



# ALABAMA SECURITIES COMMISSION



Joseph P. Borg, Director

**THE ASC MISSION IS TO PROTECT INVESTORS FROM SECURITIES FRAUD  
AND PRESERVE LEGITIMATE CAPITAL MARKETS IN ALABAMA.**

## FREE SERVICES FOR ALABAMIANS:

- ✓ ACCESS TO NEW WEBSITE: [www.asc.alabama.gov](http://www.asc.alabama.gov).
- ✓ FRAUD PREVENTION AND INVESTOR EDUCATION PUBLICATIONS.
- ✓ EDUCATIONAL PRESENTATIONS TO GROUPS ANYWHERE IN ALABAMA AND HOST FIELD TRIP VISITS FOR GRADES 7-12.
- ✓ CHECK REGISTRATION / LICENSING AND BACKGROUND OF THE PERSON & COMPANY SELLING SECURITIES OR FINANCIAL ADVICE.
- ✓ CHECK IF THE SECURITIES OFFERED ARE REGISTERED.
- ✓ "BASICS OF SAVING AND INVESTING" CURRICULUM.
- ✓ CALL AND REPORT A SUSPECTED SECURITIES SCAM.
- ✓ CHECK THE LICENSING OF DEBT MANAGEMENT PROGRAMS.

Contact ASC for inquiries regarding securities broker-dealers, agents, investment advisors, and investment advisor representatives, financial planners, the registration status of securities, or debt management programs, to report suspected fraud, or obtain consumer information:

**Call:** 1-800-222-1253

**Email:** [asc@asc.alabama.gov](mailto:asc@asc.alabama.gov)

**Write:**

Alabama Securities Commission,  
Post Office Box 304700  
Montgomery, Alabama 36130-4700

**ASC Website:** [www.asc.alabama.gov](http://www.asc.alabama.gov)

The Alabama Securities Commission is a member of the North American Securities Administrators Association (NASAA), the oldest international organization devoted to investor protection. NASAA is a voluntary association whose membership consists of 67 state, provincial, and territorial securities administrators in the 50 states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Canada, and Mexico. For more information about NASAA go to their website at: [www.nasaa.org](http://www.nasaa.org).