



## WARNING ON UNREGISTERED INSTITUTIONS IN INTERNATIONAL SUPERVISORS

6 November 2019

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  |
|---|----------------------|--|
| WWW.BAUMANNPARTNERS.COM   | CSSF -<br>LUXEMBURGO | LA WEB NO TIENE NINGUNA RELACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA BAUMANN & PARTNERS S.A.     |
| 21STOPTIONS<br>HTTPS://21STOPTIONS.COM  | CSSF -<br>LUXEMBURGO |  |
| WWW.PF-GESTION.COM, OPERANDO COMO PREMIUM FUND  | CSSF -<br>LUXEMBURGO | LA WEB NO GUARDA RELACIÓN CON LA ENTIDAD DEBIDAMENTE REGISTRADA CON EL MISMO NOMBRE, PREMIUM FUND. |
| TUCKER AND ROSS ADVISERS LLC /<br>TUCKER AND ROSS<br>WWW.TUCKERANDROSSADVISORS.COM<br>WWW.TUCKERANDROSS.COM | FCA - REINO UNIDO    |  |

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.

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