

NEW JERSEY BUREAU OF SECURITIES

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INFORMATION REQUEST FORM FOR CENTRAL REGISTRATION DEPOSITORY  
AND/OR INVESTMENT ADVISER REGISTRATION DEPOSITORY INFORMATION

**INSTRUCTIONS:** This form should be completed to request information available from the Central Registration Depository (CRD) and/or the Investment Adviser Registration Depository (IARD) pertaining to agents, broker-dealers, and/or investment advisers. Both pages of this form should be read and completed before signing and submitting.

1. Requested by:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail address: \_\_\_\_\_

2. Name of agent: \_\_\_\_\_

Firm affiliation: \_\_\_\_\_

Identifying information: CRD/IARD #: \_\_\_\_\_ SS#: \_\_\_\_\_

Information requested: \_\_\_\_\_

3. Name of broker-dealer: \_\_\_\_\_

Information requested: \_\_\_\_\_

4. Name of investment adviser: \_\_\_\_\_

Information requested: \_\_\_\_\_

5. Reason for request: \_\_\_\_\_

6. The Bureau of Securities reserves the right to charge for copies of documents in excess of 20 pages at the rate of \$.25 per page.
7. The Bureau of Securities cannot guarantee the accuracy or completeness of the information furnished in reply to your request. Undisclosed information may exist in other jurisdictions or with self-regulatory bodies. The Bureau of Securities is not responsible for information obtained from other sources.
8. The Bureau of Securities has not passed upon the merits or qualifications of, or recommended or given approval to, any person, security, or transaction. The fact that a person or security has been registered does not constitute a finding by the Bureau of Securities that any document filed is true, complete, or not misleading.
9. If you wish to request any additional documentation, you may submit a request pursuant to the Right to Know Law, N.J.S.A. sec. 47:1A-1 et seq. ("OPRA"). For information concerning an OPRA request for Bureau of Securities records, you must contact Consumer Affairs at (973) 424-8111 or [www.nj.gov/lps/opra](http://www.nj.gov/lps/opra) .

**I HAVE READ AND UNDERSTAND THE ABOVE STATEMENT WITH REGARD TO THE FURNISHING BY THE BUREAU OF SECURITIES OF THE INFORMATION REQUESTED. PLEASE SEND ME THE DOCUMENTS AND/OR INFORMATION REQUESTED ABOVE.**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

# “CHECK BEFORE YOU INVEST”

**BEFORE** investing your money, ask the person/company who is offering services (legal, investment, insurance, financial, etc.) to complete this form and leave it with you.

## What product(s) are you offering?: (Check all that apply)

<input type="checkbox"/> Insurance	Type: _____	<input type="checkbox"/> Annuities	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Investment	Type: _____	<input type="checkbox"/> Securities	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Legal Services	Type: _____	<input type="checkbox"/> Living Trust	<input type="checkbox"/> Estate Planning Other: _____
<input type="checkbox"/> Investment Advice	Type: _____	<input type="checkbox"/> Financial Planning	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Financial	Type: _____	<input type="checkbox"/> Accountant	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Other:	_____		

## Who regulates or licenses this product/service?

<input type="checkbox"/> NJ Bureau of Securities	<input type="checkbox"/> NJ Real Estate Commission
<input type="checkbox"/> NJ Dept. of Bank and Insurance	<input type="checkbox"/> NJ Board of Accountancy
<input type="checkbox"/> Other (please identify/explain): _____	<input type="checkbox"/> The Supreme Court of NJ

## What license(s) do you hold that authorizes you to sell this product/service?

<u>LICENSE TYPE</u>	<u>LICENSE INFORMATION</u>
Insurance License	License No: _____
Securities (Broker) License	CRD No. _____
Investment Adviser Attorney	IARD No: _____ Licensed With: <input type="checkbox"/> Bureau of Securities <input type="checkbox"/> SEC Supreme Court No: _____
Accountant License	CPA No: _____
Real Estate License	License No: _____
Other	Explain: _____

## Seller/Agent Information

Seller/Agent Name: \_\_\_\_\_

Company/Business Name: \_\_\_\_\_

Company/Business Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Today's Date: \_\_\_\_\_

## “Check Before You Invest”

*Helpful tips on how to become a more knowledgeable consumer.*

Once the information on the front side of this form has been filled out and left with you, call the appropriate agency to confirm that the person/company holds a valid license (i.e. is **both** licensed and authorized to sell/offer the product to you) **BEFORE** you **INVEST** your money with anyone.

### **The NJ Bureau of Securities**

<http://www.njsecurities.gov>

[AskBureauOfSecurities@dca.lps.state.nj.us](mailto:AskBureauOfSecurities@dca.lps.state.nj.us)

P.O. Box 47029

Newark, NJ 07101

Telephone: 973-504-3600

or toll-free 1(866)- 446-8378

1(866) I-Invest

Fax: 1(973) 504-3601

### **The NJ Department of Banking and Insurance**

<http://www.state.nj.us/dobi/insmnu.shtml>

Insurance Licensing

Telephone Number: 609-292-4337

### **New Jersey Real Estate Commission**

240 West State Street

P.O. Box 328

Trenton, New Jersey 08625-0328

[realestate@dobi.state.nj.us](mailto:realestate@dobi.state.nj.us)

Fax Number: (609) 292-0944

<http://www.state.nj.us/dobi/remnu.shtml>

### **NJ Board of Accountancy**

124 Halsey Street, 6<sup>th</sup> Floor

P.O. Box 45000

Newark, N.J. 07101

(973) 504-6380.

<http://www.njconsumeraffairs.gov/nonmedical/accountant.htm>

A knowledgeable consumer is a “**safe**” consumer.  
Don’t invest until you investigate.