



10

QUESTIONS WORKSHEET

FOR UNSOLICITED PHONE CALLS ABOUT INVESTMENTS

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

- ➔ Today's Date: _____
- ➔ Seller/Agent Name: _____
- ➔ Company/Business Name: _____
- ➔ Company/Business 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?

LICENSE TYPE LICENSE INFORMATION

Insurance License License No: _____
 Securities License CRD No: _____
 Accountant License CPA No: _____
 Real Estate License 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. What are the commissions and fees?
 commissions _____
 fees _____
7. Send me a prospectus or offering material. yes no
8. Your telephone 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?

