

# INVESTOR EDUCATION: CHECKLIST - BEFORE YOU INVEST

*Knowledge is power.* Use this **CHECKLIST** before making an investment. Ask these questions, get answers and contact the **Hawaii Securities 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](http://nasaa.org).)

**To report investment fraud, call (808) 587-2267 or Toll Free 1-877-447-2267**

Protecting Hawaii Investors



1-877-HI SCAMS



[investing.hawaii.gov](http://investing.hawaii.gov)



HI Securities

