

“TRICKS OF THE TRADE: OUTSMARTING INVESTMENT FRAUD” DOCUMENTARY

Discussion Questions

The “Tricks of the Trade: Outsmarting Investment Fraud” DVD may be used for in-home viewing or for a community gathering. Consider contacting a library, church, college or public school in your area, each of which may have auditoriums where you can show the film. Or consider holding a “movie premiere” to screen the movie at a local cinema, followed by a question and answer session that could be led by you or a panel of local experts. We recommend consulting the **Tips to Conduct Outreach** and **Planning an Investor Protection Workshop or Event** sections in this toolkit.

The following questions can serve as a guide in facilitating a group discussion:

1. What do you find the most surprising about the victim demographic trends?
2. Have you or someone you know been a victim of investment fraud?
3. Are any of these persuasion tactics familiar?
4. Give some examples of how these tactics show up in your everyday life.
5. Raise your hand if you have ever received an invitation to a free lunch or dinner investment seminar.
6. How many of you are signed up for the Do Not Call list?
7. Do you have a refusal script? Will you share it with the group?
8. Have you ever checked the registration status or disciplinary history of an investment professional with FINRA or your state securities regulator before doing business with them?
9. Have you ever checked the registration status of an investment product with the Securities and Exchange Commission or your state securities regulator before purchasing the investment?
10. What questions would you ask of a salesperson who was pitching you an unsolicited investment?
11. Do you know someone else who could benefit from this information?