

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

When 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"/> Legal Services | Type: | <input type="checkbox"/> Living Trust | <input type="checkbox"/> Estate Planning | <input type="checkbox"/> Other: |
| <input type="checkbox"/> Financial | Type: | <input type="checkbox"/> Accountant | <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"/> Arizona Board of Accountancy
<input type="checkbox"/> Other (please identify/explain): 	<input type="checkbox"/> The State Bar of Arizona

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

LICENSE TYPE	LICENSE INFORMATION
Insurance License	License No:
Securities License	CRD No:
Investment Adviser	License No: <input type="checkbox"/> Corporations <input type="checkbox"/> SEC
State Bar License	State Bar No:
Accountant License	CPA No:
Real Estate License	DRE License No:
Other	Explain:

Seller/Agent Information

Seller/Agent Name:



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: _____

Phone Number: _____ Today's Date: _____

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 and Financial Institutions
(602) 364-3100



Arizona Department of Real Estate
(602)771-7799

Arizona Board of Accountancy
(602) 364-0804

State Bar of Arizona
1-800-843-9053

An informed investor is the best defense against investment fraud. Don't invest until you ask and check, completing the "Four C's":

- Consider your options.
- Compare it to others.
- Consult with someone you trust.
- Call the Securities Division's Investigator on Duty

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