



**PUBLIC PROTECTION CABINET
DEPARTMENT OF FINANCIAL INSTITUTIONS**

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**RECENT STOCK PRICE VOLATILITY
DFI REMINDS REGULATED FIRMS OF CUSTOMER OBLIGATIONS AND REMINDS
INVESTORS ABOUT RISKS OF STOCK PRICE VOLATILITY
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The Kentucky Department of Financial Institutions (DFI) today called on firms and other regulated entities to ensure they are meeting investor-protection obligations during recent and ongoing price volatility in shares of certain publicly traded companies.

“Regulated entities have an obligation to their customers. The department will work with fellow regulators to ensure that investor protection, fairness and transparency are upheld in the public securities markets,” said Marni R. Gibson, DFI’s Director of Securities. “We are closely monitoring this developing situation and will examine actions by online brokerages and others to ensure that they are in compliance with their client obligations.”

Gibson also cautioned investors about the risks associated with investing in publicly traded companies that are experiencing volatility. “Investing in companies experiencing price volatility can be risky and investors should understand their risk tolerance when considering such investments,” Gibson said.

Investors can learn more about the fundamentals of investing by visiting DFI’s website at <https://kfi.ky.gov>. For additional information, contact the Division of Securities at (502) 573-3390.