



New Mexico Regulation and Licensing Department
SECURITIES DIVISION

Toney Anaya Building ▪ 2550 Cerrillos Road ▪ Santa Fe, New Mexico 87505
(505) 476-4580 ▪ Fax (505) 984-0617 ▪ Toll free in NM (800) 704-5533

www.rld.state.nm.us/sec

GOVERNOR Bill Richardson

SUPERINTENDENT Kelly O'Donnell • ACTING DIRECTOR Michael Vargon

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For more information:
Teala Kail
505-795-5554

**SECURITIES DIVISION ADDS WEB TOOL TO CHECK ON
INVESTMENT ADVISORS**

Santa Fe – Now investors have a new Web tool to check the credentials and background of investment advisers.

The New Mexico Regulation and Licensing Department Securities Division has added a new link to its <http://protectyourmoneynm.org/> website that offers access to the Investment Adviser Public Disclosure (IAPD) website, giving access to information about individuals who work for money management, financial planning and other firms that offer investment advice to clients.

“When seeking investment advice, the first rule is to know who you’re dealing with,” said Michael Vargon, acting director of the Securities Division. “The IAPD database provides background information, including professional qualifications, employment history, and any records of client complaints or disciplinary action, on more than 220,000 investment professionals nationwide.”

The information provided on IAPD for both investment advisory firms and individuals comes from documents filed electronically with state securities administrators or the Securities and Exchange Commission. The registration documents provide information about each adviser’s business, advisory services and fees and also disclose any disciplinary problems an adviser or its employees may have had during the last 10 years.

The IAPD website, www.adviserinfo.sec.gov, is available free of charge. Investors can receive additional information on investment adviser firms and investment adviser representatives by calling the New Mexico Securities Division toll-free phone line at 800-704-5533.

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