

# Ask and Check Before You Invest:

## Helpful Tips on How 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: <span style="float: right;"><input type="checkbox"/> Corporations    <input type="checkbox"/> SEC</span> |
| 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: 602-542-4242 or Toll free: 1-866-VERIFY-9 (837-4399 within Arizona)

[www.azinvestor.gov](http://www.azinvestor.gov)

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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**



**The Arizona Department of Insurance**  
**(602) 364-3100**



**The Arizona Department of Real Estate**  
**(602)771-7799**

**The Arizona Board of Accountancy**  
**(602) 364-0804**

**The State Bar of Arizona**  
**1-800-843-9053**

An informed investor is the best defense against investment fraud. Don't invest until you investigate and have completed the "Four C's":

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

**602-542-4242 or toll free, 1-866-VERIFY-9 (837-4399)**