

## INVESTOR DECALOGUE

# First Tip: How to know whether an entity is registered or not

Verify that the entity is [authorized](#) and the Company has not been subject to [warnings](#) by CNMV or other supervisors. In case of doubt, [consult us](#).

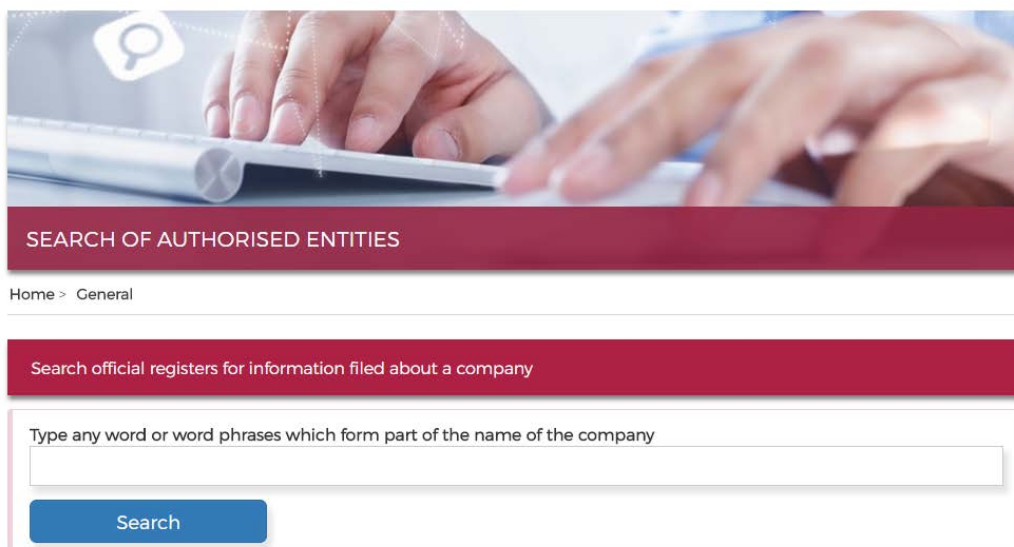
The first measure that an investor must take is to verify that the entity through which they are to operate is authorized and has not been subject to any warnings by CNMV or any other supervisory authority.

Therefore, before making a decision:

- **Only contract entities authorized by CNMV or Bank of Spain.**

It is compulsory for companies that offer investment services to be authorized by CNMV. Only registered entities have been authorized to provide such services after complying with certain requirements and are subject to screening by supervisory bodies.

In the investor/warnings section of CNMV's website, you will find the following [search engine](#) to verify **whether or not an entity is authorized** to provide an investment service:



SEARCH OF AUTHORISED ENTITIES

Home > General

Search official registers for information filed about a company

Type any word or word phrases which form part of the name of the company

Search

- **If the entity does not appear as registered**, check if the CNMV or other supervisory bodies have issued a public warning on it and the possibility it could be providing investment services without being duly authorized to do so.

Also, in the investor/warnings section of CNMV's website you will find the following [search engine for entities issued with a public warning](#):

**If the entity appears in this search engine, we recommend you do not invest.**

If your entity does not appear in either of the two previous search engines, you can broaden your [search on the website of the International Organization of Securities Commissions](http://www.iosco.org) (www.iosco.org) where the supervisory organizations from other countries include these warnings.

Entities that have not been subject to warnings are not necessarily authorized entities; it is possible that their irregular activities have not yet been detected by competent supervisory bodies.

- **Commercial agents must also be registered by CNMV or Bank of Spain in order to provide investment services.**

In the event that the operation is to take place via an agent who represents an entity, also confirm in the search and [Bank of Spain](#) that both the entity and the agent are registered. **If you do not find the entity you are looking for in such registers**, it is recommended you consult CNMV before proceeding with any operations.

## SEARCH TIED AGENTS OF INVESTMENT FIRMS

Home > Registration files > Investment Firms

• Set the selection using one or more of the following conditions:

Individual search **Companies Search**

Name:

By last name:

In any case, remember that the agents cannot receive from the clients, not even temporarily, any financial instruments or money, nor can they receive fees, commissions or any other type of remuneration from the client.

- And always remember, in case of any doubt, to consult CNMV's investor assistance office (900 535 015) or send a query via the [form](#) found in CNMV's Investor Section.

Go to: [Ten advices to avoid a fly-by-night operations.](#)