



The ASC mission is to protect investors from securities fraud and preserve legitimate capital markets in Alabama

VISIT OUR WEBSITE FOR:

- **Investor education**
- **Fraud prevention**
- **Annual reports**
- **Press releases**
- **Administrative orders**
- **Laws pertaining to the ASC**
- **Broker check link**



1-800-222-1253



ASC@asc.alabama.gov



ASC.alabama.gov



**Alabama Securities
Commission**



ALSecCommission



shecan.alsecuritiescommission

**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**



**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**

CONTACT THE ASC:

Call: 1-800-222-1253

Email: ASC@asc.alabama.gov

Website: ASC.alabama.gov

**Write: Alabama Securities
Commission**

**Post Office Box 304700
Montgomery, AL 36130-
4700**