

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

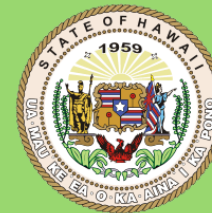


investing.hawaii.gov



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

INVESTOR EDUCATION COMMUNITY PRESENTATIONS



**INVESTOR EDUCATION
PROGRAM**

The Investor Education Program provides FREE presentations, materials and community exhibits.

Need a Guest Speaker?

- We have various investor protection topics to choose from.
- We will bring our own computer equipment.
- We provide supplemental materials and handouts.
- Presentations will be done by a member of our professional staff.
- Presentations are 30-40 minutes and include materials.

Here are the seven presentations we currently offer:

1. Who We Are

This presentation is an introduction to the Department of Commerce and Consumer Affairs, Office of the Securities Commissioner. Learn about our office, investment fraud protection tips, how to report investment fraud, where to get free investor protection materials, and more!

2. How To Spot A Con Artist

If something sounds too good to be true, it probably is. This presentation will cover threats to investors, ways you can spot a con artist, ways to protect yourself from becoming a victim, and how the DCCA Office of the Securities Commissioner can help.

3. Protect Yourself & Your Money From Predatory Tactics

Con artists will say or do anything to take your hard earned money away from you. This presentation will cover examples of predatory tactics, how to recognize these tactics, and how the DCCA Office of the Securities Commissioner can help.

4. Understanding Variable Annuities

Con artists will say or do anything to take your hard earned money away from you. This presentation will cover examples of predatory tactics, how to recognize these tactics, and how the DCCA Office of the Securities Commissioner can help.

5. Avoid Being A Victim

Investment fraud comes in many shapes and forms. This presentation will cover various threats to Hawaii investors. From unregistered investment products and unregistered agents, misused credentials and designations, to greedy sales practices and Ponzi Schemes. Learn more about how you can avoid becoming victim of investment fraud and how the DCCA Office of the Securities Commissioner can help.

6. The Ponzi Scheme

One of the most common types of investment fraud today is the Ponzi Scheme. This presentation will cover what a Ponzi Scheme is, how it works, the losses that investors may incur, red flags to watch for, where to report Ponzi Schemes and other types of investment fraud, and how the DCCA Office of the Securities Commissioner can help.

7. Affinity Fraud

Affinity Fraud can happen to anyone, at any time. Affinity Fraud occurs when con artists tap into community groups, family ties, clubs or other "affinities" to create a false sense of trust to lure victims into investing. This presentation will cover what Affinity Fraud is, the approach and possible targets of this type of fraud, ways to avoid the fraud, and how the DCCA Office of the Securities Commissioner can help.

To Report Investment Fraud
1-877- HI SCAMS

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For more information call
(808) 586-2737