

## **ALERT**

We (the Financial Services Authority – FSA) have published this statement today in order to warn investors against dealing with unauthorised firms.

This statement is to advise members of the public that an organisation identifying itself to UK individuals as:

### **WindRiver Capital**

is not authorised under the Financial Services and Markets Act 2000 (FSMA) to carry on a regulated activity in the UK. Regulated activities include, amongst other things, advising on investments and dealing and arranging deals in investments ('investments' include stocks and shares). We believe that the organisation may be targeting UK customers.

**The following USA registered company has informed us that they have no association whatsoever with the organisation discussed above identifying itself as WindRiver Capital**

- **WindRiver Capital LLC (CRD Number: 46284; SEC Number: 8-51365) 5033 Riverpark Way, Provo, UT 84604**

**It appears that an unauthorised entity is playing upon the likeness of its name to the above US registered company so as to confuse unsuspecting prospective investors. It has been confirmed by the SEC (Securities and Exchange Commission) in the United States, that Windriver Capital LLC has NOT been contacting non-US investors about swapping their non-performing shares or removing restrictions from them. Further, the genuine WindRiver Capital LLC HAS NO RETAIL CUSTOMERS OR WEBSITE.**

**The following UK registered company has also informed us that they also have no association whatsoever with the unauthorised organisation discussed above identifying itself as WindRiver Capital**

- **WindRiver Capital Partners Limited (Co. number 06350620) 32 Drury Road, Harrow, HA1 4BY**

**What does this mean for you?**

If you are an investor, you should be aware that **the Financial Ombudsman Service and the Financial Services Compensation Scheme are not available** if you deal with an unauthorised company or individual.

**How can you check whether a firm is authorised?**

To find out whether a company or individual is authorised, go to the FSA Firm and Person Check Service at [www.moneyadeclear.fsa.gov.uk/tools/check\\_our\\_register.html](http://www.moneyadeclear.fsa.gov.uk/tools/check_our_register.html)

Date: 12<sup>th</sup> September 2008

**Note:** For an up-to-date list of unauthorised firms issued, please visit:

[www.fsa.gov.uk/Pages/Doing/Regulated/Law/Alerts/index.shtml](http://www.fsa.gov.uk/Pages/Doing/Regulated/Law/Alerts/index.shtml)

For further information on unauthorised firms targeting UK investors see the press release issued on 6 June 2006 at:

[www.fsa.gov.uk/pages/Library/Communication/PR/2006/053.shtml](http://www.fsa.gov.uk/pages/Library/Communication/PR/2006/053.shtml)

For more details about the tactics that are commonly adopted by unauthorised firms targeting UK investors see the warning issued in April 2005 available at:

[www.fsa.gov.uk/pages/Library/Communication/PR/2005/039.shtml](http://www.fsa.gov.uk/pages/Library/Communication/PR/2005/039.shtml)

The Share Investments Scam leaflet issued in October 2004 available at:

[www.moneyadeclear.fsa.gov.uk/pdfs/share\\_scams.pdf](http://www.moneyadeclear.fsa.gov.uk/pdfs/share_scams.pdf)