

VERMONT SECURITIES DIVISION

Department of Banking, Insurance, Securities
& Health Care Administration

89 Main St., Montpelier, VT 05620-3101

Consumer Toll-free Line in Vermont: 1-877-550-3907

Attach Business Card Here

CHECK BEFORE YOU INVEST

BEFORE you invest your money, ask the person/company who is offering services (legal, investment, insurance, financial, etc.) to complete this form and leave it with you. Then do a license check (see p. 2).

► What products are you offering?			
<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"/> Investment Advice	Type:	<input type="checkbox"/> Financial Planning	<input type="checkbox"/> Other:
<input type="checkbox"/> Financial	Type:	<input type="checkbox"/> Accountant	<input type="checkbox"/> Other:
<input type="checkbox"/> Other			
► Who regulates this product/service?			
<input type="checkbox"/> Vermont Securities Division	<input type="checkbox"/> Vermont Insurance Division	<input type="checkbox"/> Vermont Secretary of State	
<input type="checkbox"/> Supreme Court of Vermont	<input type="checkbox"/> Other:		
► What license(s) do you hold authorizing you to sell your product/service?			
License Type	License Information		
Insurance License	License #:		
Securities (Broker) License	CRD #:		
Investment Advisor	IARD #:	With: <input type="checkbox"/> Securities Division <input type="checkbox"/> SEC	
Attorney	Supreme Court #:		
Accountant License	CPA #:		
Real Estate License	License #:		
Other	Explain:		
► Seller/Agent Information			
Seller/Agent Name			
Firm(s) Registered With			
DBA (If any)			
Company or Business Address			
Phone #			
Today's Date			

CHECK BEFORE YOU INVEST

Once the information on Page 1 of this form has been completed, call the appropriate agency below to confirm that the person or company has a valid license or authority to sell products to you. Do this **BEFORE YOU INVEST** your money with anyone.

Vermont Securities Division
Toll-free in Vermont: 877-550-3907
or 802-828-3420
www.bishca.state.vt.us

Vermont Secretary of State's Office
Professional Regulation: 802-828-2363
www.sec.state.vt.us

Vermont Insurance Division
Agent/Producer Licensing: 802-828-3303

The Vermont Supreme Court
802-828-3281
www.vermontjudiciary.org

For more consumer tips and resources
for investors, visit the
Securities Division
Investor Protection website at:
vermontinvestorprotection.info