



Double-Check Before You Invest

Seller/Agent and Company Information

Seller/Agent Name _____

Company/Business Name _____

Company/Business Address _____

Phone Number _____ Email _____

What services are being offered? Check below

Investment:

Securities

Mutual Funds

IRAs

Private Placements

Oil & Gas/Minerals

Insurance:

Life

Annuities

Viaticals

Financial Planning:

Investment Advice

Financial Planning

Wealth Creation

What written information will be provided? _____

Is seller/agent required to act in my best interest? Yes No

Potential conflicts of interest _____

Explain commissions or fees charged _____

Licensing Information *(Call to check license numbers with Iowa Insurance Division at 877-955-1212)*

Insurance License No: _____

State _____

Securities License CRD No: _____

Other License: _____ No: _____

Request a CRD report to learn of disciplinary actions taken against the company/business, criminal convictions, settlements, bankruptcies, civil proceedings and complaints.