

Investment Fraud Prevention Checklist

Before you make any investment decision always do your due diligence. You can never have too much information or ask too many questions when it comes to investing and keeping your money safe.

Check Registration

Anyone advising or selling securities in Nova Scotia must be registered.

Check Disciplined Persons List

If a firm or individual has been disciplined for past misconduct it can be found using the CSA Disciplined Persons List.

Check Investor Alerts Database

All investor alerts issued by the Nova Scotia Securities Commission are on their website. Investor alerts issued by any securities regulator in Canada can be found on the CSA website.

Does this investment pass the “red-flag” test?

- Were you promised high returns for low risk?
- Must you act now with no time to consider the risks of the investment? Were you pushed with high-pressure sales tactics?
- Were you given “inside” or “secret” information?
- Is the investment legitimate? Can you find corroborating evidence from a credible source?
- Were you required to pay for your investment with a credit card or wire transfer?
- Were you required to provide direct payment to the adviser or salesman?

These are all major red flags of investment fraud!



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