

- [About](#)
- [Publications](#)
- [Exemptions](#)
- [Notices](#)
- [What's new?](#)
- [International](#)
- [Speeches](#)
- [Information for investors](#)
- [Financial adviser regulation](#)
- [Contact us](#)
- [Site map](#)
- [Home](#)

## Overseas firms that have called New Zealanders

Since August 2000 we have published the names of firms who have targeted people in New Zealand. These callers do not hold a New Zealand broker's licence or futures dealer authorisation and do not comply with New Zealand law.

They have not provided evidence that they are registered in their home jurisdiction to undertake this type of securities business.

This list is not exhaustive. If you are cold called from a firm that is not on the list that does not mean it is genuine. It is always unwise to send money overseas to someone who you know only from an unsolicited call.

For information on questions to ask before making any investment decision see [Test before you invest](#).

[A - E](#) | [F - J](#) | [K - O](#) | [P - U](#) | [V - Z](#)

- **Abacus International Capital Corp**

The Abacus International Capital Corp listed has stolen the identity of a legitimate firm in the United States. The legitimate Abacus International Corp can be contacted by phone at (212) 285 4770 or by fax (212) 285 4136 or (212) 274 0107.

Published on this site July 2007

- **Abbey House Acquisitions**

Tower 42  
25 Old Broad St  
London  
EC2N 1HQ  
UNITED KINGDOM

Published on this site March 2006

- **AB Financial Group**

440 South Laselle Street  
Suite 3300  
Chicago, IL 60605  
UNITED STATES OF AMERICA

Phone: +1 312 283 0869

Fax: +1 866 277 9351

E-mail: xxxx@xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx.xxx,  
info@nasdaqshareholdersupport.org  
Websites: www.abfinancialservicesgroup.com

- **Alderman Associates Ltd**

Arca Central Building  
14F 1-2-1 Kinshi Sumida-ku, 1300031  
Tokyo  
JAPAN

Phone: +81 3 4520 9536  
Fax: +81 3 6385 7599  
E-mail: xxxx@xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx.xxx  
Website: www.aldermanassocitesltd.com

Associated individuals: John Davis, Elizabeth Dole, Jamie  
Glanfield, Terry Staley, Steven Ong  
Published on this site January 2010

- **Alpha REIT Advisors Co., Ltd**

1-9-20, Akasaka  
Minato-ku  
Tokyo, 107-0052  
Japan

Phone: + 8150 5539 8517  
Fax: + 813 5501 9694  
Website: www.alphareitadvisors.com  
Email: contact@alphareitadvisors.com

Published on this site March 2010

- **Anderson Tate**

4107 Emerald Street  
Boise  
Idaho 83706  
UNITED STATES OF AMERICA

Published on this site January 2004

- **Anova Corporate Services**

222 Yanan Road East  
Shanghai  
CHINA 200002

Associated individual: Stuart Lucas  
Published on this site July 2004

- **Apple Investment Company Pty Ltd.**

Level 13, 50 Cavill Avenue  
Surfers Paradise  
Gold Coast, QLD 4217

**AUSTRALIA**

Phone: +617 55 534 139

Fax: +617 55 383 390

Email: info@appleinvestmentcompany.com.au

www.appleinvestmentcompany.com.au

Published on this site October 2010

- **Apple Investment Company Ltd.**

Level 11, 48 Wall Street

New York

NY, 10005

UNITED STATES OF AMERICA

Phone: +212 918 4952

Fax: +212 918 4801

Email: info@appleinvestmentcompany.com

www.appleinvestmentcompany.com

Published on this site October 2010

- **Arawack Portfolio Management Inc**

Sunlife Plaza, 144 - 4th Avenue SW

Ste. 3600

West Tower

Calgary, AB T2P 3N4

CANADA

Published on this site October 2005

- **Argus Capital Investment Corporation**

Postbus 59366

1040 KJ Amsterdam

THE NETHERLANDS

Associated individual: Ted Davies

Published on this site August 2001

- **Asia Pacific Advisors Ltd**

24 FI Pu Fa Tower

588 Pudong South Road

Pudong

Shanghai 2001200

CHINA

Phone: +86 21 3126 9109

Fax: +86 21 5107 9311

E-mail: noreplx@xxxxxxxxxxxxxxxxxxxxxxx.xxx

Website: www.asiapacificadvisors.com

Associated individuals: Richard Kingman, Samuel Wong

Published on this site August 2001

- **Associated Financial Services**

118 Broadway  
Fargo  
ND 58102  
40 Exchange Place, New York, NY 10005

Not to be confused with the genuine: Associated Financial Services, Inc, 118 Broadway, Suite 504 (BLACK BLDG) PO Box 2163, FARGO ND 58102 USA Tel: +1-701-293-9434

Published on this site June 2008

- **Atlantic International Partners**

01-03 Ocean Building  
10 Collyer Quay  
SINGAPORE 49315

Published on this site May 2005

- **Atlantis Mergers & Acquisition Group, Inc.**

J P Morgan International Plaza  
Suite 1500  
14221 Dallas Parkaway  
Dallas  
Texas 75254  
UNITED STATES OF AMERICA

Published on this site December 2005

- **Baros Corporation**

2857 NW 78 Avenue  
Miami  
Florida  
UNITED STATES OF AMERICA

Published on this site November 2004

- **Baxter Financial Group Inc**

1040 Avenue of the Americas  
24th Floor  
New York  
NY 10018  
UNITED STATES OF AMERICA

Published on this site April 2004

- **Baycorp International Mergers & Acquisitions**

9 Bei San Huan Dong Lu  
Chao Yang District  
Beijing 100029

CHINA

Published on this site August 2007

- **Beacon Capital Management**

70 Kimberly Road

HONG KONG

(Beacon Capital Management, Hong Kong should not be confused with Beacon Capital Markets, LLC, UNITED STATES OF AMERICA or Beacon Capital Management Advisors, UNITED STATES OF AMERICA)

Published on this site October 2005

- **Beijing International Research Mergers and Acquisitions**

3/F Building B

E-Wing Center

113 Zhichun Rd

Haidan District

Beijing 100086

CHINA

Published on this site June 2006

- **Bell International Asset Management**

12020 Shamrock Plaza

Omaha, Nebraska 68154-3537

UNITED STATES OF AMERICA

Published on this site May 2005

- **Benson Dupont Capital Management Inc**

14th Floor, Kamiya-cho Mori Bldg

4-3-20 Toranomom

Minato, Tokio

JAPAN

Published on this site August 2001

- **Benson Dupont**

Level 23, CP Tower

313 Silom Road

Bangkok 10500

THAILAND

Associated individuals: Steve Wilson and Keith Nochman

Published on this site August 2000

- **Bentley Moore & Daines Sterling Strategies Group Limited**

18 Avenue Louis-Casai

Geneva 28  
1211  
SWITZERLAND

Published on this site November 2003

- **Berchmans Lee Company Inc**

1410 Herrera Tower  
Herrera Street  
Salcedo Village  
Makati  
Manila  
PHILIPPINES

Associated individual: Chris Carter

Published on this site September 2000

- **Berger Aron Macey**

Suite 2700, 1240 Peachtree Street NE  
Atlanta, GA 30309  
UNITED STATES OF AMERICA

Published on this site June 2007

- **Berkely Financial**

Associated individual: Harry Dean

Published on this site November 2009

- **Bernard Kaplan**

The Mercantile Exchange  
30 South Wacker Drive, 22nd floor  
Chicago, Illinois 60606  
UNITED STATES OF AMERICA

Published on this site June 2007

- **Bernstein & Zeigler**

10 Anson Road  
# 18-18 International Plaza  
SINGAPORE 079903

Associated individual: Henry Thornton

Published on this site September 2002

- **Bion, McConnan & Associates LLB**

141 757 West Hastings St  
Suite 800  
Vancouver B.C.  
CANADA

Published on this site September 2002

- **BioMaxx Systems Inc.**

Suite 1801  
1 Yonge Street  
Toronto  
Ontario M5E 1WS  
CANADA

Associated person: Ralph Bayer  
Published on this site December 2007

- **Boston Global Finance Inc.**

Paragon Towers  
233 Needham Street, suite 300  
Newton MA 02464  
UNITED STATES OF AMERICA

Associated individual: Jessica Tyler  
Published on this site July 2004

- **Bradford Kempner Investments Limited**

Unit 1512, 15th Floor  
Q-House Asoke Building  
66 Sukhumvit 21 Road  
Klongtoey Nua  
Wattana  
Bangkok 10110  
THAILAND

Published on this site September 2001

- **Bradley, Chen & Associates**

HONG KONG

Associated individual: David Lake  
Published on this site July 2004

- **Bremer Finance Ltd**

Howard Hughes Center  
6601 Center Drive, Suite 500  
Los Angeles, CA 90045  
USA

Published on this site August 2007

- **Brooks Pearson Investment Limited**

Wisma Danamon Aetna Life  
19th Floor, Jalan Jondral Sudirtnan  
Kauling 45-46  
Jakarta 12930  
INDONESIA

Published on this site July 2001

- **Brown & Company Trading Inc**  
JAPAN

Published on this site April 2007

- **Brown & Burke Securities**  
339, La Salle St  
Chicago, IL 60605  
UNITED STATES OF AMERICA

Published on this site May 2005

- **Can Am Acquisitions Inc**  
ABC Center  
500 North Michigan Ave  
Suite 300  
Chicago Illinois 60611  
UNITED STATES OF AMERICA

Published on this site March 2005

- **Capital Assets Limited**  
Taipei Metro Building  
Suite D, 11/F  
No. 207 Tun Hwa South Road, Sec.2  
Taipei  
TAIWAN

Associated individual: Robert Mason  
Published on this site March 2001

- **Capital Growth Equities S.L.**  
Apartado de Correos 1057  
29600, Malaga  
SPAIN

Published on this site December 2003

- **Capital Management Group**  
340 South Main Street  
New City  
NY 10956  
UNITED STATES OF AMERICA

Associated individual: Thomas White  
Published on this site November 2004

- **Capital Transfer Consolidated**  
410 Park Avenue  
New York, NY 10022  
UNITED STATES OF AMERICA  
Phone: + 1 212 359 1625



Fax: + 1 212 918 3467  
 website: www.capitalconsolidated.com  
 e-mail: info@capitalconsolidated.com  
 Associated individual: John Lewis

Published on this site March 2009

- **Capitol Transfer**

1121 West Park Ave  
 Suite 100  
 Los Angeles  
 California 90021  
 UNITED STATES OF AMERICA  
 Phone: +1 206 338 2159  
 Fax: +1 323 421 9366  
 website: www.capitoltransfer.com  
 e-mail: xxxxxxxx@xxxxxxxxxxxxxxxxxxx.xxx  
 Associated individuals: Frank Roth, William Johnson

Published on this site March 2009

- **Castlepeak and Sons, Ltd**

Blue Ash 11427 Reed Hartman Highway  
 Cincinnati, OH 45241  
 UNITED STATES OF AMERICA

Published on this site November 2005

- **C & C Global Co., Limited**

17th Floor UBC II Building  
 Soi Sukhumvit 33  
 Bangkok  
 THAILAND

Published on this site September 2001

- **Central Capital Inc**

387 Ivy Street	New Bright Building
San Francisco	11 Sheung Yuet Road
California	HONGKONG
UNITED STATES OF	
AMERICA	

Published on this site November 2002

- **Century Capital Switzerland Limited**

5 St John's Lane	Administrative	Public relations
UK - ECIM4BH	Office	15 East 57th Street
Phone: +44 20	Vanderpool Plaza	New York, NY
7549 1668	Wickhams City 1	10022
Fax: +44 20 7549	PO Box 873	UNITED STATES OF
1669	Road Town	AMERICA
	BVI	Phone: +1 646 452
		4767

Fax: +1 646 356  
6938

E-mail: xxxx@xxxxxxxxxxxxxxxxxxxxxxx.xxx  
website: www.centurycapitaltd.com

Associated individuals: James Hayden, Garry Alexander,  
Michael Dundas

Published on this site November 2006 (updated September  
2008)

- **Century Group M & A**

12604 Pacific Street  
Omaha - NE -68154  
UNITED STATES OF AMERICA

Associated individual: Eric Cairns  
Published on this site July 2004

- **Chabert Asset Management**

Superior East Avenue  
Suite 1300 Cleveland  
Ohio 44114  
UNITED STATES OF AMERICA

Published on this site November 2005

- **Chase Capital Inc.**

405 Lexington Avenue  
Chrysler Building  
New York City  
NY 10174  
UNITED STATES OF AMERICA

Published on this site February 2007

- **Cheoy Lee Asset Management Asia**

Hong Kong Office:	Belgium Office:	U.S. Office:
Level 25, 1 Garden Road - China Tower	106 Avenue Louise	225 Bush Street
HONG KONG	BRUSSELS 1050	San Francisco CA
	BELGIUM	94104
		UNITED STATES OF AMERICA

Published on this site October 2005

- **Chicago Accounting**

235 W Cermak Road  
Chicago IL 60616  
UNITED STATES OF AMERICA

Published on this site October 2005

- **Chicago Board of Acquisition Inc**

5801 South Ellis Ave

Chicago  
 Illinois, 60637  
 UNITED STATES OF AMERICA

Published on this site January 2004

- **Citiexchange Group**

Level 12 Hibiya Central Building  
 1-2-9 Nishi Shimbashi Minato-Ku  
 Tokyo, Japan

Associated individual: Angela Roberts  
 Published on this site June 2005

- **CitiFund Asset Management, Inc.**

399 Park Avenue  
 8th Floor New York  
 New York  
 UNITED STATES OF AMERICA

This firm is not associated with any legitimate businesses conducted by Citigroup or Citibank, some of which have offices at 399 Park Avenue in New York.

Published on this site October 2007

- **Clanvale Securities S.A.**

Edificio Torre America Floor 3 Office 307 Avenida Venezeula Bello Monte Caracas VENEZUELA	Edificio Paladium Oficina 5F 4 Avenida 15-70 Zona 10 Guatemala City GUATEMALA C.A. 01010
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Associated individuals: Lance Ramsey, John Sparks, Charles Blundell

Published on this site November 2001 & March 2003

- **Clarkson Gordon Limited**

Daliana Court  
 5 Chytron Street  
 2nd Floor, Office 21  
 1075 Nicosia  
 CYPRUS

Associated individuals: Bernard Owens, George Scott

Published on this site September 2003

- **Classic Consultants**

5419 Hollywood Boulevard  
 Suite C-206  
 Los Angeles  
 CA 90027  
 UNITED STATES OF AMERICA

Associated individuals: Jack Quinn and Mark Johnson  
Published on this site July 2005

- **Classic Gaming**

415 North Camden Drive  
Beverly Hills  
CA 90210  
UNITED STATES OF AMERICA

Associated individual: Andrew Kennedy  
Published on this site July 2005

- **Clover Mergers & Acquisitions**

United States Office  
South 700 East, South Salt Lake  
Salt Lake City  
UT 84107  
UNITED STATES OF AMERICA

Published on this site November 2006

- **Cohen Nesbit Group Limited**

Level 19 Hong Leong Building  
16 Raffles Quay  
SINGAPORE

Published on this site September 2001

- **Colony Capital & Associates**

20th Floor Marunouchi Building  
2-4-1 Marunouchi  
Chiyoda-ku  
Tokyo 100-6332  
JAPAN

Phone: +813 6688 7243  
Fax: +813 4496 4202  
E-mail: info@colonycapitalassoc.net  
website: colonycapitalassoc.net

Associated individuals: Tom Clairmont (VIP Acquisitions  
Dept.), Kim Glodenberg (Authorised signatory)

Published on this site November 2007

- **Compass-Asset Management**

SWITZERLAND

The Compass Asset Management listed here has stolen the identity of a legitimate firm in Switzerland. The legitimate Compass Asset Management can be contacted by phone +41 91 9603983 or by fax on +41 91 960 3979.

Published on this site April 2006

- **Comtrade Group Pty Ltd**

48 Cavill Avenue  
Surfers paradise  
Queensland, 4217  
AUSTRALIA

Phone: +61 300 216 143  
Fax: + 61 300 216 537  
E-mail: info@comtrade-group.com  
website: www.comtrade-group.com

Associated individuals: Tony Davis, Matt Shannon

Published on this site January 2011

- **Consolidated Transfer Inc.**

33 Hysan Avenue  
HONG KONG

Published on this site May 2007

- **Concorde Pacific Management Inc.**

Madrona Plaza Building  
1305, 34th Avenue  
Seattle, WA 98122  
UNITED STATES OF AMERICA

Published on this site April 2007

- **Cooper Kline NYC**

180 Malden Lane  
New York  
UNITED STATES OF AMERICA

Associated individuals:

Drew Richards E-mail: drew\_rxxxxxxx@xxxxxxxxxxxxxxxxxxx  
Jonathan Smith E-mail: jonathan.smithcaptranfex@xxxxxx.xxx

Published on this site August 2008

- **Continental Allied Incorporated**

30 Queen's Road  
HONG KONG

Published on this site April 2005

- **Corporate Mergers and Acquisitions Group**

535 Madison Avenue  
Suite 300

New York, NY10022  
UNITED STATES OF AMERICA

Phone: +1 646 810 8666  
Fax: +1 347 223 5234  
E-mail: xxxx@xxxxxxxxxxxxxxxxxxxxxxx.xxx

Published on this site October 2010

- **Crawford Peale**

Unit 1609  
16th Floor, Vaint 1 Building  
1126/1 New Petchburi Road  
Bangkok 10400  
THAILAND

Published on this site September 2001

- **Crest Asset Management**

21 Science Park  
#06-07 The Aquarius  
Singapore, 117628

Published on this site July 2008

- **Crest International Investment Inc**

First West Building  
200 First Avenue West Suite 400  
Seattle  
Washington 98119  
UNITED STATES OF AMERICA

Published on this site February 2005

- **Crown Capital Corporation**

6 Sheraton St  
Soho  
LONDON  
UK W1F 8BH

Published on this site June 2006

- **Davis Goldberg Group**

782 NW 42nd Avenue  
Miami  
FL 33135  
UNITED STATES OF AMERICA

Associated individual: Mark Hughes

Published on this site May 2004

- **Dawson Turner**

Two Penn Centre Plaza  
Philadelphia, PA 19102-1706  
UNITED STATES OF AMERICA

Published on this site February 2004

- **De Verre Lloyd & Co**

15th Floor, Cerulean Tower  
26-1 Sakuragaoka-cho  
Shibuya-ku  
Tokyo 150-8512  
JAPAN

Associated individual: Ian Walsh  
Published on this site July 2004

- **Deacons Lasalle**

London  
UNITED KINGDOM

Published on this site March 2007

- **Dearborn International**

719 Griswold Street  
Detroit  
Michigan 48226  
UNITED STATES OF AMERICA

Associated individual: Gerry Markham  
Published on this site November 2004

- **Dempster Hampton Duke**

26th floor  
The Chrysler Building  
405 Lexington Avenue  
New York City  
NY10174  
UNITED STATES OF AMERICA

Published on this site October 2005

- **Diligent Solutions**

19 Hennessey Road  
Wanchai  
HONG KONG

Published on this site June 2006

- **Diversified Global Capital Group**

2121 E. Pacific Coast Highway  
Corona Del Mar, California  
UNITED STATES OF AMERICA

Diversified Global Capital Group is fraudulently using the name and address of Diversified Global Capital Group, Inc. which is a legitimate corporation in United States of America.

Published on this site April 2007

- **Diversified Investments Group**

Diversified Investments Group is fraudulently using the name of Diversified Investments Group Inc. which was a legitimate firm in United States of America. The legitimate Diversified Investments Group Inc. terminated registration on 2 October 2006.

Published on this site October 2007

- **DKM Global Management Inc**

1 Lan Kwai Fong  
HONG KONG

Published on this site November 2003

- **Douglas Baker & Co.**

800-615 West Broadway Ave.  
Vancouver, BC  
CANADA

Associated individual: Richard Mason  
Published on this site January 2004

- **Dragon Pacific Company Limited**

17th Floor, One Pacific Place  
140 Sukhumvit Road  
Bangkok  
THAILAND

Associated individual: Douglas King  
Published on this site August 2000

- **Drake Asset Management**

1991 Crocker Road  
Cleveland, OH 44145  
UNITED STATES OF AMERICA

Published on this site May 2005

- **Dreyfus Securities Limited**

14/F Kamiya-cho Mori Building  
4-3-20 Toranomom, Minato-ku  
Tokyo 105-0001,  
JAPAN



Amnuaydech Suite 048  
22 Central Chidlom Tower  
Polenchit Road, Lumpini  
Pathumwan, Bangkok 10330  
THAILAND

29/F One Canada Square  
Canary Wharf, London  
UNITED KINGDOM, E14 5DY

Associated individual: Steven Dixon  
Published on this site July 2001

- **Dukes and Company Securities Corporation**

Unit 1009                      Constitution Drive  
PSBank Tower              PO Box 332  
Senator Gil J                 Belmopan  
Puyat Avenue               BELIZE  
Makati City 1220  
PHILIPPINES

Associated individuals: Michael Martin, Ben Smit  
Published on this site September 2000

- **Dune Dawson Inc.**

The Lincoln Building  
305 Madison Ave, Suite 439  
New York  
UNITED STATES OF AMERICA

Associated Individual: Chad Robinson  
Published on this site June 2005

- **Elders Cohen**

Hills Plaza 1  
345 Spear Street, Suite 138  
San Francisco  
California  
CA94105  
UNITED STATES OF AMERICA

Associated individuals: Steve Thomas, Michael Sands  
Published on this site September 2003

- **Eli Solomon**

580 Madison Avenue  
New York City  
New York 10022  
UNITED STATES OF AMERICA

Associated individual: Andrew Forster  
Published on this site November 2007

- **Eno Capital Ltd**

Level 9 AIG Building  
1-1-3 Marunouchi  
Chiyoda-ku  
Tokyo 100-0005  
JAPAN

Published on this site October 2005

- **EquiAsia Group Limited**

Level 28, Shinagawa Intercity Building, Tower A  
2-15-1 Konan, Minato-Ku  
Tokyo 108-6028  
JAPAN

Phone: +813 6717 4321

Fax: +813 6717 4341

E-mail: xxxxx@xxxxxxxxxxxxxxx.xxx,  
kualalumpur@equiasigroup.net,  
shanghai@equiasigroup.net

Website: www.equiasigroup.net

Associated individuals: Stephen Bench, K Sharpe, W Harris,  
Charles Anthony

Published on this site June 2008 (Updated November 2009)

- **Equinox Equities**

19 Des Voeux Road  
HONG KONG

Published on this site September 2005

- **Equiserve Trust Capital Market**

423 Walpole Ter Canton  
MA 02021  
UNITED STATES OF AMERICA

Published on this site December 2005

- **European Private Equity Group**

Grosse Bockenheimer 13  
Suite 2160  
60313 Frankfurt  
Am Main  
GERMANY

Published on this site September 2005

- **Evans and Stern Corporation**

website: www.evansandstern.com

E-mail: info@evansandstern.com

Associated Individual: Kevin Lomax

Published on this site June 2009

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[A - E](#) | [F - J](#) | [K - O](#) | [P - U](#) | [V - Z](#)

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[About](#) | [Publications](#) | [Notices](#) | [What's new?](#) | [International](#) | [Speeches](#)

| [Site map](#)

[Search](#) | [Information for investors](#) | [Contact us](#) | [Accessibility](#)

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