



Investor Newsletter

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INVESTOR ALERTS



E-Cigarette Stock Scams: New Smoking Technology Could Light Up Pump-and-Dump Fraud

New technology such as electronic cigarettes, often called e-cigarettes, can give rise to legitimate investment opportunities. But sometimes it opens the door to fraud. The SEC recently issued a [trading suspension](#) for a company that purported to make disposable electronic cigarettes because of concerns about manipulative activity related to the company's common stock. FINRA's [alert](#) warns investors to be wary of aggressive promotions touting stocks that claim to capitalize on various aspects of the e-cigarette and vaporizer, or "vape," market.

Physical Precious Metals: Tips to Avoid Tarnishing Your Portfolio

Precious metals are notorious for price movements that can pique investor interest during upswings and downswings alike. If you are thinking that now is the time to invest in physical precious metals such as silver, gold or maybe palladium or platinum, be aware of the [risks](#) involved. They include the potential for high-pressure sales tactics and even fraud.



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INVESTOR RESOURCES

BrokerCheck: Finding a Broker You Can Trust

Are you thinking about working with an investment professional or firm? Before handing over any money, Susan Axelrod, Executive

Vice President at FINRA, tells [NY1 News](#) that you should check them out on [BrokerCheck](#). It's FINRA's free online tool that helps you research the professional backgrounds and disciplinary histories of investment professionals and firms. It should be the first resource you turn to when choosing whether to start or continue doing business with a particular individual or firm.



Podcast: 5 Things You Need to Know about Mutual Funds

Mutual funds are a popular way to invest in securities. Some people find they offer certain advantages over buying individual stocks and bonds. But not all mutual funds are the same. And—as with any security—mutual fund investments involve risks, like the possibility you may lose money. So before you invest in a mutual fund, take time to understand them.

[Listen](#) | 6 min. 48 sec.

FINRA FOUNDATION

Reciprocity: A Red Flag of Fraud

When fraudsters go after your money they often use the tactic of reciprocity, offering up small favors like a free meal or book—and hoping you'll return the favor by offering up your money. Watch this 90-second [video](#) to learn more about reciprocity and how to avoid it.



FINRA NEWS

1/14/15 — [FINRA Hearing Panel Expels John Carris Investments and Bars CEO George Carris for Fraud](#)

1/9/15 — [FINRA Hearing Panel Expels John Thomas Financial and Bars CEO Tommy Belesis for Trading Ahead of Customer Orders, Providing False Testimony and Other Violations; Ordered To Pay \\$1,047,288 to Customers](#)

1/6/15 — [FINRA Releases 2015 Regulatory and Exam](#)

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