

Ask and Check Before You Invest: Helpful Checklist to Become an Informed Consumer

Before handing over your money, ask the person or company who is offering services (legal, investment, insurance, financial, etc.) to complete this form and leave it with you.
Don't feel pressured to make an immediate decision!

What product(s) are you offering? (Check all that apply)

- | | | | |
|---------------------------------------|-------|--------------------------------------|---------------------------------------|
| <input type="checkbox"/> Insurance | Type: | <input type="checkbox"/> Annuities | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Investment | Type: | <input type="checkbox"/> Securities | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Real Estate | Type: | <input type="checkbox"/> Residential | <input type="checkbox"/> Commercial |
| <input type="checkbox"/> Financial | Type: | <input type="checkbox"/> Mortgage | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Other: _____ | | | |

Who regulates or licenses this product/service?

- | | |
|---|--|
| <input type="checkbox"/> Arizona Corporation Commission | <input type="checkbox"/> Arizona Department of Real Estate |
| <input type="checkbox"/> Arizona Department of Insurance | <input type="checkbox"/> U.S. Securities & Exchange Commission |
| <input type="checkbox"/> Arizona Department of Financial Institutions | <input type="checkbox"/> Other (please explain): _____ |
| _____ | |

What license(s) do you hold that authorizes you to sell this product/service?

LICENSE TYPE	LICENSE INFORMATION
Insurance Producer	License No: _____
Securities Salesman	CRD No: _____
Investment Adviser	License No: _____ <input type="checkbox"/> Corporations <input type="checkbox"/> SEC
Real Estate Sales	DRE License No: _____
Mortgage Broker	Mtg. Broker License No: _____

Seller/Agent Information

Seller/Agent Name: _____ Phone Number: _____

Today's Date: _____ Email: _____



Provided by the Arizona Corporation Commission-Securities Division
Tel: 602-542-0662 or Toll free: 1-866-VERIFY-9 (837-4399 within Arizona)
www.azcc.gov/azinvestor

Ask and Check Before You Invest:

Helpful Tips on How to Become an Informed Consumer

Company/Business Name: _____

Company/Business Address: _____

Website _____ Phone Number: _____

Once the information on the front side of this form has been filled out and left with you, call the appropriate agency to confirm that the person/company holds a valid license (i.e. is **both** licensed and authorized to sell/offer the product to you) **BEFORE** you **INVEST** your money with anyone.



Arizona Corporation Commission-Corporations Division
1-866-542-3026



Arizona Department of Insurance
(602) 364-3100



Arizona Department of Real Estate
(602)771-7799



Arizona Department of Financial Institutions
(602) 771-2800

An informed investor is the best defense against investment fraud.

Don't invest until you ask and check, completing the "Four C's":

- ✓ **C**onsider your options.
- ✓ **C**ompare it to others.
- ✓ **C**onsult with someone you trust.
- ✓ **C**all the Securities Division's Investigator on Duty

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EMAIL: SecuritiesDiv@azcc.gov

VISIT: www.azcc.gov/azinvestor