

## Investor Newsletter March 2016

### ! INVESTOR ALERTS



#### Power of Attorney and Your Investments—10 Tips

It's never too early to consider how you want your financial affairs to be managed if something happens to you. One solution is to grant a power of attorney (POA) for your investment account assets to your spouse, sibling, adult child or close friend—someone you trust to act wisely and in your best interest. See our [alert](#) for tips and information.



#### Zika Crisis Might Give Rise to Investment Scams

Dramatic news coverage of the Zika virus and other outbreaks can lead to stock scammers looking to capitalize on fears of a potential pandemic. Don't fall for the hype. Read the SEC Office of Investor Education and Advocacy's [alert](#) on Zika-related investment scams and FINRA's [Viral Disease Stock Scams alert](#).

### Recent Alert

[High-Yield CD Offers Can Be Bait for High-Commission Investments](#)

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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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### WHAT'S TRENDING



#### Filing an Investor Complaint

Most business in the securities industry is conducted fairly, efficiently and in a manner that satisfies everyone involved. But problems can arise. If you believe that a sales person, brokerage firm or other industry professional has treated you unfairly, you can file a complaint with FINRA. [Learn more.](#)



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### Podcast: Tips for a Turbulent Market

When the stock market is rocky, the best way to steady your pulse is by focusing on your overall financial picture. Combined with sound planning, this approach can pay dividends regardless of market conditions.

[Listen](#) | 5 min. 35 sec.

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### What You Need to Know About Financial Planners

As you seek out a financial professional, you're apt to come across individuals who call themselves financial planners. It's a phrase that encompasses many types of services and skills. Here's what you [need to know](#) about financial planners.

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### 5 Things to Know About Transferring a Brokerage Account

When investors transfer securities account assets between broker-dealers, the process runs smoothly for the vast majority of the thousands of accounts transferred each year. But there are times when delays occur and investors have questions. Here's what [you should know](#).

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### Free Consumer Protection Resources

We celebrated National Consumer Protection Week earlier this month—but you can access free consumer protection resources all year long at [ncpw.gov](http://ncpw.gov).

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## FINRA NEWS

[3/21/16 FINRA and Nasdaq Fine Wedbush Securities Inc. \\$675,000 For Supervisory Violations Relating to Chronic Fails to Deliver by a Client in Multiple Exchange-Traded Funds](#)

[3/15/16 FINRA Reports on Effective Practices for Digital Investment Advice](#)

[3/11/16 FINRA Evaluates Membership Application Rules](#)

[3/1/16 FINRA Foundation Military Spouse Fellowship Application Now Open](#)

**[2/26/16 FINRA Approves Enhanced Price Disclosure to Retail Investors in Fixed-Income Securities](#)**

**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](#)

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