

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 Financial Protection and Innovation License#: _____
 CA Department of Insurance License #: _____
 CA Department 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 Financial Protection and Innovation for referral to other agencies).

<i>Agency</i>	<i>Responsibilities</i>	<i>Contact Information</i>	
CA Department of Financial Protection and Innovation	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 www.dfpi.ca.gov	1-866-275-2677 1-800-735-2922
CA Department of Insurance	Licenses and regulates insurance agents, brokers, companies, viaticals and annuities.	Toll-Free www.insurance.ca.gov	1-800-927-HELP (1-800-927-4357)
CA Department of Real Estate	Licenses and regulates real estate brokers and salespeople, and mortgage lender/broker activities.	Fresno Los Angeles Oakland San Diego www.dre.ca.gov	(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 www.calbar.ca.gov	1-800-843-9053 1-888-460-7364
CA Board of Accountancy	Licenses and regulates certified public accountants, public accountants and accounting firms.	Sacramento www.dca.ca.gov/cba	(916) 263-3680
CA Contractors State License Board	Licenses and regulates 43 classifications of contractors and home improvement specialties.	Toll-Free www.cslb.ca.gov	1-800-321-2752