



## Investor Newsletter

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March 2014

### INVESTOR ALERTS



#### Bitcoin: More than a Bit Risky

FINRA is issuing this [alert](#) to caution investors that buying and using digital currencies such as Bitcoin carry risks. Speculative trading in bitcoins comes with significant risk. There is also the risk of fraud related to companies claiming to offer Bitcoin payment platforms and other related products and services.

#### Beware of False Claims of SEC Registration

The U.S. Securities and Exchange Commission's (SEC) investor education office has issued an [alert](#) about potentially fraudulent investment schemes involving people or firms misrepresenting that they're registered with the SEC. You should be careful to check the background, including license and registration status, of any person who tries to sell you an investment.

### PODCAST



#### 5 Tips to Achieve Greater Financial Stability

With the unemployment rate slowly falling, many Americans are trying to get their financial lives back on track. To help, we've come up with five tips for building a brighter financial future. They're based on the findings of the FINRA Investor Education Foundation's National Financial Capability Study of more than 25,000 Americans.

[Listen](#) | 4 min. 58 sec.

### FINRA INVESTOR EDUCATION FOUNDATION FINRA Foundation Study Finds that Millennials Face Financial Struggles

The FINRA Investor Education Foundation's new study, [The Financial Capability of Young Adults—](#)

### RECENT ALERT

[5 Do's and Don'ts for Greater Financial Security](#)

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[529 College Savings Plan Expense Analyzer](#)

[A Generational View](#) finds that millennials display low levels of financial literacy, engage in problematic financial behaviors and show concern about their debt.



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"Many millennials began their adult lives in the midst of the worst economic downturn in generations, and our survey reveals just how deeply and broadly the Great Recession has marked the financial lives of this generation of Americans," said FINRA Foundation President Gerri Walsh.

The study is based on data from the FINRA Foundation's National [Financial Capability Study](#).

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**3/18/14** — [FINRA and BATS Order Citigroup Global Markets Inc. to Pay \\$1.1 Million for Illegal Short Selling In Advance of Five Public Offerings and for Related Supervisory Violations](#)

**3/12/14** — [FINRA Fines Triad Advisors and Securities America a Total of \\$1.2 Million for Consolidated Reporting Violations](#)

**2/24/14** — [FINRA Fines Berthel Fisher and Affiliate, Securities Management & Research, \\$775,000 for Supervisory Failures Related to Sales of Non-Traded REITs and Leveraged and Inverse ETFs](#)

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