



Investor Newsletter

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May 2015

INVESTOR ALERTS

Automated Investment Tools

Automated investment tools may offer clear benefits—including low cost, ease of use, and broad access. But it is important to understand their risks and limitations before using them. [Learn more.](#)



New Money Coming Into Indian Country: Plan for the Long Term

A range of programs and lawsuit settlements have resulted in new money coming into Indian Country. If you're a recipient or potential recipient of this new money, you may have questions about how to manage and invest the assets, and how to select and work with an investment professional. These [tips](#) can help you confidently manage this new money, as well as avoid financial fraud.

INVESTOR RESOURCES

"The Alert Investor": A New Digital Magazine

[The Alert Investor](#) is an online magazine dedicated to the idea that a smarter investor is a better investor.

Sponsored by FINRA, the intention is to inform individual investors of all levels—from the beginner looking to start saving and investing to the seasoned hand—by explaining markets, exploring topical trends and decoding complex issues. The magazine does not dispense investment advice nor regulatory guidance. You can subscribe to email updates, and follow the magazine on [Twitter](#) and [Facebook](#).



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What You Need to Know About Retirement and Taxes

Uncle Sam encourages you to save for retirement with tax-deferred and salary reductions plans, like IRAs and 401(k)s. It's important to know the tax consequences of the income you get from these plans and any pensions you may be entitled to when you retire. We tell you what you need to know.

[Listen](#) | 4 min. 40 sec.



FINRA FOUNDATION

Take Action to Recover from Financial Fraud

Financial fraud is real and can be devastating.

If you're a victim, you may be coping with the aftermath of a compromised identity, damaged credit and financial loss, and a painful range of emotions including anger, fear and frustration.

To assist you, the FINRA Foundation and the National Center for Victims of Crime created [free checklists](#) covering four major areas of financial fraud—identity theft, investment fraud, mortgage and lending fraud, and mass marketing and other fraud—to provide step-by-step guidance to help you reclaim power from the fraudsters and move forward toward recovery.

FINRA NEWS

5/13/15 — [FINRA Fines Morgan Stanley \\$2 Million for Short Interest Reporting and Short Sale Rule Violations](#)

5/12/15 — [FINRA's NAC Strengthens Sanction Guidelines for Fraudulent Conduct](#)

5/8/15 — [SEC and FINRA to Hold National Compliance Outreach Program for Broker-Dealers](#)

5/6/15 — [FINRA Sanctions LPL Financial](#)

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[LLC \\$11.7 Million for Widespread Supervisory Failures Related to Complex Products Sales, Trade Surveillance and Trade Confirmations Delivery](#)

4/27/15 — [FINRA Files Cease and Desist Order Against Avenir Financial Group, CEO Michael Clements, and Registered Representative Karim Ibrahim for Fraud Against Elderly Investors](#)

4/23/15 — [FINRA Orders RBC to Pay Fine and Restitution Totaling More Than \\$1.4 Million for Unsuitable Sales of Reverse Convertibles](#)

4/20/15 — [FINRA Launches Toll-Free FINRA Securities Helpline for Seniors](#)

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