

Investor Newsletter

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INVESTOR ALERT

Job Dislocation: Managing the Financial Impact of an Unexpected Job Loss

You may not be able to control if or when your company closes a plant or lays off workers—but you **can** plan ahead and take steps to manage the financial impact of those events. Our [alert](#) gives you tips on how to ask the right questions about your company's benefit plans, plan ahead to cushion the blow of a potential job dislocation, keep your finances on the right track in the event of unemployment and more.



WHAT'S TRENDING

Unregistered Penny Stocks Can Spell Big Problems

A recent regulatory action by FINRA reveals that even in the risky world of "[penny](#)" [stocks](#) some investments are riskier than others. Among the riskiest of these stocks are those that are not registered.



What You Need to Know About Volatility

Volatility is making a comeback in financial markets amid a sharp selloff in Chinese stocks that has stoked concern across the globe. [Learn more.](#)



Podcast: Reverse Mortgages Are Not Free Money

Advertisements for reverse mortgages can give the false impression that they are an easy, cost-free way for retirees to finance vacations and leisurely lifestyles. But reverse mortgages aren't free money, and

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[Bond Liquidity: Factors to Consider and Questions to Ask](#)

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misusing them—or misunderstanding how they work—can jeopardize your financial future. [Listen](#) | 4 min. 14 sec.

[Smart Investing](#)



5 Tips to Educate Yourself About Education Savings Accounts

People who want to save for a child's college education have a wide array of choices. Among these are Coverdell Education Saving Accounts (ESAs). [Learn more.](#)

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FINRA NEWS

8/17/15 — [Military Spouses Receive Fellowships to Conduct Financial Counseling](#)

8/12/15 — [FINRA Fines StockCross Financial Services, Inc. \\$800,000 for Regulation SHO Violations](#)

8/6/15 — [FINRA Bars Former Caldwell Broker for Churning Customer Accounts](#)

8/3/15 — [FINRA Fines Aegis Capital Corp. \\$950,000 for Sales of Unregistered Penny Stocks and AML Violations](#)

7/30/15 — [Firms Elect Three Industry Governors to FINRA Board of Governors, Two New Governors Appointed](#)

7/27/15 — [FINRA Fines Goldman Sachs Execution & Clearing, L.P. \\$1.8 Million for OATS and Trade Reporting Failures](#)

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