



## Investor Newsletter

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June 2015

### INVESTOR ALERTS

#### Plan for Transition: What You Should Know About the Transfer of Brokerage Account Assets on Death

This [Alert](#) explains the value of preparing for the inevitable, and the general process firms follow when an account holder passes away. It also includes tips for making the transfer process as efficient and trouble-free as possible for account holders, as well as heirs and beneficiaries.

#### Well-Traveled Fraud—Advance-Fee Scams Target Non-U.S. Investors Using Fake Regulator Websites and False Broker Identities

Non-U.S. investors should be aware that scammers are using fraud—including setting up phony "regulator" websites and fake identities—to separate you from your money. No regulator is immune. In fact, in a recent twist, some scammers have misused FINRA's name and impersonated FINRA employees in email correspondence. [Learn more.](#)



### FINRA FOUNDATION

#### In *Con 'Em If You Can*, You Make the Pitch

The FINRA Foundation's latest resource takes the anti-fraud battle to the world of online gaming. *Con 'Em If You Can*, developed in partnership with the [D2D Fund](#), is an interactive strategy game that challenges players to understand the psychology behind scams. Research suggests that learning to spot these red flags can help investors avoid becoming fraud victims. Go to the [Con 'Em If You Can](#) website to watch the trailer, learn



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more about the game and play it today—online or on your mobile device. And don't forget to share *Con 'Em* with your networks, too!

#### KEY LINKS

[Investor Complaint Center](#)

[Market Data Center](#)

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#### INVESTOR RESOURCES

##### Ask & Check

Humorous new ads from FINRA underscore why we always say "Check your broker on BrokerCheck." [Learn more.](#)

#### FEEDBACK

[Tell us what you like or don't like about the FINRA Investor Newsletter.](#)

#### Podcast: What You Should Know About Student Loans

College is an expensive investment for many families and students. And its cost seems to outpace inflation every year. For students and parents eligible for financial aid, student loans are likely to be part of most college aid packages. If you take out a student loan, make sure you understand who is lending the money, and the terms and conditions of the loan.

[Listen](#) | 4 min. 35 sec.

#### FINRA NEWS

6/22/15 — [FINRA Fines Morgan Stanley Smith Barney and Scottrade a Total of \\$950,000 for Failing to Supervise the Transmittal of Customer Funds to Third-Party Accounts](#)

6/1/15 — [FINRA Brings Transparency to Asset-Backed Securities Market](#)

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