

Avoid Investment Fraud

Tips to Protect You and Your Assets

Verify the broker or seller is licensed

For more information about:

A broker or firm:

FINRA BrokerCheck

www.finra.org/brokercheck

800-289-9999

An investment adviser:

SEC Investment Adviser Public Disclosure Database

www.adviserinfo.sec.gov

An investment seller:

North American Securities Administrators Association

www.nasaa.org

An insurance agent:

Office of Financial and Insurance Regulation

1-877-999-6442

Verify that the investment is registered with the Securities & Exchange Commission

SEC's EDGAR Database

www.sec.gov/edgar.shtml

Monitor the activity on your account(s)



Take Action

if you are a victim of investment fraud

If you believe that you have been defrauded or treated unfairly, be sure to file a complaint with a securities regulator.

Contact the State of Michigan Office of Financial and Insurance Regulation at 1-877-999-6442 and file a complaint

You may also contact the Financial Industry Regulatory Authority (FINRA) at www.finra.org/complaint to file a written complaint online or fax a complaint to (866) 397-3290

You may also contact the SEC Office of Investor Education and Advocacy at

1-800-SEC-0330

www.sec.gov/complaint.shtml

