

SECURITIES INDUSTRY EMERGENCY CLOSURES FOR TROPICAL STORM ZETA

FIRMS

Broker-dealer and investment adviser firms may find it necessary to close or relocate offices as a precaution against inclement weather associated with Tropical Storm Zeta. In the event you find this necessary, please contact either of the following at your earliest convenience:

P. Scott Jolly, Deputy Commissioner of Securities

(225) 925-4170

(225) 747-0716

pjolly@ofi.la.gov

Levin Walker, Compliance Examiner Reviewer

(225) 925-7578

lwalker@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 customers 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 or (225) 747-0716, and we will attempt to provide you with current contact information.