



90% of investment scams involve *unregistered* investment professionals selling *unregistered* securities.

Before investing, verify with OFI that the person *and* the security are each registered with OFI -- unless either qualifies for an exemption to registration.

## Are you a target for investment fraud?

- √ **Recent retiree**
- √ **Age 55+**
- √ Getting divorced
- √ Experienced a recent death of a loved one
- √ Expecting a cash settlement
- √ Active church member OR social club member
- √ Have *above-average* knowledge of investments
- √ Attend free meal investment seminars
- √ Recent illness, natural disaster or financial setback
- √ Referred to an investment professional by a friend

Louisiana's Office of Financial Institutions (OFI) is Louisiana's securities regulator and investigates investment scams in Louisiana. Investment professionals and the securities they sell are required by law to be registered with OFI unless either qualifies for an Exemption to registration.

**NO investment advice given or products sold!**

1. **Verify that your investment professional *and* the security are legally registered with OFI** to be sold in Louisiana (unless they qualify for Exemptions). This includes *out-of-state* solicitations.
  2. Submit a written request to OFI for a **confidential CRD background check *at no charge*** on investment professionals registered with OFI, covering their:
    - *Background*
    - *Certifications*
    - *Criminal History*
    - *Employment History, including: Terminations, Disciplinary Actions & Customer Complaints*
    - *Pending Arbitrations*
- For fastest service:
- Ask investment professionals for their personal *CRD Numbers* **OR** their legal names.
  - Email a confidential request to [complaints@ofi.la.gov](mailto:complaints@ofi.la.gov) OR mail the request to the address below.
3. Ask about exemptions to registration with OFI, or suspicious investments.
  4. **Report investment scams to OFI for a confidential investigation.**

Office of the Governor

Louisiana **Office of Financial Institutions (OFI)**

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**1-877-516-3653 (free call) OR (225) 925-4512**

Visit [www.ofi.la.gov/SecuritiesInvestorEd.htm](http://www.ofi.la.gov/SecuritiesInvestorEd.htm) for monthly updates in investor protection.