



State of Connecticut
Department of Banking
Securities and Business Investments Division
260 Constitution Plaza, Hartford, CT 06103



Week #1: Introduction

GOV. RELI: I'm Governor Jodi Rell.

The Connecticut Securities Division, part of the Department of Banking, protects investors like you and makes it easier for legitimate businesses to raise capital.

Securities brokerage firms and their agents, as well as investment advisers, are all licensed by the Securities Division. This Division investigates securities fraud and other misconduct and can levy fines of up to \$100,000 per violation. It can also refer the case for criminal prosecution through the Office of the Chief State's Attorney or seek an injunction through the Attorney General's Office.

In the coming months, the Connecticut Department of Banking's Securities Division and AARP-Connecticut will be alerting you to the dangers of fraud through the Campaign for Wise and Safe Investing. We hope you will find it helpful.

The Connecticut Securities Division. We're here to help.

Go to our website at ct.gov/dob or call 1-800-831-7225.