"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)

- ❑ Insurance: ❑ Fixed Annuities
- ❑ Investment (Broker): ❑ Stocks ❑ Bonds ❑ Mutual Funds ❑ Limited Partnership Interests ❑ Variable Annuities ❑ Promissory Notes
- ❑ Investment Advice
- ❑ 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
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New York, NY 10271
(212) 416-8222
www.ag.ny.gov

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Department of Financial Services
Consumer Services
One Commerce Plaza
Albany, NY 12257
or
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New York, NY 10004
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