



BE ON THE LOOKOUT: INVESTigate Before You Invest

Knowledge is power. The following checklist is designed as a quick reference to help investors ask the right questions before making an investment. Once your questions have been answered, contact your state securities regulator, or other appropriate state agency, to verify the information. Remember: *The time to ask questions is before you invest your hard-earned money.*

Seller/Agent Information

Seller/Agent Name: _____

Company/Business Name: _____

Company/Business Address: _____

Phone Number: _____

Today's Date: _____

✓ What products are you offering? (check all that apply)

- | | |
|---------------------------------------|--|
| <input type="checkbox"/> Annuities | <input type="checkbox"/> Estate Planning |
| <input type="checkbox"/> Living Trust | <input type="checkbox"/> Accounting |
| <input type="checkbox"/> Securities | <input type="checkbox"/> Other _____ |

✓ Who regulates or licenses this product or service? _____

✓ How does this product meet my investment objectives? _____

✓ What are the risks? _____

✓ What written information will I receive about this investment before making a decision?

- | | |
|---|--|
| <input type="checkbox"/> Prospectus | <input type="checkbox"/> Offering Memorandum |
| <input type="checkbox"/> Research Reports | <input type="checkbox"/> Most Recent Annual Report |
| <input type="checkbox"/> Recent News Releases | <input type="checkbox"/> Most Recent Quarterly or Interim Report |

✓ What license(s) do you hold that authorizes you to sell this product or service?

LICENSE TYPE

Insurance License

Securities License

Investment Advisor

State Bar License

Accountant License

Real Estate License

LICENSE INFORMATION

License No: _____

CRD No: _____

License No: _____

Corporation SEC

State Bar No: _____

CPA No: _____

DRE License No: _____