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
Allianz Capital Ltd, WebNet Ltd, "Cleavesecurities", Game Capital Ads Limited, BC Profit2019, Terratech Ltd, Dubai FXM Ltd, "VirtualStocks", "RoyalFunds", Lctrade Ltd, Arrow Capital Ltd	Commissione Nazionale per le Società e la Borsa	Italy	10 Jan 2020	Miscellaneous	CONSOB has ordered the black-out of 16 new websites that offer financial services illegally. The commission availed itself of the powers resulting from the 'Decreto Crescita' ('Growth Decree'; Law no. 58 of 28 June 2019, article 36, paragraph 2-terdecies), on the basis of which Consob can order internet access providers to block access from Italy to websites offering financial services without the proper authorisation. The companies and websites are listed below: - Allianz Capital Ltd (www.capitalallianze.com); - WebNet Ltd (www.2dots.it); - "Cleavesecurities" (www.cleavesecurities.com); - Game Capital Ads Limited (www.welttrades.com and www.it.welttrades.com); - BC Profit2019 (www.bcprofit2019.com); - Terratech Ltd (www.swissfingroup.com); - Dubai FXM Ltd (www.dubaifxm.trade and www.dubaifxm.trading); - "VirtualStocks" (www.virtualstocks.co and www.virtualstocks.cc); - "RoyalFunds" (www.royalfunds.co and www.royalfunds.cc); - Lctrade Ltd (www.lctrade.net); - Arrow Capital Ltd (www.lvgrowmarkets.com and www.partners.lvgrowmarkets.com). The number of sites blacked out since July last, when Consob got the power to order blackouts, thus rises to 117. The measures with which the aforementioned companies were ordered to terminate the abusive activity can be viewed on the website www.consob.it. The black-out of these websites by internet service providers operating on the Italian market is ongoing. For technical reasons, it can take several days for the black-out to come into effect.
Rodeler Limited	Commissione Nazionale per le Società e la Borsa	Italy	10 Jan 2020	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents) Miscellaneous	CONSOB has adopted a precautionary measure prohibiting the operation in Italy of the Cypriot firm Rodeler Limited which is linked to the following websites: more
Itrade Clubs Corp	Commissione Nazionale per le Società e la Borsa	Italy	10 Jan 2020	Miscellaneous	CONSOB has banned the offering to the public of investments of a financial nature by Itrade Clubs Corp also through the website www.site.itradeclubs.com/it.
Guaranteed Fixed Bonds	Financial Conduct Authority	United Kingdom	10 Jan 2020	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.
The Bond People	Financial Conduct Authority	United Kingdom	10 Jan 2020	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.
The Sovereign Bond Fund	Financial Conduct Authority	United Kingdom	10 Jan 2020	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.
Next Trade Ltd	Polish Financial Supervision Authority	Poland	10 Jan 2020 EN	Miscellaneous	The Chairman of the KNF joined the proceedings initiated by another entity.
Netwide Invest SA	Polish Financial Supervision Authority	Poland	10 Jan 2020 EN	Miscellaneous	No additional comments posted.
RDJR	Securities and Futures Commission	Hong Kong	10 Jan 2020	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Trade Ltd	Financial Conduct Authority	United Kingdom	09 Jan 2020	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.
Inovestments	Financial Conduct Authority	United Kingdom	09 Jan 2020	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.
YORK CG	Financial Conduct Authority	United Kingdom	09 Jan 2020	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.
Lincoln FX (clone of FCA authorised firm)	Financial Conduct Authority	United Kingdom	09 Jan 2020	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.) Miscellaneous	No additional comments posted.
Fixed Return Investments	Financial Conduct Authority	United Kingdom	09 Jan 2020	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.
Crypto Profit	Financial Market Authority	Austria	09 Jan 2020	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.)	No additional comments posted.
ictrades	Financial Market Authority	Austria	09 Jan 2020	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.)	No additional comments posted.
EXW GLOBAL AG	Financial Market Authority	Austria	09 Jan 2020	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.)	No additional comments posted.
Morgan Trust (GreenRiver OU)	Financial Market Authority	Austria	09 Jan 2020	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.)	No additional comments posted.
Cartwright & Brown Wealth Advisory	Swiss Financial Market Supervisory Authority	Switzerland	09 Jan 2020	Miscellaneous	No additional comments posted.
Swiss Market Service	Swiss Financial Market Supervisory Authority	Switzerland	09 Jan 2020	Miscellaneous	No additional comments posted.