

“INVEST SMART” - Check Before You Invest

BEFORE investing your money, ask the person/company who 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	Type: <input type="checkbox"/> Annuities	[] Other: _____
<input type="checkbox"/> Investment	Type: <input type="checkbox"/> Securities	[] Other: _____
<input type="checkbox"/> Legal Services	Type: <input type="checkbox"/> Living Trust	[] Other: _____
	<input type="checkbox"/> Estate Planning	
<input type="checkbox"/> Investment Advice	Type: <input type="checkbox"/> Financial Planning	[] Other: _____
<input type="checkbox"/> Financial	Type: <input type="checkbox"/> Annuities	[] Other: _____
<input type="checkbox"/> Other: _____		

Who regulates or licenses this product/service?

<input type="checkbox"/> Ohio Division of Securities	[] Accountancy Board
<input type="checkbox"/> Ohio Department of Insurance	[] The Supreme Court of Ohio
<input type="checkbox"/> Ohio Division of Real Estate	
<input type="checkbox"/> Other (Please identify/explain): _____	

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

<u>LICENSE TYPE</u>	<u>LICENSE INFORMATION</u>
Insurance License	License No: _____
Securities Broker License	CRD No: _____
Investment Adviser	IARD No: _____ Licensed with: [] Division of Securities [] SEC
Attorney	Supreme Court No: _____
Accountant License	CPA No: _____
Real Estate License	License No: _____
Other	Explain: _____

Seller/Agent Information

Seller/Agent Name: _____

Company/Business Name: _____

Company/Business Address: _____

Phone Number: _____ Today's Date: _____

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Helpful hints on how to become a more knowledgeable consumer

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.

The Ohio Division of Securities

800-788-1194

TTY/TDD: 1-800-750-0750

www.com.ohio.gov/secu

Division of Real Estate

614-466-4100

www.com.state.oh.us/real

The Ohio Department of Insurance

614-644-2658

800-686-1526

www.insurance.ohio.gov

Accountancy Board of Ohio

614-466-4135

www.acc.ohio.gov

The Supreme Court of Ohio

614-466-3456

800-826-9010

www.sconet.state.oh.us

A knowledgeable consumer is a “safe” consumer.
Don’t invest until you investigate.



Department of Commerce

Division of Securities
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Telephone (614) 644-7381