

CROSS SELLING

HOW TO PROTECT YOURSELF

CHECK REGISTRATIONS

CONTACT YOUR SECURITIES REGULATOR, FINRA'S BROKERCHECK DATABASE (US) OR THE CSA'S NATIONAL REGISTRATION SEARCH TOOL (CANADA) TO CONFIRM ALL INVESTMENT ADVISERS AND PRODUCTS BEING OFFERED ARE REGISTERED OR LEGALLY EXEMPT FROM REGISTRATION.

UNDERSTAND THE INVESTMENT APPROACH

ASK QUESTIONS ABOUT THE OFFERING AND RESEARCH THE OPPORTUNITY. FIND OUT HOW THE INVESTMENT WILL GENERATE RETURNS, THE TIMEFRAME FOR PAY OUT, COSTS ASSOCIATED, AND HOW YOUR ADVISER WILL BE COMMISSIONED.

BE AWARE OF THE SALES TACTICS

HIGH PRESSURE SALES PITCHES, UNSOLICITED OFFERS, AND PROMISES OF HIGH RETURNS WITH LITTLE TO NO RISK ARE ALL PART OF THE ART OF PERSUASION. RESIST THE PRESSURE TO INVEST QUICKLY.

BOTTOM LINE

INVESTORS MAY BE ENCOURAGED TO INVEST IN PRODUCTS THAT ARE NOT IN THEIR BEST INTEREST. LOOK OUT FOR DUBIOUS SALES PITCHES. TO LEARN MORE ABOUT TOP INVESTOR THREATS, THE RED FLAGS OF FRAUD, AND HOW TO CONTACT YOUR SECURITIES REGULATOR VISIT THE NASAA FRAUD CENTER.



LEARN MORE
AT [NASAA.ORG](https://www.nasaa.org)



OR VISIT
[FCNB.ca](https://www.fcnb.ca)