



COMMISSION NEWS

ARIZONA CORPORATION COMMISSION, 1200 W. WASHINGTON, PHOENIX, AZ 85007

TO: EDITORS, NEWS DIRECTORS
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FREE INVESTOR EDUCATION SERIES TO BE HELD IN SUN CITY

PHOENIX – The Arizona Corporation Commission’s Securities Division is hosting two free presentations in Sun City during November. The events are designed to help local residents choose the right broker and avoid securities fraud. The Securities Division will be joined by representatives from the Securities and Exchange Commission (SEC).

The series kicks off November 4th from 1:00 to 2:00 p.m. at Sun City Library when representatives from both governmental agencies will speak on the topic, “Sound Advice: Choosing and Monitoring Your Financial Professional.”

During the one-hour session, attendees will learn the “red flags” to avoid when choosing a financial adviser and what to watch out for after establishing the relationship. Presenters from both the SEC and the Commission have served as examiners who review complaints about broker-dealers and investment advisers and their representatives.

On November 25th, from 1:00 to 2:00 p.m. the topic is “Scams & Schemes: What Con Games are Perpetrated in Arizona and How to Protect Yourself.” Public information and investor education representatives will point out how to avoid the “dirty dozen,” a list of twelve scams and cons that are most commonly found in our state.

While volumes of investment expertise are now available at the click of a mouse, both federal and state securities regulators are reaching out at the grass-roots level, conducting informal classes where the public has an opportunity to ask questions and discuss concerns face to face. According to both Commissions, informed investors are the best line of defense against fraud.

Seating in the Sun City Library's Hoover Room is limited. To register for these presentations, contact Linda Yellowhorse at 623-974-2569.

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