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June 2014

INVESTOR ALERTS



SEC Alert: Check Out Your Financial Professional

Even if a close friend or family member recommends a financial professional, you should still check that person out. Before becoming a customer, take the time to confirm that the person you're considering is currently registered, and look at the background of both the firm and the financial professional for signs of potential problems.

The Securities and Exchange Commission, FINRA and other regulators may bring enforcement actions against financial professionals for misconduct in connection with their securities-related activities. Read this new [alert](#) from the SEC to learn how to identify financial professionals that have a history of misconduct using tools such as FINRA BrokerCheck.

High-Yield CDs: Red Flags That Signal a Scam

Beware of certificates of deposit (CDs) promising interest rates that are substantially higher than current averages. Investors should be wary of unsolicited emails and calls that offer outsized interest from financial institutions, including banks and brokerage firms, particularly those with which you have not had a business relationship. [Learn more.](#)



PODCAST

Asset Allocation

Turn on any financial news channel and you'll likely see money managers discussing their recommendations for asset allocation.

RECENT ALERT

[Bitcoin: More Than a Bit Risky](#)

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They usually point out what percentage of the financial assets they manage is invested in stocks, bonds and cash or cash equivalents. You too can decide what portion of your total portfolio to invest in different asset categories.

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FINRA NEWS

6/25/14 — [FINRA Hearing Panel Expels Success Trade Securities and Bars CEO Fuad Ahmed for Fraudulent Scheme](#)

6/16/14 — [FINRA Fines Merrill Lynch \\$8 Million; Over \\$89 Million Repaid to Retirement Accounts and Charities Overcharged for Mutual Funds](#)

6/5/14 — [FINRA's Statement on Chair White's Enhancing Our Market Structure Speech](#)

6/4/14 — [FINRA Fines Barclays Capital, Goldman Sachs and Merrill Lynch \\$1 Million Each for Submitting Inaccurate Blue Sheet Data](#)

6/2/14 — [FINRA Makes Dark Pool Data Available Free to the Investing Public](#)

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