

# 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:**                       IRAs                                       Mutual Funds                       Oil & Gas/Minerals  
 Private Placements                       Securities                                       Other \_\_\_\_\_

**Financial Planning:**                       Annuities                                       Financial Planning                       Investment Advice

**Insurance:**                                       Life                                       Viaticals                                       Wealth Creation  
 Other \_\_\_\_\_

**Real Estate:**                                       Equity Loan                                       Escrow/Title                                       Mortgage  
 Refinance                                       Mortgage Modification  
 Reverse Mortgage                                       Investment (specify) \_\_\_\_\_

**Legal Services:**                                       Estate Planning                                       Living Trust                                       Wills  
 Other \_\_\_\_\_

**Accounting:**                                       Tax Preparation                                       Other \_\_\_\_\_

**Contractor Services:**                                       Home Repair                                       Remodeling                                       Other \_\_\_\_\_

## I am currently licensed by

CA Department of Business Oversight                      License #: \_\_\_\_\_  
 CA Department of Insurance                      License #: \_\_\_\_\_  
 CA Bureau of Real Estate                      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 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