



Department of Commerce & Consumer Affairs
Office of the Securities Commissioner
335 Merchant Street, Honolulu, HI 96813

“Protecting Hawaii Investors”

WHO WE ARE?

Securities Compliance Branch

This branch is responsible for the registration of:

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

Securities Enforcement Branch

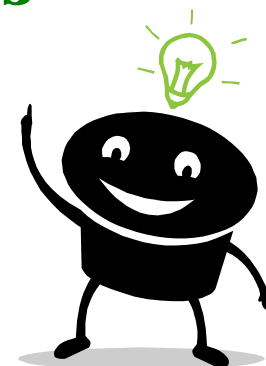
This branch:

- Receives and investigates complaints relating to securities investments
- Prosecutes violators of state securities laws

Investor Education Program

This program provides the public with FREE presentations and/or materials on:

- How to make wise choices when investing
- How to identify and protect yourself from investment fraud
- Investment products such as mutual funds, variable annuities, stocks, and bonds.
- Types of investment fraud such as Ponzi schemes and Affinity Fraud.



HOW CAN WE HELP YOU?

Securities Compliance Branch

(808) 586-2722

- Verifies registration status of broker-dealers and investment advisers
- Handles registration of securities (i.e. mutual funds, franchises, etc.)

Securities Enforcement Branch

(808) 586-2740

- Answers inquiries from the public regarding investment frauds and abuses
- Receives, investigates and prosecutes complaints involving securities violations

Investor Education Program

(808) 587-7400

- Offers FREE educational presentations and materials for all investors including students, working adults, military personnel and seniors.

To report investment fraud call 58SCAMS (587-2267)/Toll Free 1-877-HI SCAMS

Visit our website at www.investing.hawaii.gov

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