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

✔️ What license(s) do you hold that authorizes 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>
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<tr>
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