

Office of the Securities Commissioner

We Are Here To Help



WE REGULATE

The Securities Compliance Branch is responsible for the registration of securities, broker-dealers and their sales agents, investment advisers and their representatives. Call us to check registration **(808) 586-2722**.

WE PROTECT

The Securities Enforcement Branch receives and investigates complaints about investment fraud and other securities violations. We take legal action against violators of securities laws. Call us to file a complaint **(808) 586-2740**.

WE EDUCATE

The Investor Education Program provides the public with general information on:

- How to make wise choices when investing,
- How to detect and protect investment fraud like Ponzi Schemes and Affinity Fraud,
- Investment products such as mutual funds, variable annuities, stocks, and bonds.

Call us at **(808) 587-7400** for free investor education materials or to schedule a presentation.

Protecting Hawaii Investors

Contact Information

Office Hours: 7:45 AM - 4:30 PM Hawaii Standard Time (HST). The office is open Monday–Friday except on State holidays.

Office Location:

DCCA – Office of the Securities Commissioner
King Kalakaua Building
335 Merchant Street, Rm. 203
Honolulu, HI 96813

Office Mailing Address:

DCCA - Office of the Securities Commissioner
P.O. Box 40
Honolulu, HI 96810

Telephone:

(808) 586-2722 (Securities Compliance Branch)
(808) 586-2740 (Securities Enforcement Branch)
(808) 587-7400 (Investor Education Program)

Fax: (808) 586-3977

Email: seb@dcca.hawaii.gov

Website: investing.hawaii.gov



HI Securities

To report investment fraud,
call **(808) 587-2267** or
Toll Free **1-877-447-2267**

INVESTOR EDUCATION:
ASK QUESTIONS



Department of Commerce and Consumer Affairs

**Office of the Securities
Commissioner**

20 QUESTIONS TO ASK A PERSON SELLING INVESTMENTS



1. Are you registered with the Hawaii Office of the Securities Commissioner?
2. How did you get my name?
3. Where is your office?
4. Where are you calling from?
5. How long have you been in business?
6. How long has your company been in business?
7. Can you give the names and telephone numbers of three other investors in my local community who made profits on this investment?

8. How long will the advertised rates of return last?
9. What specific service or product does this company make?
10. Is this investment guaranteed?
(Most are not. Securities investments involve risk.)
11. Is this investment registered with the Hawaii Office of the Securities Commissioner?
12. Please send me copies of the company's financial statements and a list of customers I can call.
13. What are the risks that I will lose money?
14. Is the investment traded daily on a regulated exchange?



15. What are the commissions and fees that you and your company will make during the entire time of my investment?
16. What will it cost to get my money back out of the fund (stock, bond or other securities)?
17. How much money have you invested personally in this deal?
18. Will you send me a prospectus or offering materials in the mail?
19. What is your telephone number so I can call you later?
20. Will you please call my stockbroker (or banker, lawyer, or trusted financial adviser) with the same deal so I can ask them for another opinion?

(Source: North American Securities Administrators Association (NASAA) Investor Education Program. For more information visit the website at nasaa.org)

To Report Investment Fraud >>> Call (808) 587-2267 or Toll Free 1-877-447-2267