

# 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
  - Private Placements
- Financial Planning**
  - Investment Advice
- Insurance**
  - Life
  - Other \_\_\_\_\_
- Real Estate**
  - Refinance
  - Investment (specify) \_\_\_\_\_
- Legal Services**
  - Wills
  - Other \_\_\_\_\_
- Accounting**
  - Tax Preparation
  - Other \_\_\_\_\_
- Contractor Services**
  - Home Repair
  - Other \_\_\_\_\_

- Mutual Funds
- Oil & Gas/Minerals
- IRAs
- Other \_\_\_\_\_

- Financial Planning
- Wealth Creation

- Annuities
- Viaticals

- Reverse Mortgage
- Equity Loan

- Living Trust
- Estate Planning

### I am currently licensed by

- CA Department of Corporations CRD #: \_\_\_\_\_
- CA Department of Corporations IARD/CRD #: \_\_\_\_\_
- CA Department of Insurance License #: \_\_\_\_\_
- CA Department of Real Estate DRE License #: \_\_\_\_\_
- CA State Bar Association State Bar #: \_\_\_\_\_
- CA Board of Accountancy CPA License #: \_\_\_\_\_
- CA Contractors State License Board License #: \_\_\_\_\_
- 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.)

<b>CA Department of Corporations</b>	Toll-Free TTY Website	<b>1-866-ASK-CORP (1-866-275-2677)</b> <b>1-800-735-2922</b> <a href="http://www.corp.ca.gov">www.corp.ca.gov</a>
<b>CA Department of Insurance</b>	Toll-Free Website	<b>1-800-927-HELP (1-800-927-4357)</b> <a href="http://www.insurance.ca.gov">www.insurance.ca.gov</a>
<b>CA Department of Real Estate</b>	Fresno Los Angeles Oakland San Diego Website	<b>(559) 445-5009</b> <b>(213) 620-2072</b> <b>(510) 622-2552</b> <b>(619) 525-4192</b> <a href="http://www.dre.ca.gov">www.dre.ca.gov</a>
<b>State Bar of California</b>	<b>License verification &amp; complaints</b> Toll-Free <b>Senior Information Hotline</b> Toll-Free Website	<b>1-800-843-9053</b> <b>1-888-460-7364</b> <a href="http://www.calbar.ca.gov">www.calbar.ca.gov</a>
<b>CA Board of Accountancy</b>	Sacramento Website	<b>(916) 263-3680</b> <a href="http://www.dca.ca.gov/cba">www.dca.ca.gov/cba</a>
<b>CA Contractors State License Board</b>	Toll-Free Website	<b>1-800-321-2752</b> <a href="http://www.cslb.ca.gov">www.cslb.ca.gov</a>