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State of Utah
Department of Commerce
Division of Securities

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MEDIA ALERT

"Utah Division of Securities reminds public they are open and ready to assist in any fraud investigation amid 2019 partial federal government shutdown"

"While Securities Exchange Commission remains short staffed, Utah state regulators stand ready to help"
(For immediate release...)

SALT LAKE CITY, Utah – Francine A. Giani, Executive Director of the Utah Department of Commerce, announced today that the Division of Securities is reminding Utah investors that state investigators are ready to assist with any question or complaint regarding securities or investments despite this year's partial federal government shutdown. State regulators want to make sure the public knows that crimes continue to be investigated and laws continue to be upheld even with limited federal agency assistance.

"The Utah Department of Commerce, Division of Securities wants consumers to know that our staff is ready and available to help with any investor complaint or answer questions amid the federal shutdown," stated Francine A. Giani.

The partial federal government shutdown has affected numerous federal enforcement agencies including the Securities Exchange Commission (SEC). The Utah Division of Securities works closely with the SEC and other law enforcement partners and regularly shares investigation information so cases move forward.

"Utah and federal securities regulators share the same mission to protect investors and the integrity of our financial markets," remarked Thomas Brady, Director of the Division of Securities. "The Utah Division of Securities is on the beat carrying out this mission and we stand ready to provide whatever assistance we can to investors. Our important work continues, and we are happy to assist the SEC while it operates with limited staffing."

About the Utah Division of Securities

The Division of Securities enhances Utah's business climate by protecting Utah's investors through education, enforcement, and fair regulation of Utah's investment industry while fostering opportunities for capital formation. Investors should do business with licensed securities brokers and advisers and report any suspicion of investment fraud to the Utah

Division of Securities by calling (801) 530.6600; toll free at 1.800.721.7233 or logging on to www.securities.utah.gov.

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