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)
   - [ ] Annuities
   - [ ] Securities
   - [ ] Living Trust
   - [ ] Estate Planning
   - [ ] Accounting
   - [ ] 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?
   - [ ] Prospectus
   - [ ] Offering Memorandum
   - [ ] Most Recent Annual Report
   - [ ] Quarterly or Interim Report
   - [ ] Recent News Releases
   - [ ] Research Reports

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

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<thead>
<tr>
<th>LICENSE TYPE</th>
<th>LICENSE INFORMATION</th>
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<tbody>
<tr>
<td>Insurance License</td>
<td>License No: ____________________________</td>
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<tr>
<td>Securities License</td>
<td>CRD No: ____________________________</td>
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<tr>
<td>Investment Adviser</td>
<td>License No: ____________________________</td>
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<td>State ___ SEC _____</td>
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<td>State Bar License</td>
<td>State Bar No: ____________________________</td>
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<td>Accountant License</td>
<td>CPA No: ____________________________</td>
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<tr>
<td>Real Estate License</td>
<td>DRE License No: ____________________________</td>
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<td>Other</td>
<td>Explain: ____________________________</td>
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