. Did you receive any error messages while utilizing Charles Schwab's online trading Platform? If yes, please provide the error message received and all details regarding what happened when you received the error message.

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12. What platform were you using when you received the error message (i.e. phone, computer, tablet, etc.)?

13. Did you try on a separate device? Yes No

a. If yes, did you receive the same error? Yes No

14. Did you attempt to contact a representative of Charles Schwab by phone? Yes No

If yes, please provide details of the phone call.

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15. Did any representative of Charles Schwab offer any remedies for error(s) received?

Yes No

If yes, please provide details.

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16. Did you accept their offer? Yes No

17. If available, please provide copies of all new account opening documents you executed when you first opened your accounts with Charles Schwab.

18. If available, please provide copies of any account or investment agreements you were provided by Charles Schwab & Co., Inc.

19. Please provide the approximate loss incurred in your account(s) through Charles Schwab.

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**NOTICE OF DOCUMENT PRESERVATION**

**You must preserve and retain all paper files and electronically stored information (“ESI”) related to this matter. Failure to preserve information (whether paper or electronic) could result in sanctions being imposed by the court for spoliation of evidence. This includes all emails and text messages.**

Once completed, please return to:  
Priscilla Scoggins  
FEDERMAN & SHERWOOD  
10205 North Pennsylvania Avenue  
Oklahoma City, OK 73120  
Fax: (405) 239-2112  
Email: pms@federmanlaw.com

**CONTINGENT FEE AGREEMENT**

Re: Litigation against Charles Schwab.

The undersigned ("Client") engages William B. Federman of Federman & Sherwood ("Attorney") to seek damages from Charles Schwab. ("Defendant") and to institute litigation against Defendant and anyone else believed by the Attorney to be liable. Client agrees that Attorney may associate with other law firms, experts or consultants in prosecution of this litigation.

For its services, Attorney agrees to accept the engagement on a contingency basis. Attorney will be responsible for all expenses, which may include, but are not limited to, filing fees, costs of travel, lodging, copying, telephone calls, postage, depositions and expert witness fees. Reimbursement of all expenses advanced by Attorney, or payment of expenses made on Attorney's behalf, will be made before distribution of the net proceeds of any recovery. If a class is certified, Attorney will receive fees as approved and ordered by the Court. If a class is not certified and Client's action is settled, Attorney will receive 35% of all value received or as ordered by the Court. If no recovery is made, Client will not be responsible for Attorney's fees or any expenses paid by Attorney. Attorney is not required to pursue any appeals.

Client grants Attorney an Attorney's Lien on any recovery in this matter. Any disputes under this agreement shall be resolved by binding arbitration in Oklahoma City, pursuant to the rules of the American Arbitration Association for commercial arbitration.

SIGNED this \_\_\_\_ day of \_\_\_\_\_, 2021.

\_\_\_\_\_  
(Client Signature)

\_\_\_\_\_  
(Print Name)

FEDERMAN & SHERWOOD

By: \_\_\_\_\_  
William B. Federman, Esq.

CLIENT INFORMATION:

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State & Zip Code

\_\_\_\_\_  
Telephone Number and Fax Number

\_\_\_\_\_  
Cell/Mobile Telephone Number

\_\_\_\_\_  
E-Mail Address