

HURRICANE HARVEY

SECURITIES INDUSTRY EMERGENCY CLOSURES

FIRMS

Broker-dealer and investment adviser firms may find it necessary to close or relocate offices as a result of and/or as a precaution against inclement weather such as with Hurricane Harvey. In the event you find this necessary, please contact either of the following at your earliest convenience:

Len Riviere, Deputy Commissioner of Securities

(225) 925-6550

(225) 747-0716

lriviere@ofi.la.gov

Levin Walker, Review Examiner

(225) 925-7578

lwalker@ofi.la.gov

To the extent possible, we ask that you provide us with current contact information so that we are able to reach you if needed. We will also provide this information to any of your customers that contact us.

CONSUMERS

If you are unable to contact your securities professional because of a closure or relocation, please call the Securities Division at (225) 925-4512 or (225) 747-0716, and we will attempt to provide you with current contact information.