

Superintendencia del Mercado de Valores
Sanciones impuestas luego de negociarse Acuerdos de Terminación Anticipada (ATA)

No.	Número de Resolución	Fecha	Persona Sancionada	Sanción
1	SMV-53-2016	02-feb-16	Verdmont Capital, S.A.	9,000.00
2	SMV-54-2016	02-feb-16	Verdmont Capital, S.A.	5,000.00
3	SMV-274-2016	05-may-16	Independent Financial Consulting	22,000.00
4	SMV-292-2016	12-may-16	Clever Financial Investments Services, S.A.	30,000.00
5	SMV-391-2016	13-jun-16	Arena Advisors, S.A.	25,000.00
			Anthony Uribiades Castro	4,000.00
			Mauricio Martínez Nava	1,000.00
6	SMV-449-2016	15-jul-16	National Advisors Corporation	70,000.00
7	SMV-512-2016	09-ago-16	Aurora Asset Management, S.A.	4,000.00
8	SMV-613-2016	09-sep-16	Rafael A. Montaner Hill	2,000.00
	SMV-634-2016	12-sep-16	Kapital Investment Managers Inc.	8,000.00
9	SMV-597-2016	06-sep-16	Securities Banistmo, S.A.	40,000.00
10	SMV-669-2016	03-oct-16	National Advisors Corporation	7,000.00