

# 10 Questions for unsolicited calls about investments WORKSHEET

**Knowledge is power.** The following checklist is designed as a quick reference to help investors ask the right questions before making an investment. Once your questions have been answered, contact your state securities regulator, or other appropriate state agency to verify the information.

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

**Seller/agent information:**

Date: \_\_\_\_\_ Seller/agent name: \_\_\_\_\_

Business name: \_\_\_\_\_ Address: \_\_\_\_\_

What are you offering? \_\_\_\_\_

**1. How did you get my name?** \_\_\_\_\_

**2. Is this investment guaranteed?** ☐ Yes ☐ No

**3. What license(s) do you hold that authorizes you to sell this product or service?**

Insurance License No: \_\_\_\_\_ Securities License CRD No: \_\_\_\_\_

Accountant License CPA No: \_\_\_\_\_ Real Estate DRE License No: \_\_\_\_\_

Other (explain): \_\_\_\_\_

**4. Is this investment registered?** ☐ Montana State Auditor's Office  
☐ Securities & Exchange Commission ☐ Other: \_\_\_\_\_

**5. Please send me copies of the company's financial statements.** ☐ Yes ☐ No

And a list of customers I can call: \_\_\_\_\_

**6. Please list commissions and fees:**

Commissions: \_\_\_\_\_

Fees: \_\_\_\_\_

**7. Please send me a prospectus or offering material:** ☐ Yes ☐ No

**8. Please tell me your phone number so I can call you:** \_\_\_\_\_

**9. Will you call my stockbroker/lawyer/banker with the same offer so I can ask for a second opinion?** ☐ Yes ☐ No

**10. How is my principal being used and will I have access to it?** \_\_\_\_\_