



Investor Newsletter

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September 2014

INVESTOR ALERT



Frontier Funds: Travel With Care

"Frontier funds" invest in securities of companies in countries with developing securities markets. FINRA has issued this [alert](#) to caution those interested in funds that invest in frontier markets to carefully consider the heightened risks in these markets.

RECENT ALERT

[Viral Disease Stock Scams: Don't Let Them Infect Your Portfolio](#)

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INVESTOR RESOURCES 5 Important College Savings Tips

Regardless of where you (or your children or grandchildren) are in your educational path, it's never too early—or too late—to start saving. These [5 tips](#) can help you smartly save for higher education.



FINRA FOUNDATION Foundation Report: 2004 – 2014 and Beyond

During the past decade, the FINRA Investor Education Foundation has been a leader in supporting important research and financial education initiatives leading to tangible benefits for individuals and families in all parts of the country. [Read more.](#)



FINRA NEWS
FINRA Marks 75th
Anniversary of
Protecting Investors

This month, FINRA marked the 75th anniversary of the creation of NASD in 1939. NASD's mandate was "to protect investors and the public interest, and to remove the impediments to and perfect the mechanism of a free and open market." In 2007, NASD consolidated with the member regulation, enforcement and arbitration functions of the NYSE to become FINRA. [Learn more.](#)

9/19/14 — [FINRA Board Approves Series of Equity Trading and Fixed Income Rulemaking Items](#)

8/26/14 — [FINRA Fines Citigroup Global Markets Inc. \\$1.85 Million and Orders Restitution of \\$638,000 for Best Execution and Supervisory Violations in Non-Convertible Preferred Securities Transactions](#)

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