Stanford Financial Group Receivership

FAQs Regarding Brokers, Financial Advisors and Registered Representatives

March 10, 2009

Question: May brokers, financial advisors and registered representatives previously employed by Stanford Group Company talk to persons who were their clients when they were employed by Stanford Group Company?

Answer: Yes. In fact, the Receiver encourages them to talk to clients if it will assist in the transfer of released customer brokerage accounts to a new firm.

Question: Will the Receivership process FINRA Form U-5's (notices of termination) for brokers, financial advisors and registered representatives whose employment has been terminated by the Receivership?

Answer: Yes. These forms will be processed as promptly as practicable.