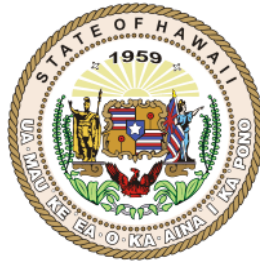


# Office of the Securities Commissioner

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:  
**CHECK BEFORE  
YOU INVEST**



Department of Commerce and Consumer Affairs

**Office of the Securities  
Commissioner**

If someone is selling you securities or advising you on your investments, that person and company should be registered.

## How do you check on your securities professional?

### Contact the Office of the Securities Commissioner >>>

We can help you check the **registration** of your:

- ✓ Broker-dealers and their agents
- ✓ Investment advisers and their representatives
- ✓ Securities

When you call, please have the name of the firm and the individual's first and last name and middle initial if available.

### On Oahu, Call 586-2722

### From the Neighbor Islands, Call Toll Free

- **Big Island:** call **974-4000**, wait for the dial tone then enter **62722** and hit the # key.
- **Kauai:** call **274-3141**, wait for the dial tone then enter **62722** and hit the # key.
- **Maui:** call **984-2400**, wait for the dial tone then enter **62722** and hit the # key.
- **Molokai/Lanai:** call **1-800-468-4644**, wait for the dial tone then enter **62722** and hit # key.

## Questions to Ask Before Investing:

- Is this firm registered as a broker-dealer or investment adviser in Hawaii?
- Are there any complaints against the firm?
- Is this individual registered in Hawaii?
- Is this security properly registered?
- Are there any complaints against the individual?



## Other Sources of Information For Self Help

The Financial Industry Regulatory Authority (FINRA) offers FREE BrokerCheck reports.

- Visit the website at [finra.org/brokercheck](http://finra.org/brokercheck) or call toll free 1-800-289-9999; you will need:
  - For Firms – the full name of the firm.
  - For Individuals – the first, middle initial and last name of the individual and the name of either the individual broker's current or previous firm.

The Commodity Futures Trading Commission (CFTC) offers SmartCheck.

- Visit the website at [smartcheck.gov](http://smartcheck.gov)

Check out Investment Adviser firms:

- Visit the Investment Adviser Public Disclosure website provided by the United States Securities and Exchange Commission (SEC) at [adviserinfo.sec.gov](http://adviserinfo.sec.gov)

(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**