



Investor Alerts Portal

IOSCO receives alerts and warnings from its members about firms which are not authorized to provide investment services in the jurisdiction which issued the alert or warning. Some of the alerts or warnings are about unauthorized firms using names similar to those of authorized firms or about unauthorized firms falsely claiming to be associated with authorized firms.

The alerts and warnings included in the attached list are provided by IOSCO members on a voluntary basis. The contents of the alerts and warnings are the responsibility of the IOSCO member which issues them. This is not a complete list of all alerts and warnings from all IOSCO members.

The date next to the name of the IOSCO member is the date when the alert or warning was posted on this list. By clicking on the date you will be directed to the text of the alert or warning on the IOSCO member's web page. You should look at the IOSCO member's web page to get all the relevant information.

*Only alerts posted during the previous and current month are visible in the table below, but all posted alerts are searchable.

*The subject matter is not available for alerts posted prior to 23 March 2019.

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Company	Regulator	Jurisdiction	Date	Subject	Comments
Payback Limited	Financial Conduct Authority	United Kingdom	13 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Miscellaneous	No additional comments posted.
Swisskapitalinvest	Swiss Financial Market Supervisory Authority	Switzerland	13 Dec 2019	Miscellaneous	No additional comments posted.
Absolute Global Markets	Swiss Financial Market Supervisory Authority	Switzerland	13 Dec 2019	Miscellaneous	No additional comments posted.
The Financial Consultancy Group (Scam)	Financial Conduct Authority	United Kingdom	12 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Miscellaneous	No additional comments posted.
Best Returns/ www.best-returns.com	Financial Conduct Authority	United Kingdom	12 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents) Regarding markets, exchanges, and clearing and settlement entities Miscellaneous	No additional comments posted.
Miyamoto, Asuka and Associates	Financial Conduct Authority	United Kingdom	12 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents) Miscellaneous	No additional comments posted.
Alan Davis Management (clone of FCA authorised firm)	Financial Conduct Authority	United Kingdom	12 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Miscellaneous	No additional comments posted.
豐杰資本集團有限公司 (Chinese name only)	Securities and Futures Commission	Hong Kong	12 Dec 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
MSIM Fund Management	Financial Conduct Authority	United Kingdom	12 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Jonarnstein / Jonar Niels Stein	Securities and Futures Commission	Hong Kong	12 Dec 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Haven Fort Capital	Swiss Financial Market Supervisory Authority	Switzerland	12 Dec 2019	Miscellaneous	No additional comments posted.
Athena Capital (clone of EEA authorised firm)	Financial Conduct Authority	United Kingdom	11 Dec 2019	Regarding fraudulent or manipulative practices	No additional comments posted.

				(insider dealing, market manipulation, misrepresentation of material information, etc.) Miscellaneous	
All-Finanz-Regulierung GmbH	Swiss Financial Market Supervisory Authority	Switzerland	11 Dec 2019	Miscellaneous	No additional comments posted.
Cash FX Group	Financial Conduct Authority	United Kingdom	11 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents) Regarding markets, exchanges, and clearing and settlement entities Miscellaneous	No additional comments posted.
Mayfair Associates Escrow	Financial Conduct Authority	United Kingdom	11 Dec 2019	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Miscellaneous	No additional comments posted.
http://bdinvestfx.com	Comisión Nacional del Mercado de Valores	Spain	10 Dec 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
ZOLAREX LTD	Comisión Nacional del Mercado de Valores	Spain	10 Dec 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	HTTP://WWW.FINARIX.COM
BITCOIN ERA	Comisión Nacional del Mercado de Valores	Spain	10 Dec 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	HTTPS://BITCOINERA.COM/ES/
GLOBALIX LTD	Comisión Nacional del Mercado de Valores	Spain	10 Dec 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	WWW.GLOBALIX.CO
JONGROCE LTD	Comisión Nacional del Mercado de Valores	Spain	10 Dec 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	HTTP://AGRICOLETRADE.COM