

OKLAHOMA SECURITIES COMMISSION

Invest Ed[®]

www.investedok.org

Irving L. Faught

Administrator

Oklahoma Department of Securities

OKLAHOMA SECURITIES COMMISSION
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Oklahoma Securities Commission

- Our mission is investor protection through the administration and enforcement of the Oklahoma Uniform Securities Act of 2004.

Uniform Securities Act of 2004

- Prohibits fraud in securities transactions
- Requires the registration of:
 - Broker-dealers and agents
 - Investment advisers and investment adviser representatives
 - Securities
- Investor Education

Investor Education Objectives

- To inform investors how to recognize, avoid and report investment fraud and unfair sales practices relating to the offer and sale of securities
- To inform the public about the Oklahoma Securities Commission.

Investor Education Programs

- STARS (Students Tracking and Researching the Stock Market)
- EIFFEE (Elder Investment Fraud and Financial Exploitation)
- Documentaries
- Television and Radio Public Service Announcements

What is STARS?

- A hands-on financial planning and fraud awareness program
- Teaches students to research investments, assess risk, set goals, and create and track an online stock portfolio
- Currently designed as a curriculum supplement for high school students

STARS Teacher Training

- Teachers are trained at STARS workshops in the summer
- Webinars for continued learning
- Extensive resources provided to STARS teachers
- **EVERYTHING IS FREE!**

Next training will be Summer 2018

What is EIFFE?

- Program that educates professionals, who see older people in the practices, about:
 - Their clients' vulnerability to investment fraud due to mild cognitive impairment and other risk factors
 - Red Flags and Elder Financial Exploitation and Fraud
 - Reporting suspected elder financial abuse

What is elder abuse?

- The World Health Organization defines “elder abuse” as:

“a single or repeated act or lack of appropriate action, occurring within any relationship where there is an expectation of trust, which causes harm or distress to an older person.”

www.who.int/ageing/projects/elder_abuse/en

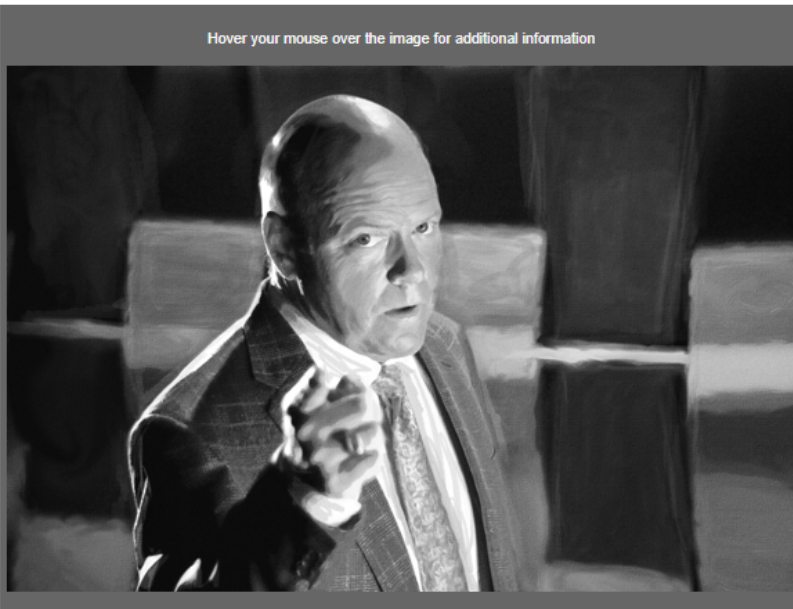
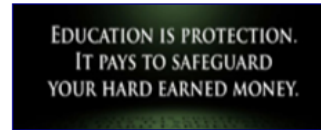
Documentaries

- Anatomy of a Fraud Series, profiles Oklahoma fraud cases and feature eyewitness accounts.
 - Catching a Con in Pottawatomie County
 - The Rogue Broker
 - The Casanova Con
- The Meeting
 - Docu-drama produced in conjunction with the Investor Protection Trust and Investor Protection Institute

Television and Radio Public Service Announcements

- Television
 - Topics range from explanations of Investment Fraud schemes to different types of investment products
- Radio
 - Topics range from investment basics to in-depth descriptions of fraud scams and how to avoid becoming a victim

Programs	Television	Radio	Documentaries	Seniors	STARS	Press Room	Contact Us
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Investedok.org

“Investors may feel overwhelmed by the seemingly constant stream of scams in the news. This is why we created solid, unbiased investor education programs, to reach a broad range of Oklahomans about the importance of understanding, investing and avoiding fraud.”

*-Irving Faught,
Administrator of the Oklahoma Securities Commission*



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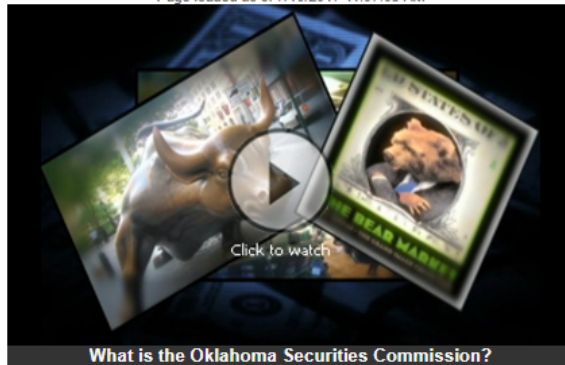
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What is the Oklahoma Securities Commission?

Recent Enforcement Actions

Manna Source Sustainable, LLC and Myers, Jerrold Wayne and Warlick, Gary Douglas

ODS' Motion for Order Directing Defendant Gary Douglas Warlick to Appear and Answer as to Assets and Injunction Forbidding Transfer or Other Disposition of Property Filed: 7/6/2017

Order Directing Defendant Gary Douglas Warlick to Appear and Answer as to Assets and Injunction Forbidding Transfer or Other Disposition of Property Filed: 7/6/2017

Seabrooke Realty and Seabrooke, Tom

Amended Interim Application for Order Approving Receiver's Fees and Expenses for April through May 2017 Filed: 7/3/2017

Okie Mining & Mineral Exploration, LLC and Doud, Randy Jay

Order of Permanent Injunction, Restitution and Civil Penalty Filed: 6/15/2017

Weimer, Ronald William

Order of Conditional Registration, Agreement Filed: 6/15/2017

Nick's Oil & Gas Corp and Diamond, Steven D. and Yukich, Nicholas P. III

Certificate of Service [Motion for Summary Judgment] Filed: 6/13/2017

Notice of Hearing [7/13/17 @ 9:00 a.m.] on Motion for Summary Judgment Filed: 6/12/2017

Vitalyze.me, LLC

Judgment Filed: 6/7/2017

Certificate of Service [Judgment CJ-17-0704] Filed: 6/7/2017

Manna Source Sustainable, LLC and Myers, Jerrold Wayne and Warlick, Gary Douglas

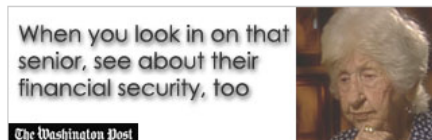
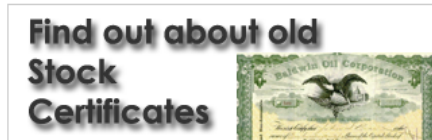
Final Order, Judgment and Permanent Injunction [Jerrold Wayne Myers] Filed: 6/2/2017

Final Order, Judgment and Permanent Injunction [Gary Douglas Warlick] Filed: 6/2/2017

Seabrooke Realty and Seabrooke, Tom

Order on Receiver's Interim Application for Fees and Expenses for March 2017 Filed: 6/1/2017

Is your
SECURITIES PROFESSIONAL
registered?



OKLAHOMA SECURITIES COMMISSION

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