

# Check Before You Invest

Before investing, have the person offering products/services complete this form, sign it, and return it to you. Verify both the person and company are licensed and authorized to sell/offer the specific type of product, by contacting the appropriate licensing agency (see reverse side for agency contact information). Keep the completed form for your records.

## **Seller/Agent and Company Information** (please print clearly)

Seller/Agent Name \_\_\_\_\_

Company/Business Name \_\_\_\_\_

Company/Business Address \_\_\_\_\_

Phone Number(s) \_\_\_\_\_ E-mail \_\_\_\_\_

## **I am offering the following product(s) and/or services** (check all that apply)

**Investment:**       Securities                       Mutual Funds                       IRAs  
                          Private Placements       Oil & Gas/Minerals                       Other \_\_\_\_\_

**Financial Planning:**    Investment Advice       Financial Planning       Wealth Creation

**Insurance:**               Life               Annuities               Viaticals               Other \_\_\_\_\_

**Real Estate:**               Refinance       Reverse Mortgage       Equity Loan  
                          Investment (specify) \_\_\_\_\_

**Legal Services:**         Wills               Living Trust               Estate Planning  
                          Other \_\_\_\_\_

**Accounting:**               Tax Preparation               Other \_\_\_\_\_

**Contractor Services:**       Home Repair               Remodeling               Other \_\_\_\_\_

## **I am currently licensed by**

<input type="checkbox"/> CA Department of Corporations	CRD #: _____
<input type="checkbox"/> CA Department of Corporations	IARD/CRD #: _____
<input type="checkbox"/> CA Department of Insurance	License #: _____
<input type="checkbox"/> CA Department of Real Estate	DRE License #: _____
<input type="checkbox"/> CA State Bar Association	State Bar #: _____
<input type="checkbox"/> CA Board of Accountancy	CPA License #: _____
<input type="checkbox"/> CA Contractors State License Board	License #: _____
<input type="checkbox"/> Other	License #: _____

**I certify that I am making these representations truthfully in order to do business with you.**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## **Before Investing or Getting Advice**

have the person offering products/services complete this form, sign it, and return it to you.

## **Verify**

both the salesperson/advisor and their company are licensed and authorized to sell/offer the specific type of product. Remember to keep this completed form for your records.

## **Contact**

the appropriate California licensing agency below (or call the California Department of Corporations for referral to other agencies.)