



## Are YOU a target for investment fraud?

- √ Age 48+
- √ Recent retiree
- √ Getting divorced
- √ Experienced a recent death of a loved one
- √ Expecting an inheritance or cash settlement
- √ Active church member OR social club member
- √ Have above-average knowledge of investments
- √ Attending free meal investment seminars
- √ Recent illness, natural disaster or financial setback
- √ Confident in investments

If you're a target, it's important to know that investment professionals and the investments they sell are required by law to be either *registered* with the Louisiana **O**ffice of **F**inancial **I**nstitutions (OFI) or *exempt* from registration with OFI. Verify with OFI *before* you invest!

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

1. Call OFI to verify that both your investment professional and the potential investment are registered to be sold in Louisiana. This includes *out-of-state* solicitations.
2. Submit a written request to OFI for a **confidential background check** (i.e., *CRD Report*) **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 [BackgroundCheck@ofi.la.gov](mailto:BackgroundCheck@ofi.la.gov) **OR** mail the request to the address below.
3. Ask about exemptions to registration with OFI and suspicious investments.

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

Office of the Governor  
Louisiana **O**ffice of **F**inancial **I**nstitutions (**OFI**)  
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Visit [Investor Awareness](#) for free investment fraud information and resources.