

Securities Division

<p>Department of Commerce 160 East 300 South PO Box 146760 Salt Lake City, Utah 84114-6760</p>	<p>Contact: S. Anthony Taggart Director (801) 530-6600</p>
<p>Agency Mission</p>	<p>The Securities Division is required to ensure that there is full and fair disclosure of the character of securities issued and traded in Utah, and to prevent fraud in the sale of these securities. This is accomplished by (1) licensing brokers, dealers, sales agents and investment advisors; (2) registering and reviewing entities issuing securities; (3) investigating fraudulent sales activities; (4) conducting administrative proceedings to terminate sales or revoke licenses; (5) initiating legal actions to stop unlawful activities and to compensate victims.</p>