

## **“CHECK BEFORE YOU INVEST”**

Don't invest until you investigate.

**BEFORE** investing your money, ask the person or company that is offering services (legal, investment, insurance, financial, etc.) to complete this form and leave it with you.

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

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Insurance:              | <input type="checkbox"/> Fixed Annuities |  |
| <input type="checkbox"/> Investment (Broker):    | <input type="checkbox"/> Stocks          | <input type="checkbox"/> Limited Partnership Interests |
|  | <input type="checkbox"/> Bonds           | <input type="checkbox"/> Variable Annuities            |
|  | <input type="checkbox"/> Mutual Funds    | <input type="checkbox"/> Promissory Notes              |
| <input type="checkbox"/> Investment Advice       |  |  |
| <input type="checkbox"/> Other (describe): _____ |  |  |

### **Who regulates or licenses this product/service?**

- New York State Attorney General's Office (Department of Law)  
 New York State Department of Financial Services  
 Other (please identify/explain): \_\_\_\_\_

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

#### **LICENSE TYPE LICENSE INFORMATION**

Securities (Broker): CRD No. \_\_\_\_\_ Registered with:  N.Y. State  
Investment Adviser: IARD No. \_\_\_\_\_ Registered with:  N.Y. State or  SEC  
Other Explain: \_\_\_\_\_

### **Seller/Agent Information**

Seller/Agent Name: \_\_\_\_\_  
Company/Business Name: \_\_\_\_\_  
Company/Business Address: \_\_\_\_\_  
City, State, ZIP: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Today's Date: \_\_\_\_\_

## **“Check Before You Invest”**

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 or registration (i.e., is authorized to sell/offer the product to you) **BEFORE** you **INVEST** your money with anyone.

### **New York State Attorney General's Office Investor Protection Bureau**

120 Broadway, 23<sup>rd</sup> Floor  
New York, NY 10271  
(212) 416-8222  
[www.ag.ny.gov](http://www.ag.ny.gov)

### **New York State Department of Financial Services**

Consumer Services  
One Commerce Plaza  
Albany, NY 12257  
or  
One State Street  
New York, NY 10004  
(800) 342-3736  
(212) 480-6400  
[www.dfs.ny.gov](http://www.dfs.ny.gov)