



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
AZ TECHNOLOGY / SPOTXBT	Comisión Nacional del Mercado de Valores	Spain	15 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	https://spotXBT.com
SAGESTNOVA S.L.	Comisión Nacional del Mercado de Valores	Spain	15 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	WWW.TULCAP.COM more
POLOINVEST LTD	Comisión Nacional del Mercado de Valores	Spain	15 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	HTTPS://POLOINVEST.GROUP more
EL RASTREADOR FINANCIERO S.L.	Comisión Nacional del Mercado de Valores	Spain	15 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	HTTP://RASTREADORFINANCIERO.COM
MATCHING BLUE CONSULTING S.L.	Comisión Nacional del Mercado de Valores	Spain	15 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	WWW.GOLDENMARKETS.COM more
PV Merger Group	Financial Conduct Authority	United Kingdom	15 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	NOTE - This firm is closely linked with a firm named as Oliver Anton Lintner (Clone of EEA Authorised firm)
Kingsman Global Limited / Lexal Limited	Securities and Futures Commission	Hong Kong	15 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Thomas Markgraf	Financial Conduct Authority	United Kingdom	12 Apr 2019  EN	Regarding fraudulent or manipulative practices (insider dealing, market manipulation, misrepresentation of material information, etc.)	No additional comments posted.
CFX / Huanying International Limited	Securities and Futures Commission	Hong Kong	12 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.

Gerda Broker sp. z o.o.	Polish Financial Supervision Authority	Poland	12 Apr 2019  EN	Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements	No additional comments posted.
Rud i Batory Kancelaria Finansowa s.c.	Polish Financial Supervision Authority	Poland	12 Apr 2019  EN	Regarding registration of issuance, offer or sale of securities/derivatives, and reporting requirements	No additional comments posted.
STAKESHOP PTY LTD	Comissão de Valores Mobiliários	Brazil	11 Apr 2019	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)	Not authorized by the CVM of Brazil to publicly offer investment opportunities or perform any activities within the securities market by any means, including the website page: https://global.hellostake.com/br
SMARTEX INTERNATIONAL LTD (OLYMP TRADE)	Comissão de Valores Mobiliários	Brazil	11 Apr 2019	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)	Not authorized by the CVM of Brazil to publicly offer investment opportunities or perform any activities within the securities market by any means, including the website page: www.olymptrade.com
AVENUE SECURITIES LLC	Comissão de Valores Mobiliários	Brazil	11 Apr 2019	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)	Not authorized by the CVM of Brazil to publicly offer investment opportunities or perform any activities within the securities market by any means, including the website page: more
www.yif-hk.com	Securities and Futures Commission	Hong Kong	11 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
www.p9967.com	Securities and Futures Commission	Hong Kong	11 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
www.qihuo852.com	Securities and Futures Commission	Hong Kong	11 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Asia Associates	Securities and Futures Commission	Hong Kong	11 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
www.grtuex.com	Securities and Futures Commission	Hong Kong	11 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Tao Feng Associates	Securities and Futures Commission	Hong Kong	11 Apr 2019	Regarding market intermediaries (investment and trading advisers, collective investment	No additional comments posted.

