



Investor Assistance

Louisiana Office of Financial Institutions (OFI)

Louisiana's Securities Regulator

Call toll-free at **1-877-516-3653**

or locally at **225-925-4512**

- To check registrations of the promoter or the security itself, or
- To ask about Exemptions to registration, or
- To ask about Compliance issues

Call OFI and ask for Scott Jolly, Deputy Chief Examiner

To request a free background check OFI (CRD Report) on a promoter registered with OFI:

Submit your request in writing, either by Email to complaints@ofi.la.gov

OR

Mail the hard copy to: Office of Financial Institutions
8660 United Plaza Boulevard
Second Floor
Baton Rouge, LA 70809
ATTN: CRD Reports

Note: Confidential requests for *CRD Reports* are never recorded as actual *complaints*. This is only the name of the mailbox.

To discuss a fraud complaint for a *confidential* investigation by

OFI: Call OFI and ask for either Scott Jolly, Deputy Chief Examiner,

Stephen Cauble, Compliance Investigator **OR** Jack Migliore, Compliance Investigator

To request a free speaker on investment fraud awareness for a group meeting in Louisiana:

Call OFI and ask for the Training Program Manager