



## 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)

<input type="checkbox"/> <b>Investment:</b>	<input type="checkbox"/> IRAs	<input type="checkbox"/> Mutual Funds	<input type="checkbox"/> Oil & Gas/Minerals
	<input type="checkbox"/> Private Placements	<input type="checkbox"/> Securities	<input type="checkbox"/> Other _____

<input type="checkbox"/> <b>Financial Planning:</b>	<input type="checkbox"/> Annuities	<input type="checkbox"/> Financial Planning	<input type="checkbox"/> Investment Advice
---	------------------------------------	---	--

<input type="checkbox"/> <b>Insurance:</b>	<input type="checkbox"/> Life	<input type="checkbox"/> Viaticals	<input type="checkbox"/> Wealth Creation
	<input type="checkbox"/> Other _____		

<input type="checkbox"/> <b>Real Estate:</b>	<input type="checkbox"/> Equity Loan	<input type="checkbox"/> Escrow/Title	<input type="checkbox"/> Mortgage
	<input type="checkbox"/> Refinance	<input type="checkbox"/> Mortgage Modification	
	<input type="checkbox"/> Reverse Mortgage	<input type="checkbox"/> Investment (specify) _____	

<input type="checkbox"/> <b>Legal Services:</b>	<input type="checkbox"/> Estate Planning	<input type="checkbox"/> Living Trust	<input type="checkbox"/> Wills
	<input type="checkbox"/> Other _____		

<input type="checkbox"/> <b>Accounting:</b>	<input type="checkbox"/> Tax Preparation	<input type="checkbox"/> Other _____
---	--	--------------------------------------

<input type="checkbox"/> <b>Contractor Services:</b>	<input type="checkbox"/> Home Repair	<input type="checkbox"/> Remodeling	<input type="checkbox"/> Other _____
--	--------------------------------------	-------------------------------------	--------------------------------------

### I am currently licensed by

<input type="checkbox"/> CA Department of Business Oversight	License #:	_____
<input type="checkbox"/> CA Department of Insurance	License #:	_____
<input type="checkbox"/> CA Bureau of Real Estate	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 Business Oversight for referral to other agencies).

<i>Agency</i>	<i>Responsibilities</i>	<i>Contact Information</i>	
CA Department of Business Oversight	Licenses and regulates individuals and companies conducting various financial activities, including investment advisors, brokers, escrow/titles, mortgages, payday lenders and sellers of franchises.	Toll-Free TTY <b>www.dbo.ca.gov</b>	1-866-275-2677 1-800-735-2922
CA Department of Insurance	Licenses and regulates insurance agents, brokers, companies, viaticals and annuities.	Toll-Free <b>www.insurance.ca.gov</b>	1-800-927-HELP (1-800-927-4357)
CA Bureau of Real Estate	Licenses and regulates real estate brokers and salespeople, and mortgage lender/broker activities.	Fresno Los Angeles Oakland San Diego <b>www.bre.ca.gov</b>	(559) 445-5009 (213) 620-2072 (510) 622-2552 (619) 525-4192
State Bar of California	Information to help you find an attorney, including elder law or trust specialists. Also, file complaints and get assistance with reimbursement for attorney misconduct.	License verification & complaints Toll-Free Senior Information Hotline Toll-Free <b>www.calbar.ca.gov</b>	1-800-843-9053 1-888-460-7364
CA Board of Accountancy	Licenses and regulates certified public accountants, public accountants and accounting firms.	Sacramento <b>www.dca.ca.gov/cba</b>	(916) 263-3680
CA Contractors State License Board	Licenses and regulates 43 classifications of contractors and home improvement specialties.	Toll-Free <b>www.cslb.ca.gov</b>	1-800-321-2752