



## 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.

Search:

Page: << 1 2 3 4 5 6 7 121 - 124 of 124 [Show all](#)

Company	Regulator	Jurisdiction	Date	Subject	Comments
Forte Capital Mergers and Acquisitions	Financial Conduct Authority	United Kingdom	<a href="#">03 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Execs Financial Service(s), EFS, Execs Lending Firm	Financial Conduct Authority	United Kingdom	02 Apr 2019  EN	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
Bellsouth Capital Partners	Financial Conduct Authority	United Kingdom	<a href="#">01 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.
MT Capital	Financial Conduct Authority	United Kingdom	<a href="#">01 Apr 2019</a>	Regarding market intermediaries (investment and trading advisers, collective investment schemes, brokers, dealers, and transfer agents)	No additional comments posted.