



Wyoming Investor Awareness
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INVESTigate Before You Invest

Knowledge is power. The following checklist is designed as a quick reference to help investors ask the right questions before making an investment. Contact the Wyoming Compliance Division via the above, or other appropriate state agency, to verify the information. *Remember: The time to ask questions is **before** you invest your hard-earned money.*

1. Seller / Agent Information		
a. Seller or Agent Name:	b. Today's Date:	
c. Company or Business Name:		
d. Company or Business Address:	e. Telephone:	
2. Products Offered		
Check all that apply:		
<input type="checkbox"/> Annuities <input type="checkbox"/> Securities <input type="checkbox"/> Living Trust <input type="checkbox"/> Estate Planning <input type="checkbox"/> Accounting <input type="checkbox"/> Other (describe below):		
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?		
Check all that apply:		
<input type="checkbox"/> Prospectus	<input type="checkbox"/> Offering Memorandum	<input type="checkbox"/> Most Recent Annual Report
<input type="checkbox"/> Quarterly or Interim Report	<input type="checkbox"/> Recent News Releases	<input type="checkbox"/> Research Reports
7. What license(s) do you hold that authorizes you to sell this product or service?		
<input type="checkbox"/> Insurance License No.: _____	<input type="checkbox"/> Securities License No.: _____	
<input type="checkbox"/> State Bar License No.: _____	<input type="checkbox"/> Accountant License No.: _____	
<input type="checkbox"/> Real Estate License No.: _____	<input type="checkbox"/> Other (explain):	
<input type="checkbox"/> Investment Adviser No.: _____		
State _____	SEC _____	