

! INVESTOR ALERTS



Tick Size Pilot Program—What Investors Need to Know

FINRA and the SEC's Office of Investor Education and Advocacy (OIEA) issued this [investor advisory](#) to explain the pilot, and how it might affect certain orders you place with your full-service or online brokerage firm. We also provide some background on the pilot and why it is being implemented.



SEC Investor Bulletin: Microcap Stock Basics—Risk

While all investments involve risk, microcap stocks are among the most risky. Many microcap companies are new and have no proven track record. Some of these companies have no assets, operations or revenues. Others have products and services that are still in development or have yet to be tested in the market. This SEC [bulletin](#) provides a list of risks and "red flags" to consider before investing in a microcap stock.

Recent Alert

[It Can Be Hard to Recover from "Recovery" Scams](#)

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Our Story



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WHAT'S TRENDING



When Was the Last Time You Read Your Brokerage Account Statement?

Recently, FINRA took action against a firm that failed to properly supervise one of its employees who took more than \$370,000 from five customer brokerage accounts. Looking out for suspicious transactions is just one reason investors should always open and review their [account statements](#).



Podcast: Is It Time to Rebalance Your Portfolio?

Market performance can alter the relative values of the asset classes you hold in your portfolio. If it's been a while since you've rebalanced your portfolio, now may be a good time to consider doing it.

[Listen](#) | 5 min. 55 sec.



Legitimate Avenues for Recovering Investment Losses

It can be difficult to recover assets lost to fraud or other scenarios in which an investor has experienced a problem with an investment. But there are [legitimate ways](#) to attempt recovery. In most cases, you can do so on your own—at little or no cost.



How to Stay Safe Online

October is Cyber Security Awareness Month, so it's a great time to make sure you—and your family—are staying safe online. Check out the resources at StaySafeOnline.org for tips on keeping a "clean machine" and protecting your personal information, as well as tips for parents and how to protect your mobile devices.



Steps to Plan for Diminished Financial Capacity and Illness

Aging can change many things in a person's life, including the ability to manage one's own money. Given this sobering reality, here are some [important steps](#) to plan for diminished financial capacity and illness.



FINRA NEWS

10/20/16 [FINRA Files Rule Proposal With SEC to Protect Seniors and Other Vulnerable Adults From Financial Exploitation](#)

10/19/16 [FINRA Receives SEC Approval to Require Member Firms to Report Treasury Transactions to TRACE](#)

10/18/16 [FINRA Fines Merrill Lynch \\$2.8 Million for Systemic Reporting, Books and Records, and Related Supervisory Violations](#)

10/3/16 [SEC, FINRA and the MSRB to Hold Compliance Outreach Program for Municipal Advisors](#)

10/3/16 [FINRA Publishes ATS Block-Size Trade Data](#)

9/20/16 [FINRA Hearing Panel Sanctions Avenir Financial Group and Bars Former CEO Michael Todd Clements for Fraud](#)

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 Distribution Calculator	 The Alert Investor
 Smart Investing		View All

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