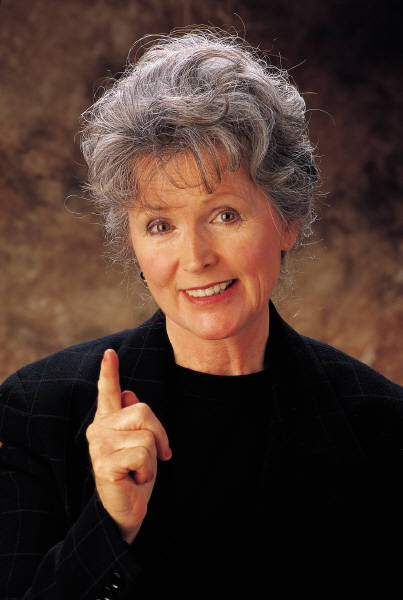
**Louisiana’s Office of Financial Institutions (OFI)**

**Investor Checklist\***

***Verify with OFI at* (225) 925-4512**

[**www.ofi.la.gov/SecuritiesInvestorEd.htm**](http://www.ofi.la.gov/SecuritiesInvestorEd.htm)



**First, always contact the Office of Financial Institutions (OFI) to ensure that the investment product and your investment professional are properly registered with the State Of Louisiana.**

**Before investing any money, ask yourself:**

What are my investment goals? Are you primarily interested in:

Long-term growth A steady income stream Some combinations of these

Tax savings Quick profit

How much can I afford to invest, and how much can I afford to lose? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Can you afford to lose all of the money you plan to invest?

Do you have sufficient cash reserves that can be acquired immediately in case of personal emergency?   
A six-month cash reserve is recommended before making investments.

**Research the Investment:**

Is it registered with the Louisiana Office of Financial Institutions?

Have I received, read, and understood a written prospectus or other offering documents for this investment?

Are there limitations on the resale of these securities? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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What is the history and past performance of the investment? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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How does the company intend to use my money or how are the proceeds from the sale of the investment going to be used by the company? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Have all the risks involved with the investment been explained to me? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Have I been told that the principal amount is insured from loss? If so, through whom is it insured? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Have I been told that interest or return on investment is guaranteed? If so, how is it guaranteed? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Will I receive a monthly statement of my account? Who provides that statement? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Who will handle my investment? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Will you be provided with at least (3) references who have had this investment for at least one year? 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**Research the Company Offering the Investment**

Is the company registered with the Louisiana Secretary of State? If not, in which state is the company incorporated?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Where is the company physically located?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What is the primary nature of the company’s business?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**Research the Company** (Continued)

How long has the company been in business?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

How long has the company been offering this particular investment?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

What is the history and past performance of the company?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Have I received a reliable and current financial statement of the company?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Has the company ever filed bankruptcy?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Have there been any complaints or administrative proceedings filed against the company? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Are there any past or pending regulatory violations or penalties against the company? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Has there been any civil litigation filed against the company? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Have I been provided with any biographical information about the officers, directors, and other personnel of the company? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Research the Salesperson Offering the Investment**

**If the investment professional is a stockbroker, securities broker-dealer or investment adviser representative, ASK:**

**FULL LEGAL NAME \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ CRD # (ASK for it!) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Is the salesperson registered with the Louisiana Office of Financial Institutions?

Is the salesperson registered with the Financial Industry Regulatory Authority (FINRA)?

Is the salesperson registered with the Securities and Exchange Commission (SEC)?

How long has the salesperson been with this company? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

How long has the salesperson been in the business of selling investments?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

How long has the salesperson been selling this particular investment?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Have there been any complaints or administrative proceedings filed against the salesperson?\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Are there any past or pending regulatory violations or penalties against the salesperson? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Has there been any civil litigation filed against the salesperson? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Has the salesperson ever filed bankruptcy?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Have I been provided with any biographical information about the salesperson?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Have I been provided with the educational and professional credentials of the salesperson? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Will the salesperson provide you with at least three references who have been clients for at least two years? 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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\*Reprinted, with modifications, from NASAA (North American Securities Administrators Association) at [**www.nasaa.org**](http://www.nasaa.org). This form can also be found on OFI’s web site at [**www.ofi.la.gov/SecuritiesInvestorEd.htm**](http://www.ofi.la.gov/SecuritiesInvestorEd.htm).

**Other Sources of Information**

* OFI’s new *Investor Education* section at [**www.ofi.la.gov/SecuritiesInvestorEd.htm**](http://www.ofi.la.gov/SecuritiesInvestorEd.htm)
* North American Securities Administrators Association (NASAA) at [**www.nasaa.org/investor-education**](http://www.nasaa.org/investor-education)
* Financial Industry Regulatory Authority (**FINRA**) [**www.finra.org**](http://www.finra.org)AND[**www.saveandinvest.org**](http://www.saveandinvest.org)for *Military* *Members & Families* and *Investors over 55*
* Securities and Exchange Commission (**SEC**) [**www.sec.gov**](http://www.sec.gov)
* SEC’s database of public company filings at [**www.sec.gov/edgar**](http://www.sec.gov/edgar)
* American Association of Retired Persons at [**www.aarp.org/money**](http://www.aarp.org/money)