



Spot #123: OSC: Mission/Methods of Achievement  
Time: 41 seconds (without intro/outro)

(INTRO)

The Tennessee Securities Division uses several methods to achieve its mission of investor protection.

One method is requiring the registration of securities – mainly stocks and bonds – before they can be sold in the state.

Doing so helps investors to receive an accurate disclosure of facts about the investment, so they can adequately tell whether it meets their goals.

Making false or misleading claims about a security can be punished through fines or jail time.

This anti-fraud law also contains provisions that allow wronged investors to bring private civil actions in court for damages.

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(OUTRO)