

1. **Verify that your investment professional and the security are legally registered with OFI** to be sold in Louisiana (unless they qualify for Exemptions). This includes *out-of-state* solicitations.
2. Submit a written request to OFI for a **confidential CRD background check at no charge** on investment professionals registered with OFI, covering their:

<i>Background</i>	<i>Employment History, including:</i>
<i>Certifications</i>	<i>Terminations, Disciplinary Actions & Customer Complaints</i>
<i>Criminal History</i>	<i>y , o</i>
4. **Report investment scams to OFI for a confidential investigation.**
5. A **free speaker on fraud awareness and prevention** is available to senior meetings throughout Louisiana. Call Nancy Boudreaux at OFI, or email nboudreaux@ofi.la.gov for advance bookings.

¾ Investor Assistance

¾ Senior Financial Exploitation

- à www.ServeOurSeniors.org
- à Guarding the Guardians
- à Cognitive Decline
- à Fraud
- à Report Senior Financial Exploitation
- à Risky Habits
- à Investor Assistance
- à Free Speaker to Senior Groups in Louisiana
- à Seniors Targeted: Check Registrations Before Investing
- à Remove Your Name From Mailing Lists
- à Conversation Starters
- à Investors Over Fifty
- à Additional Senior Investor News & Resources

¾ Free Tools & Resources

- à Helpful Websites
- à Tax Preparers: Warning Signs of Securities Fraud on Tax Returns
- à Differences Between Using a Stockbroker or an Investment Advisor
- à Cutting Through ti

- à Marijuana-Related Investments
- à Things to Know About LA Securities
- à 2018 Top Investor Threats
- à [Radio Interview with Mike Echols](#)
- à Risky Habits
- à Pension Advance Scams
- à Fake Certifications
- à Five Certifications in LA
- à How To Spot A Con Artist
- à 10 Tips to Protect Savings
- à Promissory Notes: Promises, Problems
- à Beware of Affinity Fraud
- à Guide to Financial Service Providers
- à Investor Tips for a Down Market
- à Madoff: A Ponzi Scheme
- à Warning Signs of Investment Fraud
- à Red Flags Phrases for Fraud

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