

## Louisiana Office of Financial Institutions (OFI)

Louisiana's Securities Regulator

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



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[www.ofi.la.gov/SecuritiesInvestorEd.htm](http://www.ofi.la.gov/SecuritiesInvestorEd.htm) - Investor Education website for the Securities Division of the Louisiana Office of Financial Institutions, or OFI. Offers monthly updates on investor protection awareness and education, how investors can check registrations of the promoter and the security before investing, request a free *CRD Report* to check the background of investment professionals who are registered with OFI, and how to file a confidential complaint of securities fraud.

[www.nasaa.org](http://www.nasaa.org) – The North American Securities Addministrators Association is the oldest international organization devoted to investor protection. NASAA's voluntary membership consists of state, provincial and territorial securities administrators in the 50 states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Canada and Mexico. As Louisiana's securities regulator, the Office of Financial Institutions (OFI) is an active member of NASAA and recommends their website as a comprehensive source of both investor education and securities industry regulatory information.

[www.ServeOurSeniors.org](http://www.ServeOurSeniors.org) – This new website was developed in 2016 by NASAA to offer resources for senior investors, family caregivers, the securities industry and policymakers.

[www.goea.la.gov](http://www.goea.la.gov) - Louisiana Governor's Office of Elderly Affairs at (225) 342-7100 – Serves as a focal point for Louisiana's senior citizens and administers a broad range of home and community-based services through a network of Area Agencies on Aging.

[www.ag.state.la.us](http://www.ag.state.la.us) - Louisiana Attorney General's Consumer Protection Office offers information on identify theft, phone and internet scams, contractor fraud and sweepstakes fraud. Call 225-326-6465.

[www.lidi.state.la.us](http://www.lidi.state.la.us) - Louisiana Department of Insurance for questions on insurance products like annuities, viatical life settlements or long-term care products. Call 800-259-5300.

[www.finra.org](http://www.finra.org) – Financial Industry Regulatory Authority, the largest non-governmental self-regulatory organization for all securities firms doing business in the United States. FINRA was created in July 2007 with the consolidation of the National Association of Securities Dealers (NASD) and the member regulation, enforcement and arbitration functions of the New York Stock Exchange. The website offers online information for both industry professionals and investors, along with online tools to help investors learn how to invest, build their financial knowledge and protect investments from fraud. The FINRA Investor Education Foundation supports innovative research and projects that help investors better understand the markets and principles of saving and investing.

[www.saveandinvest.org](http://www.saveandinvest.org) - A division of FINRA, with tools to help military, teens and seniors learn about saving and investment fraud scams.

<http://www.ftc.gov> - The Federal Trade Commission (FTC) enforces federal antitrust and consumer protection laws.

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[www.consumerfinance.gov](http://www.consumerfinance.gov) – Consumer Financial Protection Bureau (CFPB) consolidates most Federal consumer financial protection authority in one place. The consumer bureau is focused on one goal: watching out for American consumers in the market for consumer financial products and services. Its authority includes American banks, credit unions, securities firms, payday lenders, mortgage-servicing operations, foreclosure relief services, debt collectors and other financial companies.

[www.sec.gov](http://www.sec.gov) – U.S. Securities and Exchange Commission – Offers investor education through Alerts, Bulletins, calculators and other free tools to protect investors. The SEC oversees key sectors in securities exchanges, securities brokers and dealers, investment advisors and mutual funds. The SEC promotes the disclosure of important market-related information, maintaining fair dealing and protecting against fraud. The SEC's Office of Investor Education and Advocacy provides a variety of services to address the problems and questions faced by investors.

[www.aarp.org](http://www.aarp.org) – American Association for Retired Persons – Learn more about frauds and scams that target Americans over fifty.

[www.cftc.gov](http://www.cftc.gov) – U.S. Commodity Futures Trading Commission – Its mission is to protect investors and the public from fraud, manipulation, abusive practices and general risk related to derivatives – both futures and swaps – and to foster transparent, open, competitive and financially sound markets. *Note: In Louisiana, gold is a commodity.*

[www.IC3.gov](http://www.IC3.gov) – National White Collar Crime Center deals with the growing threat of cybercrime and offers a reporting mechanism to alert authorities of suspected criminal or civil violations. This site provides a central referral mechanism for complaints involving Internet-related crimes at the federal, state, local and international levels.

*Disclaimer: The Office of Financial Institutions is not responsible for the accuracy of the phone numbers or websites listed.*