



## 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
www.laadvisersgroup.com	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	LATIN AMERICAN ADVISERS GROUP
<a href="http://metodologia-espanola.com/">http://metodologia-espanola.com/</a>	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	Metodología Española
<a href="https://nasdaq500.com">https://nasdaq500.com</a>	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	EMPIKA ENTERPRISE LTD
www.proforexcapital.group	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	PROFXCAPITAL <a href="#">more</a>
www.herdos.com	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	Herdos
<a href="http://wandafx.com/">http://wandafx.com/</a>	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	EPER HOLDINGS LTD <a href="#">more</a>
www.gdmfx.com	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	Global Derivative Capital Markets NZ Ltd <a href="#">more</a>
<a href="https://the-ethereumcodes.com">https://the-ethereumcodes.com</a>	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	THE ETHEREUM CODE
www.fxlatam.com	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	FxLatam <a href="#">more</a>
www.forexchief.com	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	Forex Chief Ltd
<a href="http://flexioptions.com">http://flexioptions.com</a>	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	FlexiOptions <a href="#">more</a>
www.fgsmarkets.com	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	FGS Markets <a href="#">more</a>
DUBAI FXM LIMITED	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	www.dubaifxm.trade <a href="#">more</a>
www.brokerz.com	Comisión Nacional del Mercado de Valores	Spain	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	BROKERZ LTD <a href="#">more</a>
Grand Marshall Ltd.	Polish Financial Supervision Authority	Poland	<a href="#">29 Apr 2019</a> 	Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements	No additional comments posted.
Dawson Roberts Advisors LLC	Financial Conduct Authority	United Kingdom	<a href="#">29 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Walton Securities LLC	Financial Conduct Authority	United Kingdom	<a href="#">26 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Supreme sp. z o.o.	Polish Financial Supervision Authority	Poland	<a href="#">26 Apr 2019</a> 	Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements	No additional comments posted.
Smart Money Network	Polish Financial Supervision Authority	Poland	<a href="#">26 Apr 2019</a> 	Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements	No additional comments posted.
Piotr Sałata	Polish Financial Supervision Authority	Poland	<a href="#">26 Apr 2019</a> 	Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements	No additional comments posted.