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# Investor

# Ed

## Educating Investors Across North America

### *Sixth Annual NASAA IE Training Showcases New Program Measuring Investor Outreach*

Does investor education work? Just ask the 184,510 consumers who have been reached through 1,138 presentations by NASAA members since November 2006. This is the type of work NASAA's investor education network provides—touching the lives of students, seniors, military members and church groups across North America. To foster this outreach, NASAA's Investor Education community met in Atlanta, November 4-5, 2007 to discuss techniques, ideas and tools to bring investor education to consumers of all ages. About 90 NASAA IE members enjoyed two days of workshops and presentations designed specifically for their individual outreach to investors. NASAA members collaborated on topics like partnership, measuring success in inves-



tor education, and teamed up to brainstorm fresh outreach ideas to bring back home to their own communities. The results of the new Investor Education Presentations Outreach program were awarded to the state of Hawaii for "Most Consumers Reached" and the state of Pennsylvania for "Most Presentations Made." Results were tabulated from each jurisdiction's Investor Education presentation submissions from November 2006 through October 8, 2007. Justin Southern (WV) was given the "Distinguished Service Award in Investor Education" for his efforts as chair of NASAA's Youth Outreach Project Group, and for the completion of FSI: Fraud Scene Investigator. NASAA's 2008 Investor Education Training will be held June 1- 2 in Philadelphia. Registration information is available at: [www.nasaa.org](http://www.nasaa.org)



## Message from NASAA's IE Chair

It is my honor to serve as Chair of the NASAA Investor Education Section for 2007-2008. Special thanks to outgoing chair Daphne Smith for her dedication to investor education. Currently, we are seeing the results of Americans lacking financial education with the sub-prime mortgage crisis and the continuation of fraudulent financial schemes. With this as a backdrop, it's clear that investor education is crucial to everyone's life. During 2008, the NASAA IE Section will continue our outreach to youth, military, affinity groups, seniors, and introduce new programs to law enforcement and the Sandwich Generation. In order to make sure our materials are being seen and heard by our target audiences, we're focusing on social marketing as part of our NASAA 2008 IE Training. Dartmouth Professor Punam Keller will bring her expertise in Social Marketing to our grassroots investor education outreach. It is a great opportunity to have a special "classroom" presented by an Ivy League professor—we hope you'll join us. ~ Wayne Strumpfer, NASAA IE Section Chair, Deputy Commissioner of Education and Enforcement, California Department of Corporations ~

# Taking Fraud Prevention to Seniors

**"As an enforcement attorney, I see an increasing number of senior fraud cases every day. Here I'm able to reach a large number of seniors, in a one on one setting, so they can protect themselves from becoming new victims of investment fraud."** ~ Barbara Doak

*(TN Securities Division), NASAA Senior Outreach*

The NASAA booth served as backdrop to an assortment of senior-specific investor educational materials detailing wise investing and how to spot fraud. Statistics from state securities regulators indicate 26% of their enforcement actions during 2004-2005 involved financial exploitation of seniors and preliminary results show senior complaints have risen to 44%. NASAA continues to lead a national

effort to protect senior investors and ongoing grassroots investor education is part of that outreach. In 2005, NASAA exhibited at the Senior Olympics in Pittsburgh, which attracted more than 25,000 participants. The next National Senior Olympic Games will be held in San Francisco in 2009.



NASAA's Senior Outreach Group took the message of fraud prevention directly to seniors and their families at the 2007 National Senior Olympic Games held in Louisville, Kentucky. The bi-annual event attracted an estimated 35,000 senior athletes and spectators. Thanks to the cooperation of NASAA members from both Tennessee and Kentucky, nearly 1,200 seniors were personally contacted over the course of the six-day exhibition at the Senior Olympics.

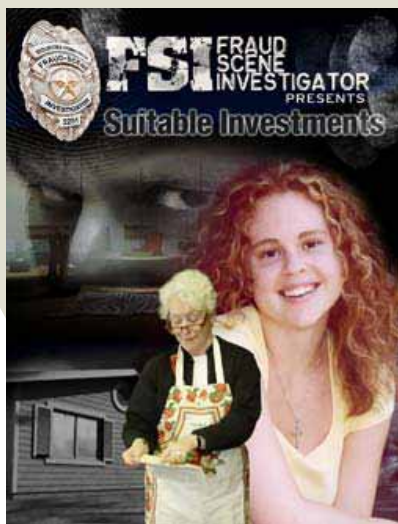
## FSI: Fraud Scene Investigator

*FSI: Fraud Scene Investigator* is an interactive investor education program that teaches students how to detect and stop investment fraud, using a resource they're most familiar with—the Internet. The *FSI* program is designed to help students learn how to fight fraud firsthand by delving into newspaper stock tables, researching companies through online news, and deciphering the truth of an investment from fraudulent sales pitches. In the initial *FSI* program, titled "Suitable Investments," students help uncover a

million-dollar fraud in progress and put the mysterious con man, "Mr. X," behind bars. Fraud prevention is often an overlooked piece of many financial education courses, but NASAA's *FSI: Fraud Scene Investigator* program fills that need by integrating easily as a companion to other financial literacy programs, or functioning as a stand alone resource on investing and fraud prevention. NASAA's extensive member investor education network is working with educators to integrate the *FSI* program into schools across the nation. Already teachers from Arizona to West Virginia are finding students are getting hooked on the program—teachers like the curriculum and students want

**" Students couldn't wait to see what happened next. They kept asking what happens to Mr. X? "**

**TERRI ALEXON, (AZ), NASAA YOUTH OUTREACH**



to know what's next in the interactive game. In cooperation with NASAA, the NAA Foundation will make the *FSI* program available to teachers through its Newspaper in Education (NIE) network of newspaper websites and resources. NASAA's Youth Outreach Group will present *FSI* at the NAA Foundation Seminar in Phoenix May 2008.

**Download a free copy of FSI & Teacher Guide here:**  
[http://www.nasaa.org/Investor\\_Education/FSI/](http://www.nasaa.org/Investor_Education/FSI/)



# NASAA Working for you



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). For updates on any of these meetings contact NASAA's Investor Education Manager, Melinda Semadeni.

## NASAA RESOURCES

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

[www.nasaa.org](http://www.nasaa.org)

## SUBMISSIONS

We are always looking for opportunities to spotlight the great Investor Ed Outreach you do.

Submit updates to  
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