INVESTOR EDUCATION
WHO IS HELPING YOU INVEST?

How Do I Check On My Securities Broker Or Investment Adviser?

CONTACT THE HAWAII DCCA SECURITIES COMPLIANCE BRANCH

This office can help you check the registration of your:

- ✓ Broker-dealer and their salespeople
- ✓ Investment advisers and their representatives
- ✓ Securities

On Oahu, Call 586-2722: When you call, please have the name of the firm and the individual's first and last name and middle initial if available.

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:

- 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 – CHECK OUT YOUR BROKER:

The Financial Industry Regulatory Authority (FINRA) offers FREE BrokerCheck 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 Individual Sales Agents – the first, middle initial and last name of the individual broker and the name of either the individual broker's current or previous firm. FINRA BrokerCheck Report requests can be forwarded via mail or internet and might take 2 to 3 business days. Some reports could take longer if new information is recently filed.

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.

Questions to Ask:

- Are there any complaints against the firm? Are there any complaints against the individual?

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

To file a complaint, call 587-2267/Toll Free 1-877-447-2267.

"Protecting Hawaii Investors"

Hawaii Department of Commerce & Consumer Affairs
Office of the Securities Commissioner

1-877-HI SCAMS investing.hawaii.gov @HISecurities /HISecurities