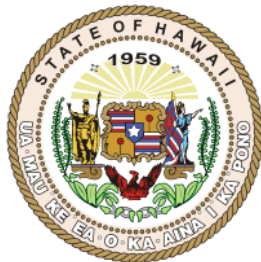


# Office of the Securities Commissioner

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](mailto:seb@dcca.hawaii.gov)

**Website:** [investing.hawaii.gov](http://investing.hawaii.gov)



HI Securities

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

## INVESTOR EDUCATION: **BILL OF RIGHTS**



Department of Commerce and Consumer Affairs

**Office of the Securities  
Commissioner**

# ***Investor Bill of Rights***

*When you invest, you have the right to...*

## **1. Ask >>>**

Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.

## **2. Receive >>>**

Receive complete information about the risks, obligations, and costs of any investment before investing.

## **3. Receive >>>**

Receive recommendations that are consistent with your financial needs and investment objectives.

## **4. Receive >>>**

Receive a copy of all completed account forms and agreements.

## **5. Receive >>>**

Receive account statements that are accurate and understandable.

## **6. Understand >>>**

Understand the terms and conditions of transactions you undertake.

## **7. Access >>>**

Access your funds in a timely manner and receive information about your restrictions or limitations on access.

## **8. Discuss >>>**

Discuss account problems with the branch manager or compliance department of your firm and receive prompt attention to and fair consideration of your concerns.

## **9. Receive >>>**

Receive complete information about commissions, sales charges, maintenance or service charges, transaction or redemption fees and penalties.

## **10. Contact >>>**

Contact the Office of the Securities Commissioner – Compliance Branch at (808) 586-2722 to verify the employment and disciplinary history of a securities agent and the agent's firm, and to find out if the investment is permitted to be sold.



(Source: Financial Industry Regulatory Authority (FINRA). For more information visit the website at [finra.org](http://finra.org).)

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