

GPB Capital Investor Update December 2020

GPB Capital investors recently learned state of Massachusetts securities regulators filed investor fraud charges against GPB.

PALM BEACH, FL, USA, December 3, 2020 /EINPresswire.com/ -- Recent news reports that the Massachusetts state securities regulators charged GPB Capital with violating state securities laws was just the latest negative news report for GPB investors. A number of points raised by the state regulators, in that case, include issues that might also be helpful to some investors who are seeking to recover their investment losses directly from the broker-dealer firms that originally recommended the investments in GPB.



This latest news comes after nearly 2 years of an avalanche of negative news that many investors simply had to sift through after finding out from sources other than their financial advisors. The Haselkorn & Thibaut, P.A. law firm is currently representing multiple investors in GPB Capital lawsuits (FINRA arbitration claims) directed at the broker-dealers and financial advisors who originally recommended these investments.

Investors should be aware there are various time limitations that apply to their ability to bring such claims and there is a limited time for investors to file these claims. Investors can call 1 888-628-5590 and visit [our website](#) to schedule a free case evaluation or account review and to discuss their options on potentially recovering their GPB Capital investment losses.

Secondary market sources are currently indicating that in light of the pending investigations related to GPB by the SEC, FINRA, and other agencies, there is little or no demand for these investments and few if any buyers providing liquidity in the secondary market.

If investors wish to address their damages or investment losses, they should consider taking matters into their own hands. The little information that has been reported by GPB indicates there are significantly less assets. Thus, simply waiting for state or federal securities regulators to take action, and whether or not such action will involve any level of reimbursement to

investors is a big unknown at this time.

Even considering the recent steps taken by the Massachusetts regulators, while it is helpful knowing that a state securities regulator has observed various issues or potential problems, the allegations remain unproven and for those outside of the state, there is likely no prospect for any potential future restitution, unless/until the national securities regulators may take a material step in that direction. As it stands, the SEC and FINRA are continuing their own investigations.

What can investors do?

While there are some class action claims pending that include GPB Capital, as well as various other parties, the large majority of GPB Capital investors who have decided to take action, have determined that a customer dispute (a private arbitration) through the Financial Regulatory Authority (FINRA) Office of Dispute Resolution is the quickest, most efficient, and most direct opportunity. These claims are filed against the financial advisor and firms that originally recommended the investment in GPB, or otherwise provided ongoing investment advice related to GPB investments.

The FINRA dispute resolution process is a private, confidential, non-public process involving document exchanges (no depositions). For most investors, they opt to retain experienced investment fraud lawyers to assist them through the FINRA dispute process.

Issues in these claims sometimes involve detailed legal and regulatory issues including negligent due diligence or other negligence related to the sales practices or inadequate supervision issues where broker-dealer firms failed their investor customer when it comes to approving, selling, supervising transactions and investments in GPB Capital funds.

Taking the Next Step

In addition, in some cases, there are detailed factual issues involved, including whether or not the financial advisors recommending GPB Capital funds made proper and adequate risk disclosures relating to these investments, financial advisors often gloss over the details in presenting these investments to customers, leaving investors unaware of the risks they are actually taking on with these investments, as well as a lack of clarity or any understanding of where these individual investments might fit in with an overall investment strategy and how it could potentially impact the portfolio. Broker-dealers in some cases ignored their obligations and the laws, rules, regulations that apply, because the selling agreements, dealer agreements, commission structures, and other financial arrangements internally related to selling these investments were extremely lucrative for the broker-dealer firm and financial advisors motivated to make such recommendations to investors not based upon what was in the investor's best interest, but rather based upon what was in their own financial best interest. Broker-dealer firms must adequately supervise the approval of the investment products, the sales by the

financial advisors who are recommending these investments to customers.

If your investment losses with GPB Capital investments are substantial, we are here to help. Experienced attorneys at Haselkorn & Thibaut, P.A. are available for a free consultation as a public service. Call today for more information at 1 888-628-5590 or visit our website and email us from there at www.investmentfraudlawyers.com

About Haselkorn & Thibaut, P.A.

[Haselkorn and Thibaut, P.A.](#) is a nationwide law firm specializing in handling investment fraud and securities arbitration cases. The law firm has offices in Palm Beach, Florida, on Park Avenue in New York, as well as Phoenix, Arizona, Houston, Texas, and Cary, North Carolina. The two founding partners have nearly 45 years of legal experience.

Haselkorn & Thibaut, P.A. has filed numerous (private arbitration) customer disputes with the Financial Industry Regulatory Association (FINRA) for customers who suffered investment losses relating to issues similar to those matters mentioned above. There are typically no depositions involved, and those cases are typically handled on contingency with no recovery, no fee terms.

The sole purpose of this release is to investigate the manner in which GPB Capital Holdings investments were approved for sale by broker-dealers to investor clients, including new product reviews, due diligence, as well as the sales practice and supervision related to these purported conservative strategies. If you have any knowledge or experience with these matters, please contact Haselkorn & Thibaut, P.A. at 1-888-628-5590

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