

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



Securities Compliance Branch
(808) 586-2722
sc@dcca.hawaii.gov
Securities Enforcement Branch
(808) 586-2740
seb@dcca.hawaii.gov
Investor Education Program
(808) 587-7400
gakapo@dcca.hawaii.gov

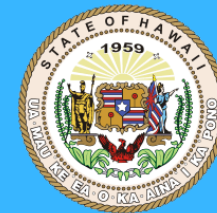


investing.hawaii.gov



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

CHECK BEFORE YOU INVEST



**INVESTOR EDUCATION
PROGRAM**

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

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 808-586-2722

From the neighbor islands, call toll free -

1) Big Island: dial **808-940-4000**

Kauai: dial **808-274-3141**

Maui: dial **808-984-2400**

Molokai: dial **1-800-468-4644**

Lanai: dial **1-800-468-4644**

2) Wait for the dial tone then enter **62722** and press the **#** key.

We can help you check the registration of:

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

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?
- Are there any complaints against the individual?
- Is this investment properly registered?



Other Sources Of Information For Self Help

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

- Visit the website at **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.

United States Securities and Exchange Commission (SEC)

Visit the Investment Adviser Public Disclosure website provided by the United States Securities and Exchange Commission (SEC).

Check out Investment Adviser firms:
adviserinfo.sec.gov

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