

Pre-Investment Checklist



	No	Yes
1. Is the person offering me the investment opportunity claiming high return with little or no risk?	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the person offering me the investment opportunity using overly aggressive sales tactics and pressuring me to buy now?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is my investment professional's name or firm missing from the SEC , FINRA and/or a state securities agency registration database(s)?	<input type="checkbox"/>	<input type="checkbox"/>
4. Do my investment documents look unprofessional (e.g., grammatical errors or inconsistent or unverifiable information)?	<input type="checkbox"/>	<input type="checkbox"/>
5. Am I unsure about whether the investment opportunity has securities that should be registered with the SEC or a state securities agency?	<input type="checkbox"/>	<input type="checkbox"/>
6. Did the person offering me the investment opportunity fail to ask about my net worth or income?	<input type="checkbox"/>	<input type="checkbox"/>
7. Did the person offering me the investment opportunity fail to verify my status as an accredited investor through an investor questionnaire?	<input type="checkbox"/>	<input type="checkbox"/>
8. Are the only people involved in this investment opportunity myself, the person offering me the investment opportunity and a legal entity?	<input type="checkbox"/>	<input type="checkbox"/>
9. Is the person offering me the investment opportunity or company seeking investment funds from me using a virtual or other type of temporary office?	<input type="checkbox"/>	<input type="checkbox"/>
10. Does the company seeking investment funds appear missing or not in good standing in the secretary of state's corporation database(s) of the state(s) where it was formed or incorporated and/or where it transacts business?	<input type="checkbox"/>	<input type="checkbox"/>
11. Was this investment opportunity presented to me without my requesting it?	<input type="checkbox"/>	<input type="checkbox"/>
12. Does the person offering me the investment opportunity or the company seeking investment funds lack a legitimate, professional-looking website and/or other Internet presence?	<input type="checkbox"/>	<input type="checkbox"/>
13. Did I have trouble verifying the biographies, credentials and experience of my investment professional, managers or promoters?	<input type="checkbox"/>	<input type="checkbox"/>

If you've checked YES to any of these questions, STOP and seek assistance from a licensed CPA or attorney before proceeding with your investment.