



Investor Newsletter February 2017

WHAT'S TRENDING



Love and Money: Talking About Finances With Your Significant Other

When you think about your sweetheart, you probably don't think about finances. But according to a recent study, one in three couples argued about finances, and one in 10 lied to their significant other about money. That's not exactly a recipe for romance. Check out these [tips](#) for talking to your significant other about money.



Day Traders: Mind Your Margin

If you're going to day trade—and it's very risky to do so—you must abide by the rules, particularly those that deal with margin. If brokerage firm designates you as a "pattern day trader," then FINRA margin rules require that broker-dealer to impose [special margin requirements](#) on your day-trading account.



How Groundhog Day Reminds Us About Repeating the Same Financial Mistakes

In the movie "Groundhog Day," a small-town weatherman is fated to relive over and over again a day he would just as soon forget. Unlike the film, which ends happily, some of us wake up and find ourselves repeating the same financial mistakes time and again, with no happy ending in sight. Here are four common [financial mistakes](#) many of us make—but we don't have to repeat them again this year.

Recent Alert

Public Non-Traded REITs—Perform a Careful Review Before Investing

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Our Story



Want to learn more about FINRA? Watch employees talk about who we are and what we do.

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PODCAST



Podcast: Seven Investing Tips for 2017

Financially speaking, the beginning of the year is a great time to plan for the year to come. FINRA is here to help with these seven tips for making the most of your investments in 2017

Listen | 4 min. 55 sec.

FEATURED ALERT



Alternative Mutual Funds Are Not Typical Mutual Funds

Alternative mutual funds (sometimes called alt funds or liquid alts) are publicly offered, SEC-registered mutual funds that hold non-traditional investments or use complex investment and trading strategies. Read this U.S. Securities and Exchange Commission's [Investor Bulletin](#) to learn about the features, and some potential risks, of alternative mutual funds.

FINRA NEWS

2/22/17 FINRA Orders Purshe Kaplan Sterling Investments to Pay \$3.4 Million in Restitution to Native American Tribe; Firm Also Fined \$750,000 for Failures to Supervise

2/14/17 FINRA Hearing Panel Expels Red River Securities, LLC and Bars CEO Brian Keith Hardwick for Fraud; Ordered to Pay \$24.6 Million in Restitution to Investors

2/2/17 FINRA Expels Lawson Financial and Bars CEO Robert Lawson for Fraudulent Municipal Bond Sales

Helpful Tools

 FINRA BrokerCheck	 529 College Savings Plan Expense Analyzer	 Retirement Calculator
 Fund Analyzer	 Investor Complaint Center	 Loan Calculator
 Risk Meter	 Market Data Center	 Securities Helpline for Seniors
 Scam Meter	 Required Minimum	 The Alert Investor

Distribution
Calculator



Smart Investing

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