

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.

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):

Investments: Securities Mutual Funds IRAs Private Placements
 Oil & Gas/Minerals Other: _____

Loans: "Payday" Mortgage Car 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:

CA Department of Corporations License #: _____

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 his/her 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).

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

For additional copies of this form (TAP\$-007 (Rev 01/09)) please call California Department of Corporations Toll-Free 1-866-ASK-CORP (1-866-275-2677)