

SECURITIES INDUSTRY EMERGENCY CLOSURES DUE TO FLOODING

FIRMS

Broker-dealer and investment adviser firms may find it necessary to close or relocate offices as a result of the current flooding in Louisiana. In the event you find this necessary, please contact:

Len Riviere, Deputy Commissioner of Securities

(225) 925-6550

(225) 747-0716

lriviere@ofi.la.gov

To the extent possible, we ask that you provide us with current contact information so that we are able to reach you if needed. We will also provide this information to any of your clients that contact us.

CONSUMERS

If you are unable to contact your securities professional because of a closure or relocation, please call the Securities Division at (225) 925-4512, (225) 925-6550, or (225) 747-0716, and we will attempt to provide you with current contact information.