

WARNING ON UNREGISTERED INSTITUTIONS IN INTERNATIONAL SUPERVISORS

7 January 2021

The National Securities Market Commission (CNMV) publishes the following list of warnings reported on unregistered entities that were received through international supervisors:

Entity warned	Supervisor	Observation
ASSE-GROUPE asse-groupe.com	FSMA - BELGICA	
BROOKFIELD INVESTMENT FUND PLC (CLON) brookfieldinvestmentfundsplc.net/	FSMA - BELGICA	LA ENTIDAD ADVERTIDA NO TIENE NINGUNA VINCULACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA Brookfield Investment Funds (UCITS).
CREATE CAPITAL INVEST createcapitalinvest.com	FSMA - BELGICA	
PATRIMOINE CONNECT 4gste3-12qxt99o1mnd.com	FSMA - BELGICA	
VUELEX vuelex.com	FSMA - BELGICA	
BONDCOMPARE.ORG	FCA - REINO UNIDO	
BACK ON TRACK LOANS	FCA - REINO UNIDO	
PHASE ASSET MANAGEMENT (CLON) phaseassetmanagement.com investment.phaseassetmanagement.com	FCA - REINO UNIDO	LA ENTIDAD ADVERTIDA NO TIENE NINGUNA VINCULACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA Phase.
FULL FUNDING CIRCLE / FULLFUNDING CIRCLE (CLON) fullfunding-circle.com	FCA - REINO UNIDO	LAS ENTIDADES ADVERTIDAS NO TIENEN NINGUNA VINCULACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA Sterling Professional Finance Limited.
LOMBARD LONDON / LOMBARD AM (CLON) LOMBARDLONDON.COM / LOMBARDAM.COM	FCA - REINO UNIDO	LAS ENTIDADES ADVERTIDAS NO TIENEN NINGUNA VINCULACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA Lombard Odier Asset Management (Europe) Ltd.
COVESTIUM LIMITED INVESTMENT CONSULTANT (CLON) covestiumltd.com	FCA - REINO UNIDO	LA ENTIDAD ADVERTIDA NO TIENE NINGUNA VINCULACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA Covestium Ltd.
UNION CREDIT BANK ucbtconline.com	FCA - REINO UNIDO	
SMART INCOME INVESTOR smartincomeinvestor.co.uk	FCA - REINO UNIDO	
HULT PRIVATE CAPITAL hultprivatecapital.com	FCA - REINO UNIDO	
UK BOND ASSOCIATES uk-bondassociates.com/	FCA - REINO UNIDO	
HERONSGATE CAPITAL LIMITED (CLON) heronsgatecapltd.com	FCA - REINO UNIDO	LA ENTIDAD ADVERTIDA NO TIENE NINGUNA VINCULACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA Heronsgate Capital LLP.

For further information:

[CNMV](#) Communications Department

Tel: (+34) 91 585 15 30 - comunicacion@cnmv.es



UNIX BROKER unixbroker.com	FCA - REINO UNIDO	
SUN CFD TRADING INC suncfdtrading.com	CSSF - LUXEMBURGO	

For more details on the warnings received from foreign regulators at the European level, please visit the CNMV website to view any existing warnings on [unauthorized entities](#) and [other warnings](#).

In addition, there is a [search engine](#) available at the CNMV website.

To view additional warnings from non-European regulators, click on the [Investor Alerts](#) link at the IOSCO website.

For further information:

[CNMV](#) Communications Department

Tel: (+34) 91 585 15 30 - comunicacion@cnmv.es

