

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. 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: _____

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

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

2. Who regulates or licenses this product or service? _____

3. How does this product meet my investment objectives? _____

4. What are the risks? _____

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

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

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

LICENSE TYPE

LICENSE INFORMATION

Insurance License	License No: _____
Securities License	CRD No: _____
Investment Adviser	License No: _____ State _____ SEC _____
State Bar License	State Bar No: _____
Accountant License	CPA No: _____
Real Estate License	DRE License No: _____
Other	Explain: _____