

OFFICE OF THE SECURITIES COMMISSIONER

WE REGULATE

The Securities Compliance Branch is responsible for the registration of securities, broker-dealers and their sales agents, investment advisers and their representatives.

WE PROTECT

The Securities Enforcement Branch receives and investigates complaints about investment fraud and other securities violations. We take legal actions for violations of state securities law and franchise law.

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 against investment fraud such as Ponzi Schemes and Affinity Fraud; and

Investment products such as mutual funds, variable annuities, stocks, and bonds.

PROTECTING HAWAII INVESTORS

Contact Us



Department of Commerce and
Consumer Affairs
Business Registration Division
Office of the Securities Commissioner
King Kalakaua Building
335 Merchant Street, Room 205
Honolulu, HI 96813



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Securities Enforcement Branch
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Investor Education Program
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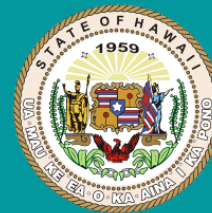


investing.hawaii.gov



HISecurities

**To Report Investment Fraud
call (808) 586-2740 or
Toll Free 1-877-447-2267**



DCCA

Department of Commerce and Consumer Affairs
Business Registration Division

ASK QUESTIONS



**INVESTOR EDUCATION
PROGRAM**

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 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 and email address in case I want to contact 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?

**PROTECTING
HAWAII
INVESTORS**

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

To Report Investment Fraud
1-877- HI SCAMS

investing.hawaii.gov

For more information call
(808) 587-7400