

# Consumer Advisory

**CONTACT** Claire McHenry, Deputy Director – Securities Bureau  
**PHONE** 402-471-3445  
**EMAIL** [claire.mchenry@nebraska.gov](mailto:claire.mchenry@nebraska.gov)

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## **NDBF REMINDS REGULATED FIRMS OF CUSTOMER OBLIGATIONS AND INVESTORS ABOUT RISKS OF STOCK PRICE VOLATILITY**

February 1, 2021 (LINCOLN, NEB.) – The Nebraska Department of Banking and Finance (NDBF) today called on firms and other regulated entities to ensure that investor protection obligations are being met during recent price volatility in shares of certain publicly traded companies.

“Regulated entities have an obligation to their customers. NDBF will work with fellow regulators to ensure that investor protection, fairness and transparency are upheld in the public securities markets,” said Deputy Director Claire McHenry. “We are closely monitoring this developing situation and will examine actions by online brokerages and others to ensure that they are in compliance with their client obligations.”

Deputy Director McHenry also cautioned investors about the risks associated with investing in publicly traded companies that are experiencing volatility. “Investing in companies experiencing price volatility can be risky and investors should understand their risk tolerance when considering such investments,” Deputy Director McHenry said.

More information about the laws governing the securities industry in Nebraska can be found on NDBF’s website at [ndbf.nebraska.gov](http://ndbf.nebraska.gov). If you have questions about any investment matter, call Nebraska Department of Banking and Finance at 402-471-2171.

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