

INVESTOR EDUCATION CHECKLIST - BEFORE YOU INVEST

Knowledge is power. Use this **CHECKLIST** before making an investment. Ask these questions, get answers and contact the Office of the Securities Commissioner – Compliance Branch at (808) 586-2722 to verify the information.

REMEMBER: *The time to ask questions is BEFORE you invest your hard-earned money.*

Seller/Agent Information

Seller/Agent Name: _____ Company/Business Name: _____
Company/Business Address: _____ Phone Number: _____

Questions to Ask

1. What are all the fees, charges or penalties involved in this investment? Explain each.
2. What product(s) are you offering? (check all that apply) Annuities Securities Living
 Trust Estate Planning Accounting Other _____
3. Who regulates or licenses this product or service? _____
4. How does this product meet my investment objectives? _____
5. What are the risks? _____
6. What written information will I receive about this investment before making a decision?
 Recent News Releases Offering Memorandum Research Reports
 Recent Annual Report Recent Quarterly Report Recent Interim Report
 Prospectus Other Materials _____
7. What registration or license(s) do you hold that authorizes you to sell this product or service? (fill in all that apply)
 Broker Dealer Registration → CRD No: _____
 Broker Dealer Rep Registration → CRD No: _____
 Insurance License → State License No: _____
 Investment Adviser Registration → IARD No: _____
 Investment Adviser Rep Registration → IARD No: _____
 Accountant License → State CPA No: _____
 Real Estate License → State RE License No: _____

(Source: North American Securities Administrators Association (NASAA) Investor Education Program. For more information visit the website at nasaa.org.)

To file a complaint, call 587-2267/Toll Free 1-877-447-2267.
"Protecting Hawaii Investors"

Hawaii Department of Commerce & Consumer Affairs
Office of the Securities Commissioner



1-877-HI SCAMS



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