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Investor

Ed

Protecting the Military from Investment Fraud

California's Troops Against Predatory Scams (TAP\$) Arms Military with Facts to Prevent Fraud

Funded by a grant from the Investor Protection Trust, California's TAP\$ (Troops Against Predatory Scams) program continues to accomplish its mission to help protect military service members and their families from financial fraud. In 2007-08, over 22,000 copies of "Protect You and Your Family from Financial Fraud" were distributed to nearly 19,000 service members, their families, and veterans at 73 outreach events. In February, in conjunction with FINRA's "Save and Invest" program, California staff made a dozen TAP\$ presentations in a one-week period at Naval and Marine Corps installations in the San Diego area that reached almost 3,000 service members. A major highlight involved presenting aboard the USS Ronald Reagan just before her deployment. The



CA Department of Corporations has also partnered with FINRA in other presentations at military installations. While these numbers are impressive, an even better indication of growing success is the increase in TAP\$-related inquiries to the Department's Consumer Resources Center. The situations involved mortgage interest deferments for deployed service members; identity theft; predatory lending and insurance fraud. TAP\$ continues to work on new projects, including partnering with the Investor Protection Trust (IPT) funded PBS series Money Track to create a webinar that will air on Veteran's Day in November. TAP\$ has also connected with consumer protection groups in the San Diego area, and has several events planned for the fall of 2008. To learn more, please visit the TAP\$ website: www.corp.ca.gov/Education_Outreach/taps.



Andrew Roth & Deborah Braver aboard the USS Ronald Reagan in California

Message from NASAA's IE Chair



I want to take this opportunity to introduce myself as the new NASAA Investor Education Section Chair. As the director of the New Mexico Securities Division I have been very active in promoting investor education in my own home state. For the past four years, I have been a trustee of the Investor Protection Trust (IPT) and as a result have become familiar with many grassroots investor education initiatives across the country. During my tenure, I welcome the opportunity to foster a closer level of cooperation between NASAA and other partners in the Investor Education arena. I look forward to continuing our efforts in the future and know that even better partnerships and programs are to come. Please contact me at bruce.kohl@state.nm.us.

~ Bruce R. Kohl, NASAA Investor Education Section Chair, Director New Mexico Securities Division

Sandwich Generation: Caught in the Middle



Your Children



You



Your Parents

The NASAA Sandwich Generation (SandGEN) Project Group is a new investor education effort to address the financial concerns of an under-represented demographic between seniors and youth—adults responsible for the care and support of both their children and elderly family members, also known as the “Sandwich Generation.” The Sandwich Generation Project Group was created in fall 2007 and has developed a toolkit

of educational and informative materials that address the growing needs of the Sandwich Generation. The project group members began working on the components of the SandGEN Toolkit and held their first meeting in Memphis, Tennessee, in January 2008 following the Investor Education Section Committee meeting. The members had the opportunity to collaborate with the chairs of the Youth and Senior Outreach Project Groups.

NASAA Focuses on the Sandwich Generation

After much hard work and another meeting in Sacramento, “The Sandwich Generation: Caught in the Middle” Toolkit was created. It’s designed to help NASAA members in each jurisdiction reach out to the Sandwich Generation and the organizations that serve them. The SandGEN toolkit contains the following components: a cover letter, “How to Use” Guide, PowerPoint presentation, including talking points, tri-fold brochure, 12-page booklet, self-playing DVD presentation & script (PowerPoint with voice-over). The Sandwich Generation Project Group is pleased to accomplish its assigned tasks in such a short time frame. Special thanks to the following members for their contributions: Diane Young-Spitzer (MA), Amanda Blanks (VA), Lorinda Brinton (AB), Mary Ann Clark (CA), Tony Drenzek (MA), Tanya Webber (MS), & Kyle Larson (CA) designer.



SANDGEN TOOLKIT:

- How to Use Guide
- PowerPoint
- Brochure
- Booklet
- DVD

www.nasaa.org

2008 IE Training Seminar Social Marketing Symposium

What do Investor Education and Social Marketing have in common? At first glance it may not be clear but thanks to a dynamic symposium led by Dartmouth Professor Dr. Punam Keller, more than 70 NASAA IE coordinators can answer that question.

The June 2008 Symposium on Social Marketing was a collaborative effort of NASAA’s Investor Education Section, the Tuck School of Business at Dartmouth and the FINRA Investor Education Foundation—hosted at the seventh annual NASAA Investor Education training seminar in Philadelphia, PA. NASAA IE coordinators were given a Social Marketing Toolkit to help implement the techniques learned at the training. Participants also gained tools for designing and evaluating strategies in educating and protecting investors, numerous opportunities to network, and

how to become involved in NASAA’s extensive IE network. Anthony Wong (BC) was given the “Distinguished Service Award in Investor Education” for his efforts on behalf of investors in British Columbia using interactive tools such as YouTube, and for his work on the new NASAA Investor Education Blog, an online interactive forum aimed at connecting investor education coordinators throughout the NASAA community. The results of the Investor Education Presentations Outreach program were awarded to the state of California for “Most Consumers Reached” & to the province of Ontario for “Most Presentations Made.” Since NASAA began tracking investor education outreach efforts by the membership in November 2006, more than 301,017 consumers have been reached through 2,248 presentations. NASAA’s 2009 IE Training Seminar is slated for next June.



Dr. Keller discusses Social Marketing with NASAA Investor Education coordinators

Social Marketing Toolkit:

- * Essence of Social Marketing
- * Social Marketing Audit
- * Outline of Marketing Plan
- * Program Redesign & Improvement
- * Evaluation of Services
- * Improving Communications & Distribution

In partnership with:



California & Ontario accept their Investor Education Presentation Outreach awards

Join the conversation on the NASAA Blog:

<http://nasaaiesection.blogspot.com/>





David Mancl of the Wisconsin DFI (far left) participates at the first-ever listening session of the President's Advisory Council on Financial Literacy held at the Federal Reserve Bank of Chicago, as part of the Credit and Money session of **Wisconsin's National Institute of Financial and Economic Literacy**.



2008 Financial Fitness Challenge

New Brunswick Securities Commission Chair Donne Smith presents a \$750 scholarship prize to Nicole Chiasson.



Native American Outreach is a pilot program launched by the New Mexico Securities Division in the spring of 2008 to explore how to bring financial education to the Native American community. The program is a collaborative effort with First Nations, the Investor Protection Trust, and the state of New Mexico. The Native American initiative contacted 185 education and community leaders in 2008. We also partner with the Native American Financial Officers Association (NAFOA) to protect investors as Native communities continue to thrive and grow.



Investor Education Outreach



Invest Ed Media Blitz Educates Thousands
The Oklahoma Securities Commission launched a 26 week fraud awareness & prevention campaign that reached 460,000 viewers state-wide using CSI actor Rex Linn.



Washington DFI Launches Ask and Check Program

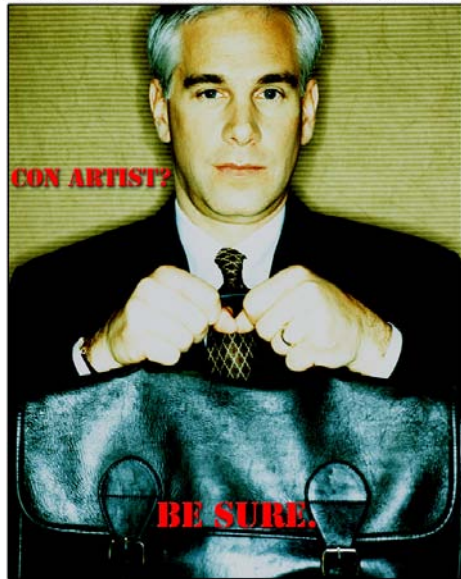
Washington State Department of Financial Institutions partners with FINRA and AARP to provide investor education to seniors in Spokane, WA.



Senior Scam Jam events educate more than 500

Kyle Trimble of the Kentucky Securities Division, right, answers a question at the Louisville Senior Scam Jam. Partners hosted information booths on a variety of fraud topics that affect senior investors.

LOOKS CAN BE DECEIVING



SECURITIES 101: NASAA Law Enforcement Outreach

Program at the NASAA Spring Conference. At least 20 jurisdictions are using Securities 101. Here's feedback from some of those NASAA members: **Alabama Securities Commission** mailed over 370 copies of the Securities 101 Handbook with a personal letter from Director Joseph Borg that offers the Commission's personal assistance and resources. The agency mailed it to all district attorneys, sheriffs and chiefs of police in the state of Alabama. The **Securities Department of the Montana State Auditors Office** used the program at the Adult Protective Services

Law Enforcement Training Seminar in May 2008. **Michigan's Office of Financial & Insurance Services**

is planning to offer a seminar to introduce the material to law enforcement agencies throughout the State. Michigan has also applied to obtain accreditation through the Michigan Commission On Law Enforcement Standards (MCOLES), which is affiliated with the State Police. Peg Beckwith, Investor Education Coordinator from Michigan said "Our Commissioner, Ken Ross, was impressed with the Securities 101 Handbook. It

Securities 101 is a program to educate law enforcement officials about the basics of securities products, schemes and scams. Designed for use by law enforcement officers and district attorneys, the program features a series of resources pertaining to financial instruments ("securities") that are commonly used in schemes to defraud investors. The program offers training for law

enforcement who field complaints or questions from investors who believe they have been defrauded. Resources include a "Securities 101" handbook and other training and presentation materials on how to spot investment fraud. NASAA's IE Coordination Project Group launched the *Securities 101 for Law Enforcement*

"Through this outreach effort, we hope to enhance the strong working relationship between local law enforcement and state securities regulators," said Karen Tyler, NASAA President.

will be a huge bonus to have the course registered so officers will receive credit for the training and they are assured it's valuable by law enforcement standards." This program was developed by the NASAA IE Coordination Project Group and has been endorsed by the National White Collar Crime Center (NWCCC).

Tips on Outreach to Military & Affinity Groups

Holly Hinson (FL): When working with Family Support agencies on military installations first make them aware that you are a state government agency, second sell them on your ability to make effective investor education presentations and third provide pertinent and excellent educational materials. (holly.hinson@flofr.com)

Theresa Kong Kee (HI): In February 2008, the Hawaii Office of the Securities Commissioner participated in the Army's Military Saves Event at Schofield Barracks. A few things that made the event go particularly well. The first was continual contact with the Army representative, which helped us get through security with ease. Being a government agency seemed to give us more access than other groups too. Second, we made an effort to customize our materials and presentations to

the needs and mindset of young military service men and women (tkongkee@dcca.hawaii.gov)

Debora Whipple (NJ): Most active duty military installations have a Public Affairs office and a weekly base newspaper. This is the number one stop to contact and send a draft news article for publication. When you contact anyone on a military installation or press office, inform them you are from the State government. This will go a long way to promote cooperation and ease of access whiplipped@dca.lps.state.nj.us

Dan Lord (AL): Thanks to these NASAA members for these tips. Please email me

any questions you may have about military or affinity outreach. We are also looking for your help in compiling summary articles and pictures

from NASAA members or other agencies who have successfully conducted military or affinity outreach events in their area. dan.lord@asc.alabama.gov



NASAA Working for Investors



NASAA represents its members at meetings of the American Savings Education Coalition (ASEC), the Jump\$tart Coalition for Personal Financial Literacy, the U.S. Treasury's Financial Literacy Education Commission (FLEC), National Financial Education Network and the President's Advisory Council on Financial Literacy. For updates on any of these meetings contact NASAA's Investor Education Manager, Melinda Semadeni at ms@nasaa.org

NASAA RESOURCES

- ◆ Alert Investor Podcast Series
- ◆ NASAA PowerPoint Directory
- ◆ NASAA Fraud Center
- ◆ Senior Investor Resource Center

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