



Commonwealth of Kentucky  
Public Protection Cabinet  
Department of Financial Institutions

Andy Beshear, Governor

Ray A. Perry, Secretary  
Charles A. Vice, Commissioner

**FOR IMMEDIATE RELEASE**

Contact: Laura Clewett  
502-782-9031  
Cell: 502-871-2995  
Laura.Clewett@ky.gov

**INVESTOR ADVISORIES PROMOTE FINANCIAL LITERACY**  
**DEPARTMENT OF FINANCIAL INSTITUTIONS PROVIDES INVESTOR EDUCATION**  
**TOOLS DURING FINANCIAL LITERACY MONTH**

**FRANKFORT, Ky. (April 7, 2022)** – The Department of Financial Institutions (DFI) today announced its support of Financial Literacy Month, a time in April concentrated on promoting financial literacy and investor education.

During this year's Financial Literacy Month campaign, the department highlights its series of Investor Advisories, including its newest advisory focused on [reassigned investment accounts](#), available on DFI's [website](#). This topic is designed to help investors address issues related to an adviser who may have retired or left a firm, and how best to get the answers needed to ensure a successful adviser transition.

"Financial and investment literacy is the cornerstone of investor education. It is also a key weapon in the fight against investment fraud," said Marni Rock Gibson, Director of DFI's Securities Division. "Educating investors of all ages, particularly seniors, empowers investors to make sound financial decisions."

Gibson encouraged investors, or those thinking about investing, to visit the agency's website, which offers a variety of free investor awareness and protection resources.

Many of the financial literacy tools found on DFI's website were developed by the North American Securities Administrators Association's Investor Education Section Committee, to help support state and provincial securities regulators' investor education efforts.

Investors also are encouraged to contact DFI before making an investment decision to learn more about the investment product and the person offering it for sale.

"We urge all investors to be cautious when getting investment pitches, especially from people they don't know," Gibson said. "Give us a quick call to determine an investment adviser representative or broker-dealer agent's registration status and disciplinary history."

Investors may also research the background and experience of financial brokers, advisers and firms using [Investment Adviser Public Disclosure \(IAPD\)](#) and [FINRA BrokerCheck](#).

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*DFI, <http://kfi.ky.gov>, is an agency in the Public Protection Cabinet. For more than 100 years, it has supervised the financial services industry by examining, chartering, licensing and registering various financial institutions, securities firms and professionals operating in Kentucky. DFI's mission is to serve Kentucky residents by promoting access to a stable financial industry, implementing effective and efficient regulatory oversight, enforcing consumer protections, encouraging economic opportunities and encouraging sound financial decisions through financial empowerment programs.*