

**STOCK PURCHASE QUESTIONNAIRE**

DFPI-1802 (Rev. 10-20)



STOCK PURCHASE QUESTIONNAIRE

Name of Applicant

\_\_\_\_\_

All of the following questions are to be answered under penalty of perjury by each of the proposed incorporators, officers, directors, managing personnel, and stockholders. If a proposed stockholder is a corporation or other business entity, the questions must be answered by an appropriate official for such company.

If the application for authority to establish a premium finance agency (the “Company”) is approved, and the purchase of stock is approved:

1. Will you personally perform the duties of an officer, director or managing personnel so that the Company will be operated only in accordance with the Industrial Loan Law?

Yes

No

2. How long have you know each of the other proposed directors, stockholders, officers or managing personnel?

Name

Period of Time Known

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. In your participation as a proposed officer, director, managing personnel or stockholder, will you be acting solely on your behalf or as an agent, representative or trustee for some other principal or beneficiary?

Yes

No

4. How many shares of stock, at what price per share, do you propose to purchase?

Number of Shares

Price per Share

\_\_\_\_\_

\_\_\_\_\_

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5. Will the stock proposed to be purchased by you be paid for with your own funds and not with the funds of any other persons or funds derived from a pledge of the stock?

Yes

No

If your answer is “No”, explain fully, giving full details as to the source of the funds.

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6. Is the stock to be purchased by you for investment only and not for resale or distribution?

Yes

No

If your answer is “No”, explain fully.

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7. Under your present financial circumstances, have you entered into any contract or understanding, or do you intend within five years, to sell, assign, hypothecate or encumber any of the stock to be purchased by you?

Yes

No

If your answer is “Yes”, explain fully.

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8. Do you contemplate using the business or facilities of the Company for your own personal gain, directly or indirectly, in connection with any other business in which you may engage?

Yes

No

If your answer is “Yes”, explain fully.

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Executed on \_\_\_\_\_, 20\_\_\_\_, at \_\_\_\_\_, California.

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

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

\_\_\_\_\_  
Name – Please Print

\_\_\_\_\_  
Position\*

\*Specify – Incorporator, Director, Stockholder, etc.