

Expungement Requests in Industry-Initiated Arbitrations Issued 11/1/20-8/31/23

Sorted by Docket #

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Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respondents	Respondents' Attorneys	Claimants' Brokers	CRD Numbers	Claimants' Attorneys	Did Rs. Object	Com. Object	No. of Expungement Requests	Results of Expungement	Brokers Granted Expungement (in whole or in part)	Brokers Denied Expungement	Arbitrator Names	Hrg. Sess.
19-00339	Los Angeles, CA	01/29/2019	01/19/2021	02/25/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michelle L. Marquez	2963891	Aidikoff Uhl & Bakhtiari	NO	NO	1	G	Michelle L. Marquez	N/A	Joyce L. Hurley	1
19-01685	New York, NY	07/12/2019		11/20/2020	Westpark Capital Incorporated	ISC	Harry S. Datys	U	Weltz Law	NN	NO	13	D	N/A	Harry S. Datys	Sandra J. Mullings, Esq.	0
19-01686	Boston, MA	06/17/2019	09/22/2021	12/03/2021	Cuna Brokerage Services Incorporated	Drinker Biddle & Reath	Swan Sihua Shen	U	Bartell Law PLLC	NO	NO	1	D	N/A	Swan Sihua Shen	Arthur J. Giacomarra, Esq. - Chair; Richard J. Grahn, Esq.; Mark Andrew Helman	1
19-02034	Boston, MA	07/24/2019	04/05/2022	04/26/2022	NyLife Securities LLC; New York Life Insurance and Annuity Corporation ; New York Life Insurance Company	Holland & Knight	Michael Paul Randolph Arnheiter	1684172	O'Connor Carnathan & Mack	NO	NO	1	G	Michael Paul Randolph Arnheiter	N/A	Robert J. Ambrogio, Esq. - Chair; Joseph Edward Riley; Sharon L. Monroe	1
19-02287	Cleveland, OH	08/14/2019	10/15/2020	11/09/2020	Cetera Advisors LLC	ISC	Jess W. Hurst II.	1742952	Reminger Co. LPA	NO	NO	1	G	Jess W. Hurst II.	N/A	Michael S. Matek, Esq.	1

19-02407	New York, NY	08/21/2019	06/03/2021	06/09/2021	UBS Financial Services Incorporated; CIBC World Markets Corporation	ISC	Jeffrey Schneider	2089051	Judex Law LLC	NO	NO	3	G	Jeffrey Schneider	N/A	Clive I. Morricks	1
19-02481	Boston, MA	08/22/2019	11/19/2020	01/22/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Salvatore Mansuetano	4216474	Bartell Law PLLC	NO	NO	1	G	Salvatore Mansueto	N/A	Gene M. Bauer, Esq. - Chair; Jeffrey P. Petrucelly, Esq.; Tristan Nicholas Ostronic	1
19-02729	New York, NY	09/10/2019	04/30/2021	05/06/2021	Axiom Capital Management Incorporated; CIBC World Markets Corporation	ISC	Jeffrey Schneider	2089051	Judex Law LLC	NO	NO	3	G	Jeffrey Schneider	N/A	Anna Lascar	1
19-02864	Boca Raton, FL	09/23/2019	12/11/2020	02/04/2021	Morgan Stanley; Cantella & Company Incorporated; Laidlaw & Company (UK) Limited; GunnAllen Financial Incorporated	ISC (MSSB, Cantella & L&CUK); No-show (GAF)	Philip E. Rosensweig	1125274	Sallah Astarita & Cox LLC	NO/NN	NO	11	G/W	Philip E. Rosensweig	N/A	Will Murphy, Esq.	2
19-03035	New York, NY	10/08/2019	05/02/2022	12/27/2022	Fidelity Brokerage Services LLC; Fidelity Personal and Workplace Advisors	Morgan Lewis & Bockius (FBS); No-show (FP&W)	Ryan Sanghak Lee	4169548	Landsman Saldinger Carroll PLLC	NO	OB	1	G	Ryan Sanghak Lee	N/A	Jay Alan Kranis - Chair; Howard W. Hirschhorn; William Travis	19

19-03104	Orlando, FL	10/16/2019	09/10/2021	09/29/2021	Calton & Associates Incorporated; Newport Coast Securities Incorporated; JP Turner & Company LLC	ISC (C&A & NCS); Winget Spadafora & Schwartzberg LLP (JPT&C)	Paul William Murphy	5132291	Freeman Mathis & Gray	NO/NN	NO	3	G	Paul William Murphy	N/A	Gayle B. Carlson, Esq.	1
19-03165	Chicago, IL	10/22/2019	11/05/2020	11/09/2020	Pershing LLC; Credit Suisse Securities (USA) LLC	No-show (Pershing); ISC (CSS)	Christopher Jerome Prassas	2271394	AdvisorLaw LLC	NO	NO	2	G/D	Christopher Jerome Prassas	N/A	Susan L. Walker, Esq.	1
19-03231	Richmond, VA	10/28/2019	10/06/2020	11/09/2020	Davenport & Company LLC	ISC	Alfred LaFayette Stratford III.	2306577	Holcomb + Ward LLP	NO	NO	2	G	Alfred LaFayette Stratford III.	N/A	Richard James Igou	1
19-03523	Charlotte, NC	11/27/2019	09/23/2020	11/02/2020	Wells Fargo Clearing Services LLC	ISC (WF); Bressler Amery & Ross (BoAIS); No-show (LMWW); Ulmer & Berne (KC)	Joseph Patrick Roop	U	AdvisorLaw LLC	UN	OB/NO	6	D/W	N/A	Joseph Patrick Roop	Richard H. Potter, PhD	2
19-03579	Hartford, CT	12/04/2019	01/19/2021	02/09/2021	LPL Financial LLC	Baritz & Colman	Kevin C. Fretz	U	Herskovits PLLC	OB/NO	OB/NO	4	D	N/A	Kevin C. Fretz	Robert B. Titus	1
19-03630	Los Angeles, CA	12/10/2019	11/10/2020	11/17/2020	Purshe Kaplan Sterling Investments Incorporated; UBS Financial Services Incorporated	ISC (PKS); Keesal Young & Logan (UBS)	Isidro Z. Miramontes	2670160	Law Offices of David Harrison PC	NO	NO	1	G	Isidro Z. Miramontes	N/A	George L. Tindall	1
19-03632	Los Angeles, CA	12/10/2019	10/27/2020	11/17/2020	Morgan Stanley & Company LLC	Keesal Young & Logan	Isidro Z. Miramontes	2670160	Law Offices of David Harrison PC	NO	NO	1	G	Isidro Z. Miramontes	N/A	Elliott David Finkel, Esq.	1
19-03651	Los Angeles, CA	12/11/2019	12/08/2020	12/17/2020	Morgan Stanley & Company LLC	Keesal Young & Logan	Isidro Z. Miramontes	2670160	Law Offices of David Harrison PC	NO	NO	1	G	Isidro Z. Miramontes	N/A	Robert E. Jenks	1

19-03652	Los Angeles, CA	12/11/2019	03/23/2021	04/13/2021	UBS Financial Services Incorporated	Keesal Young & Logan	Isidro Z. Miramontes	2670160	Law Offices of David Harrison PC	NO	NO	1	G	Isidro Z. Miramontes	N/A	Robert Rosen	1
19-03660	Los Angeles, CA	12/11/2019	11/02/2020	11/13/2020	Morgan Stanley & Company LLC	Keesal Young & Logan	Isidro Z. Miramontes	2670160	Law Offices of David Harrison PC	NO	NO	1	G	Isidro Z. Miramontes	N/A	Joyce L. Hurley	1
19-03667	New York, NY	12/11/2019	12/09/2020	01/15/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Richard Harrison Streisfeld	1956050	Law Offices of Amy Bard	NO	NO	2	G	Richard Harrison Streisfeld	N/A	James M. Rhodes	1
19-03707	San Francisco, CA	12/16/2019	09/21/2020	11/12/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Stan Borgquist Leavitt	2571093	HLBS Law	NO	NO	2	G	Stan Borgquist Leavitt	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
19-03752	New York, NY	12/19/2019	10/14/2020	11/09/2020	Wells Fargo Clearing Service LLC	ISC	Donald W. Robbins	2501390	Herrick Feinstein LLP	NO/NN	NO	2	G	Donald W. Robbins	N/A	Cheryl H. Agris, PhD - Chair; Sandra J. Mullings, Esq.; Thomas E. Duggan, Esq.	2
19-03818	Jersey City, NJ	12/26/2019	02/01/2021	02/03/2021	Oppenheimer & Company Incorporated	ISC	Daniel Lawrence Katz	4830089	Bressler Amery & Ross	NO	NO	1	G	Daniel Lawrence Katz	N/A	Michael H. DuBoff, Esq. - Chair; Robert E. Anderson, Esq.; Richard Morse	1
19-03841	Tampa, FL	12/30/2019	12/04/2020	12/08/2020	Prudential Securities Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated; Wachovia Securities LLC; Morgan Stanley	Paduano & Weintraub (PEG); Bressler Amery & Ross (WFA); ISC (WS & MSSB)	Alex Muscati III	U	Kalberer LLP	NO	NO	7	D/W	N/A	Alex Muscati III	Mimi B. Osiason	1
20-00010	San Francisco, CA	12/30/2019	09/22/2020	11/06/2020	Client One Securities LLC	Quarles & Brady	Roberto Antonio Trejo	6050826	FA Expungement	NN	NO	1	G	Roberto Antonio Trejo	N/A	Thomas D. Reese, Esq.	1

20-00026	New York, NY	12/24/2019	09/22/2020	11/24/2020	JP Turner & Company; vFinance Investments Incorporated	ISC	Joseph Biondolillo	3082625	Holcomb + Ward LLP	NO	NO	2	G/D	Joseph Biondolillo	N/A	David I. Goldblatt, Esq.	1
20-00057	Charlotte, NC	01/06/2020	10/22/2020	11/11/2020	Wells Fargo Clearing Services LLC	ISC	Michael Francis Wiercinski	5442335	AdvisorLaw LLC	NO	NO	1	G	Michael Francis Wiercinski	N/A	James C. Hoover, Esq.	1
20-00067	Phoenix, AZ	01/07/2020	11/16/2021	11/29/2021	LPL Financial LLC; Next Financial Group Incorporated	ISC	Gary Jesse Deardorff	1216674	Judex Law LLC	NO	NO	2	G	Gary Jesse Deardorff	N/A	W. Michael Kelley, Esq.	1
20-00145	New York, NY	01/15/2020	11/12/2020	11/18/2020	Citigroup Global Markets Incorporated; Morgan Stanley	Kauff Laton Miller LLP (CGM); ISC (MSSB)	Warren Howard Rivetz	715624	Law Offices of Amy Bard	OB/NO	NO	4	G	Warren Howard Rivetz	N/A	Eugene G.P. Byrne, Esq.	3
20-00153	Tampa, FL	01/16/2020	11/13/2020	11/20/2020	Aragon Financial Services Incorporated; Veritrust Financial LLC	No-show	Steven Lloyd Holland	U	HLBS Law	UN	NO	5	D	N/A	Steven Lloyd Holland	Darryl C. Wilson, Esq.	1
20-00381	Chicago, IL	02/03/2020	12/01/2020	12/10/2020	Ameriprise Financial Services Incorporated; Ameriprise Advisor Services Incorporated; Olde Discount Corporation	ISC	Steven C. Lopez	2943012	Eccleston Law LLC	NO	NO	1	G	Steven C. Lopez	N/A	Kenneth N. Adamson, Esq. - Chair; Raymond P. Buschmann, Esq.; Frank Samuelsohn	1
20-00417	Houston, TX	02/05/2020	11/01/2021	11/04/2021	CIBC World Markets Corporation	ISC	Jeffrey Schneider	2089051	Judex Law LLC	NO	NO	2	G	Jeffrey Schneider	N/A	Allan R. Lazor, Esq.	1
20-00436	Newark, NJ	02/05/2020	10/19/2020	12/08/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Sylvester Knox	1625705	AdvisorLaw LLC	NO	NO	6	G/D	Sylvester Knox	N/A	Robert E. Anderson, Esq.	1

20-00437	Houston, TX	02/06/2020	01/12/2021	01/25/2021	Cambridge Investment Research Incorporated	ISC	Kyle Andrew Sadler	3239144	None	NO	NO	1	G	Kyle Andrew Sadler	N/A	G. Dennis Sheehan - Chair; Danielle L. Hargrove, Esq.; Oren L. Connaway, JD	1
20-00438	Dallas, TX	02/06/2020	11/06/2020	11/10/2020	UBS Financial Services Incorporated	Keasal Young & Logan	Walter M. Stucker	2197844	AdvisorLaw LLC	NO	NO	2	G	Walter M. Stucker	N/A	Frances Johnson-Wright, Esq.	1
20-00448	Orlando, FL	02/07/2020	10/27/2020	11/17/2020	High Mark Securities Incorporated	No-show	Frankie Ricardo Brin	2555473	HLBS Law	NO	NO	1	G	Frankie Ricardo Brin	N/A	John P. Cullem, Esq.	1
20-00453	New York, NY	02/06/2020	01/24/2022	02/08/2022	Portfolio Advisors Alliance LLC	ISC	William Bridges	5941527	Sichenzia Ross Ference LLP	NO	NO	2	G	William Bridges	N/A	Howard L. Sobel	1
20-00463	Newark, NJ	01/31/2020	11/23/2020	12/03/2020	UBS Financial Services Incorporated	Bressler Amery & Ross	Andrew Ross Bodner	1765438	AdvisorLaw LLC	OB/NO	NO	3	G	Andrew Ross Bodner	N/A	Linda J. Baer, Esq.	1
20-00491	Detroit, MI	02/12/2020	10/28/2020	02/24/2021	Wells Fargo Advisors Financial Network LLC	ISC	Gerard Thaddeus Taylor	1748899	HLBS Law	NO/NN	NO	2	G	Gerard Thaddeus Taylor	N/A	Patrick R. Sughroue, Esq.	2
20-00493	Detroit, MI	02/12/2020	11/02/2020	02/23/2021	Summit Brokerage Services Incorporated	Winget Spadafora & Schwartzberg LLP	Gerard Thaddeus Taylor	1748899	HLBS Law	NO	NO	3	G	Gerard Thaddeus Taylor	N/A	Tracy L. Allen, Esq.	2
20-00499	Chicago, IL	02/12/2020	10/14/2020	11/02/2020	Chase Investment Services Corporation	Ulmer & Berne	Barry Alan Krumwiede	2081518	AdvisorLaw LLC	OB/NO	E	3	G	Barry Alan Krumwiede	N/A	Susanne J. Hollander, Esq.	1
20-00501	New York, NY	02/12/2020	02/24/2021	03/01/2021	Laidlaw & Company (UK) Limited	ISC	Todd Anthony Cirella	2396336	Sichenzia Ross Ference LLP	NO	NO	9	G/W	Todd Anthony Cirella	N/A	John F. Duane, Esq.	1
20-00504	New York, NY	02/12/2020	11/18/2020	12/22/2020	Laidlaw & Company (UK) Limited	ISC	Matthew D. Eitner.	3267261	Sichenzia Ross Ference LLP	NO	NO	2	G	Matthew D. Eitner.	N/A	Harvey Barrison, Esq.	1
20-00510	New York, NY	02/12/2020	03/01/2021	03/08/2021	JP Morgan Securities LLC	Satterlee Stephens LLP	Jorge G. Silva	2493270	Brad S. Maistrow PC	NO	NO	1	G	Jorge G. Silva	N/A	Patricia Kathleen Costello	1
20-00524	Los Angeles, CA	02/13/2020	07/26/2021	08/19/2021	UBS Financial Services Incorporated	ISC	Curtis John Parry	2896603	HLBS Law	NO	NO	1	G	Curtis John Parry	N/A	Constance Ellen Boukidis	1

20-00525	Denver, CO	02/14/2020	09/24/2020	11/13/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Norman A. Lautrup	1685730	HLBS Law	NO	NO	1	G	Norman A. Lautrup	N/A	Michael Jeffrey Norton, Esq.	1
20-00612	Washington, DC	02/20/2020	11/02/2020	11/06/2020	Morgan Stanley	ISC	Adam Thomas Rorrer	2823828	AdvisorLaw LLC	NO	NO	1	G	Adam Thomas Rorrer	N/A	Patricia Horan Latham, Esq.	1
20-00649	Salt Lake City, UT	02/25/2020	11/05/2020	11/10/2020	Independent Financial Group LLC	ISC	Robert Eran Shelton	4902355	AdvisorLaw LLC	NO	NO	1	D	N/A	Robert Eran Shelton	Howard R. Gaines, Esq.	1
20-00663	New Orleans, LA	02/26/2020	11/24/2020	11/27/2020	Voya Financial Partners LLC; Voya Financial Advisors Incorporated	Wngt Spadafora Schwartzberg LLP	Daniel George Misse	2603981	AdvisorLaw LLC	NO	NO	1	G	Daniel George Misse	N/A	Sherry R. Wetsch, Esq.	1
20-00701	Washington, DC	03/02/2020	01/19/2021	02/10/2021	Legg Mason Wood Walker Incorporated	No-show	Sheila Spainhour Shaffer	1230244	AdvisorLaw LLC	NO	NO	1	G	Sheila Spainhour Shaffer	N/A	Kelli J. Jareaux, Esq.	1
20-00715	Philadelphia, PA	03/03/2020	10/26/2021	12/17/2021	Kestra Investment Services LLC	D'Amura & Zaidman	Christopher Paul Scalese	U	AdvisorLaw LLC	NO/NN	NO	8	D	N/A	Christopher Paul Scalese	Louis H. Miron, Esq.	2
20-00718	San Francisco, CA	03/03/2020	10/22/2020	11/10/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michael Grant Matthews	2595676	HLBS Law	NO	NO	1	G	Michael Grant Matthews	N/A	Philip Aaron Tymon, JD	1
20-00726	Detroit, MI	03/04/2020	11/23/2020	11/25/2020	Citizens Securities Incorporated	Adler Pollock & Sheehan	Russell William Strickler	5080295	HLBS Law	NO	NO	1	G	Russell William Strickler	N/A	Patrick R. Sughroue, Esq.	1
20-00735	Boca Raton, FL	03/04/2020	12/15/2020	12/21/2020	M Holdings Securities Incorporated	Markun Zusman et al.	Daniel Ryan Shannon	4546937	Ulmer & Berne	NO	NO	1	G	Daniel Ryan Shannon	N/A	Edward R. Niederriter, Esq.	1
20-00741	Houston, TX	03/05/2020	11/05/2020	11/16/2020	WS Griffith Securities Incorporated	No-show	Dennis R. Greensage	1066149	AdvisorLaw LLC	NN	NO	1	G	Dennis R. Greensage	N/A	Lynne M. Gomez, Esq.	1
20-00749	Phoenix, AZ	03/04/2020	11/18/2020	12/29/2020	Wells Fargo Clearing Services LLC	K&L Gates LLP	Deeann Jo Griebel	1210222	Tiffany & Bosco	NO	NO	7	G	Deeann Jo Griebel	N/A	Elliott David Finkel, Esq. - Chair; Kenneth L. Mann; Kenneth R. Johnston	2

20-00767	Buffalo, NY	03/06/2020	02/18/2021	03/15/2021	UBS Financial Services Incorporated	ISC	Matthew Joseph Sotland	5395259	AdvisorLaw LLC	NO	NO	1	G	Matthew Joseph Sotland	N/A	Kevin R. Zehe	1
20-00776	St. Louis, MO	03/09/2020	11/18/2020	12/03/2020	First Heartland Capital Incorporated; Transamerica Financial Advisors Incorporated	ISC	Christopher John Jacob.	1501352	FA Expungement	NN	NO	1	G	Christopher John Jacob.	N/A	Robert J. Gryzmala, Esq.	1
20-00778	St. Louis, MO	03/09/2020	10/14/2020	03/02/2021	Transamerica Financial Advisors Incorporated; Madison Avenue Securities LLC	ISC (TFA); Winget Spadafora & Schwartzberg LLP (MAS)	Christopher John Jacob	1501352	FA Expungement	NO	NO	1	G	Christopher John Jacob	N/A	Robert J. Gryzmala, Esq.	2
20-00807	Philadelphia, PA	03/10/2020	02/03/2021	03/16/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Edward L. Caruth	5556104	AdvisorLaw LLC	NO	NO	2	G	Edward L. Caruth	N/A	John J. Jordan, Esq.	1
20-00811	Portland, OR	03/10/2020	10/02/2020	11/09/2020	Veravest Investments Incorporated; Voya Financial Advisors incorporated	ISC (VI); Winget Spadafora & Schwartzberg (VFA)	Frank Bain; Mark Bain	1803427; 3139332	Wolper Law Firm PA	NO	NO	6	G	Frank Bain; Mark Bain	N/A	David William Hickman, JD	1
20-00820	Los Angeles, CA	03/12/2020	10/27/2020	11/06/2020	Pacific Cornerstone Capital Incorporated	No-show	Edward Eric Fernandez	2956661	HLBS Law	NO	NO	1	G	Edward Eric Fernandez	N/A	Robert D. Sussin, Esq.	1
20-00828	New York, NY	03/12/2020	11/17/2020	12/23/2020	Joseph Gunnar & Company LLC	ISC	James V. Lombardo II	2423097	Judex Law LLC	NO	NO	3	G	James V. Lombardo II	N/A	Joan M. Traub, Esq.	1

20-00830	New York, NY	03/12/2020	11/03/2020	11/06/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Manuel Jeremy Rose	5702678	FA Expungement	NO	NO	1	G	Manuel Jeremy Rose	N/A	David I. Goldblatt, Esq.	1
20-00837	Columbus, OH	03/13/2020	10/08/2020	12/22/2020	Woodbury Financial Services Incorporated	ISC	Geoffrey Scott McCash	2692833	Markun Zusman et al.	NO	NO	1	G	Geoffrey Scott McCash	N/A	Michael L. Lyons, Esq.	1
20-00846	Washington, DC	03/06/2020	09/28/2020	12/02/2020	Ameriprise Financial Services LLC	ISC	Sharon Sue Meyer	2374238	AdvisorLaw LLC	NO	NO	2	G	Sharon Sue Meyer	N/A	Kelli J. Jareaux, Esq.	2
20-00858	San Juan, PR	03/13/2020	11/23/2020	03/15/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	William John Serralles	2121621	McConnell Valdes LLC	NO	NO	11	G	William John Serralles	N/A	Seth L. Finkel, Esq.	1
20-00868	Minneapolis, MN	03/16/2020	11/04/2020	11/06/2020	AIG Capital Services Incorporated; Morgan Stanley DW Incorporated	Shook Hardy & Bacon (AIGCS); ISC (MSDW)	Steven Thomas Ferretti	4195546	FA Expungement	NO	NO	1	G	Steven Thomas Ferretti	N/A	Steven M. Bialick	1
20-00887	Houston, TX	03/17/2020	11/09/2020	11/16/2020	Ameriprise Financial Services Incorporated	ISC	Charles Travis Saacke	2610051	AdvisorLaw LLC	NO/NN	NO	2	G	Charles Travis Saacke	N/A	Lynne M. Gomez, Esq.	1
20-00892	Los Angeles, CA	03/17/2020	12/06/2022	12/14/2022	Brookstreet Securities Corporation	No-show	Travis Allen	2708820	HLBS Law	UN	NO	1	D	N/A	Travis Allen	Joyce L. Hurley	1
20-00900	Houston, TX	03/18/2020	11/19/2020	12/14/2020	IFG Network Securities Incorporated	ISC	James Allen Neuenschwander.	1507901	AdvisorLaw LLC	NO/NN	NO	1	G	James Allen Neuenschwander.	N/A	Thomas A. Martin, Esq.	1
20-00904	New York, NY	03/18/2020	10/02/2020	11/11/2020	Omni Brokerage Incorporated	No-show	William Scott Sheehan	2328614	AdvisorLaw LLC	NO	NO	2	G	William Scott Sheehan	N/A	Lynne M. Reid-McQueen, Esq.	1
20-00925	Buffalo, NY	03/20/2020	12/01/2020	12/22/2020	AXA Advisors LLC	ISC	Gregg E. Martinson	1390201	AdvisorLaw LLC	NO/NN	NO	4	G	Gregg E. Martinsen	N/A	Tracy L. Allen, Esq.	1

20-00929	Philadelphia, PA	03/20/2020	11/02/2020	12/10/2020	PFS Investments Incorporated	ISC	Richard Thomas Towey Sr.	1175708	AdvisorLaw LLC	NO	NO	5	G	Richard Thomas Towey Sr.	N/A	Diane Ciccone, Esq.	1
20-00935	New York, NY	03/21/2020	10/30/2020	11/20/2020	Aegis Capital Corporation	ISC	Elliot Hough Sherer	2719671	Weltz Kakos et al.	NO/NN	NO	4	G	Elliot Hough Sherer	N/A	Steven C. Kasarda	1
20-00939	Kansas City, MO	03/23/2020	02/09/2021	02/18/2021	Piper Jaffray Incorporated	ISC	James Richard Azeltine	1728514	Judex Law LLC	NO	NO	1	G	James Richard Azeltine	N/A	John R. Loss, Esq.	1
20-00942	Kansas City, MO	03/23/2020	11/12/2020	11/17/2020	Oppenheimer & Company Incorporated; Wells Fargo Clearing Services LLC	ISC	Gregory Robert Schaff	1546820	FA Expungement	NO	NO	3	G	Gregory Robert Schaff	N/A	John R. Loss, Esq.	1
20-00943	New York, NY	03/21/2020	10/23/2020	12/02/2020	Aegis Capital Corporation	ISC	Elliot Hough Sherer	2719671	Weltz Kakos et al.	NO	NO	3	G	Elliot Hough Sherer	N/A	A. Rene Hollyer, Sr.	1
20-00945	New York, NY	03/23/2020	12/15/2020	01/15/2021	John Thomas Financial	No-show	Wade Theodore Papapanagiotu	2933979	FA Expungement	NO	NO	1	G	Wade Theodore Papapanagiotu	N/A	Brian John Gallagher	1
20-00947	New York, NY	03/23/2020	12/01/2020	12/08/2020	National Securities Corporation	ISC	Daniel John Fred	2757868	FA Expungement	NO	NO	1	G	Daniel John Fred	N/A	Howard L. Sobel	1
20-00949	New York, NY	03/23/2020	12/08/2020	12/23/2020	Solid ISG Capital Markets LLC; Westrock Advisors Incorporated	No-show	Anil Ishwar Jethmal	1834687	Judex Law LLC	NO	NO	2	G/D	Anil Ishwar Jethmal	N/A	Steven Gary Leventhal	1
20-00950	Houston, TX	03/24/2020	10/12/2020	11/24/2020	IMS Securities Incorporated	No-show	Christopher David Gammon	2354523	Freeman Mathis & Gray	NO/NN	NO	3	G	Christopher David Gammon	N/A	Sherry R. Wetsch, Esq.	2
20-00957	New York, NY	03/23/2020	10/29/2020	12/04/2020	AXA Advisors LLC	ISC	Maurice James Acriche	1327992	AdvisorLaw LLC	OB	NO	1	G	Maurice James Acriche	N/A	Selma Moy, JD	1
20-00964	Baltimore, MD	03/24/2020	11/10/2020	11/20/2020	JP Turner & Company LLC	ISC	Vladimir Michael Greben	2547477	AdvisorLaw LLC	OB	NO	1	G	Vladimir Michael Greben	N/A	David L. Ruderman, Esq.	1

20-00975	Minneapolis, MN	03/25/2020	11/25/2020	11/29/2020	Royal Alliance Associates Incorporated	ISC	Debra Marie Kuper	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Debra Marie Kuper	Susan L. Walker, Esq.	1
20-00976	Pittsburgh, PA	03/25/2020	11/13/2020	11/17/2020	Ameriprise Financial Services LLC	ISC	Matthew David Orman	2421338	AdvisorLaw LLC	NN	NO	1	G	Matthew David Orman	N/A	Mark Alexander Sipper	1
20-00980	Houston, TX	03/26/2020	03/23/2021	03/31/2021	Edward Jones	ISC	Wendy Buchanan	1855162	AdvisorLaw LLC	NO/NN	NO	4	G	Wendy Buchanan	N/A	Lynne M. Gomez, Esq.	1
20-00990	Seattle, WA	03/26/2020	03/01/2021	03/25/2021	AXA Advisors LLC	ISC	Charles Winthrop Stanton	2569349	AdvisorLaw LLC	NO	NO	3	G	Charles Winthrop Stanton	N/A	Robert M. Stein, Esq.	1
20-00995	Syracuse, NY	03/26/2020	12/04/2020	12/10/2020	Pruco Securities LLC	Paduano & Weintraub	Matthew Michael Dauksza	4199324	AdvisorLaw LLC	NO	OB	4	G	Matthew Michael Dauksza	N/A	John James McGovern, Jr., Esq.	1
20-01005	Kansas City, MO	03/27/2020	11/05/2020	11/09/2020	Cambridge Investment Research Incorporated	ISC	Brad C. Lawing	U	AdvisorLaw LLC	OB/NO NN	NO	10	D	N/A	Brad C. Lawing	C. Sumpter Logan	1
20-01015	Wilmington, DE	03/27/2020	11/30/2020	12/17/2020	FSC Securities Corporation ; Geneos Wealth Management Incorporated	ISC (FSCS); Kutak Rock LLP (GWM)	Richard Mark Braverman	1023227	AdvisorLaw LLC	OB/NO	NO	5	G	Richard Mark Braverman	N/A	Robert E. Anderson, Esq.	1
20-01016	Detroit, MI	03/30/2020	11/02/2020	02/02/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	John William Boukamp III	1444222	Saretsky Hart et al.	NO	NO	1	G	John William Boukamp III	N/A	Carl E. Ver Beek, JD	2
20-01021	Seattle, WA	03/30/2020	01/12/2021	02/02/2021	LPL Financial LLC	ISC	Kirk Mitchell Balin	4590715	Kalberer LLP	NO	NO	2	G	Kirk Mitchell Balin	N/A	Katherine Hendricks, Esq.	1
20-01030	Detroit, MI	03/30/2020	12/01/2020	12/21/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	John William Boukamp III	U	Saretsky Hart et al.	UN	NO	1	D	N/A	John William Boukamp III	Gerald W. Hepp	1
20-01031	Detroit, MI	03/30/2020	10/29/2020	11/02/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	John William Boukamp III	U	Saretsky Hart et al.	NO	NO	1	D	N/A	John William Boukamp III	Jeffrey Mark Bauer, Esq.	1

20-01033	Detroit, MI	03/30/2020	10/26/2020	11/13/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	John William Boukamp III	U	Saretsky Hart et al.	OB/NO	NO	1	D	N/A	John William Boukamp III	Terrance J. Dorcy	2
20-01034	Wilmington, DE	03/27/2020	12/04/2020	12/09/2020	FSC Securities Corporation ; Geneos Wealth Management Incorporated	ISC (FSCS); Kutak Rock (GWM)	Samuel Robert Monchik	4113886	AdvisorLaw LLC	OB/NO	NO	2	G/D	Samuel Robert Monchik	N/A	Guillermo L. Bosch, Esq.	1
20-01044	Philadelphia, PA	03/30/2020	03/24/2021	04/16/2021	Legg Mason Wood Walker Incorporated	No-show	George Dewey Eggers	1228371	AdvisorLaw LLC	OB/NO NN	NO	3	G	George Dewey Eggers	N/A	Thomas Benjamin Salzer, Esq.	1
20-01045	Philadelphia, PA	03/30/2020	04/29/2021	05/05/2021	First Colonial Securities	No-show	George Dewey Eggers	1228371	AdvisorLaw LLC	NO	NO	1	G	George Dewey Eggers	N/A	Louis P. Wagman	1
20-01047	Los Angeles, CA	03/30/2020	01/07/2021	01/25/2021	FSC Securities Corporation	Freeman Mathis & Gray	Ralph Gerard Adamo	1624126	HLBS Law	NN	NO	1	G	Ralph Gerard Adamo	N/A	Michael M. Hachigian, Esq.	1
20-01052	New York, NY	03/31/2020	10/16/2020	11/12/2020	Aegis Capital Corporation	ISC	Elliot Hough Sherer	2719671	Weltz Kakos et al.	OB	NO	1	G	Elliot Hough Sherer	N/A	Anna M. Fanelli, Esq.	1
20-01058	Orlando, FL	04/01/2020	11/12/2020	11/22/2020	Summit Brokerage Services Incorporated	Winget Spadafora & Schwartzberg LLP	Dean Robert Nowak	1091819	HLBS Law	NO	NO	1	G	Dean Robert Nowak	N/A	John P. Cullem, Esq.	1
20-01068	New York, NY	04/01/2020	11/05/2020	11/11/2020	NewBridge Securities Corporation	Kaufman Dolowich & Voluck LLP	Joseph Varvara	4988088	FA Expungement	NO	NO	1	G	Joseph Varvara	N/A	Donna Christina Chin	1
20-01069	Los Angeles, CA	04/01/2020	01/07/2021	01/21/2021	MML Investors Services LLC	Stevens & Lee	Brian Michael Brennan	5964207	Judex Law LLC	NO	NO	1	G	Brian Michael Brennan	N/A	Anita Rae Shapiro, Esq.	1
20-01078	New York, NY	04/01/2020	11/27/2020	12/04/2020	UBS Financial Services Incorporated	ISC	Paul Elias Colchamiro.	2039083	Weltz Kakos et al.	NN	NO	1	G	Paul Elias Colchamiro.	N/A	Karen Isabel Bedrosian-Richardson	1
20-01088	Chicago, IL	04/02/2020	12/01/2020	12/04/2020	Woodbury Financial Services Incorporated	ISC	Marc Gregory Minor.	U	AdvisorLaw LLC	OB	NO	1	D	N/A	Marc Gregory Minor.	Susan L. Walker, Esq.	1

20-01102	San Francisco, CA	04/14/2020	02/02/2021	02/10/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	James Patrick Kirwan	U	HLBS Law	OB	NO	1	D	N/A	James Patrick Kirwan	Mary Margaret Bush, Esq.	1
20-01105	Salt Lake City, UT	04/03/2020	10/20/2020	11/09/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Steven Craig Adams	2627265	AdvisorLaw LLC	NO	NO	1	G	Steven Craig Adams	N/A	Merton E. Marks, Esq.	1
20-01109	Salt Lake City, UT	04/06/2020	10/21/2020	11/04/2020	LPL Financial LLC	ISC	Steven Craig Adams.	2627265	AdvisorLaw LLC	NO	NO	1	G	Steven Craig Adams.	N/A	Donald Dreyfus	1
20-01128	New York, NY	04/06/2020	01/06/2021	01/29/2021	Gould Ambrosion & Associates Limited	ISC	Jay A. Ambrosion	2997245	AdvisorLaw LLC	NO	NO	8	G	Jay A. Ambrosion	N/A	Joseph I. Liebman, Esq.	1
20-01132	New York, NY	04/06/2020	12/21/2020	01/20/2021	JD Nicholas & Associates Incorporated	No-show	Nicholas George Tsikitas.	2871712	Weltz Kakos et al.	NO	NO	1	G	Nicholas George Tsikitas.	N/A	Richard Gee	1
20-01141	Milwaukee, WI	04/07/2020	12/10/2020	12/11/2020	Baker Tilly Capital LLC	Chapman & Cutler	Steven Nicholas Hooyman	2143662	AdvisorLaw LLC	NO	NO	1	G	Steven Nicholas Hooyman	N/A	Leon Fox, JD	1
20-01142	Nashville, TN	04/07/2020	04/15/2021	04/28/2021	Morgan Stanley DW Incorporated; UBS Financial Services Incorporated	ISC	William Keith Phillips	1447676	AdvisorLaw LLC	NO	NO	3	G/D	William Keith Phillips	N/A	Neil Harvey Smith	2
20-01151	Detroit, MI	04/09/2020	12/14/2020	12/16/2020	JP Morgan Securities LLC	Ulmer & Berne	Daniel Aaron Wohl	5133281	Saretsky Hart et al.	NO	NO	1	G	Daniel Aaron Wohl	N/A	Erane C. Washington-Kendrick	1
20-01153	Columbia, SC	04/08/2020	12/08/2020	12/17/2020	First Heartland Capital Incorporated; Proequities Incorporated	ISC	Ricky Mills Higgins	1726947	AdvisorLaw LLC	NO	NO	1	G	Ricky Mills Higgins	N/A	Richard S. Zaifert, Esq.	1
20-01157	Detroit, MI	04/09/2020	02/08/2021	02/22/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	John William Boukamp III	U	Saretsky Hart et al.	UN	NO	1	D	N/A	John William Boukamp III	Michele Renee Zinn	1
20-01160	Boca Raton, FL	04/08/2020	11/09/2020	12/01/2020	None	No-show	Altin Tirana	U	Greenberg Traurig LLP	NO	NO	1	D	N/A	Altin Tirana	Monica I. Salis, Esq.	1

20-01170	Los Angeles, CA	04/09/2020	11/16/2020	12/04/2020	UBS Financial Services Incorporated	ISC	Robert M. Tomlinson	4854160	HLBS Law	NO	NO	1	G	Robert M. Tomlinson	N/A	Robert E. Jenks	1
20-01171	Los Angeles, CA	04/09/2020	10/22/2020	11/04/2020	Wells Fargo Clearing Services LLC	ISC	Robert Michael Tomlinson	4854160	HLBS Law	NO	NO	1	G	Robert Michael Tomlinson	N/A	Robert D. Sussin, Esq.	1
20-01180	Boston, MA	04/10/2020	01/19/2021	01/27/2021	Commonwealth Financial Network	ISC	Nathaniel Jay Tilton.	4406581	Judex Law LLC	NO	NO	1	G	Nathaniel Jay Tilton.	N/A	Gerard S. Marsan, Esq.	1
20-01182	Charlotte, NC	04/10/2020	12/08/2020	12/10/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	David H. Pottenger III	703554	AdvisorLaw LLC	NO	NO	1	G	David H. Pottenger III	N/A	Jason Alexander Diamond	1
20-01186	Dallas, TX	04/13/2020	07/27/2021	08/30/2021	UBS Financial Services Incorporated	ISC	Douglas Scott Wall	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Douglas Scott Wall	Patricia Beaujean Lehtola, Esq.	1
20-01197	New York, NY	04/13/2020	11/06/2020	11/18/2020	Northwestern Mutual Investment Services	ISC	Michael Scott Schwartz	2968694	AdvisorLaw LLC	NO	NO	2	G	Michael Scott Schwartz	N/A	Josian Antoine, Esq.	1
20-01198	Atlanta, GA	04/14/2020	01/05/2021	01/20/2021	B Riley Wealth Management	ISC	Chesley Venable Morton Jr.	1372000	AdvisorLaw LLC	NO	OB	1	G	Chesley Venable Morton Jr.	N/A	Michael J. Ahlstrom, Esq.	1
20-01203	Washington, DC	04/14/2020	12/07/2020	12/15/2020	AXA Advisors LLC	ISC	Mark Steven Dolfis	1880723	AdvisorLaw LLC	NO	NO	1	G	Mark Steven Dolfis	N/A	Douglas Earl McLaren, Esq.	1
20-01217	San Juan, PR	04/15/2020	12/02/2020	12/11/2020	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Federico Lopez Juarbe	4685974	McConnell Valdes LLC	NO	NO	1	G	Federico Lopez Juarbe	N/A	Louis David Huss	1
20-01233	New York, NY	04/16/2020	12/08/2021	02/07/2022	American Capital Partners LLC	ISC	Joseph Jon Depasquale	4261826	Sichenzia Ross Ference LLP	OB	NO	1	G	Joseph Jon Depasquale	N/A	Michele S. Riley	1
20-01238	Baltimore, MD	04/16/2020	12/16/2020	12/22/2020	MML Investors Services LLC	Stevens & Lee	Robert John Langan	1449020	AdvisorLaw LLC	OB/NO NN	NO	3	G	Robert John Langan	N/A	David L. Ruderman, Esq.	1

20-01242	Philadelphia, PA	04/17/2020	11/06/2020	11/17/2020	LPL Financial LLC	ISC	Christopher David Tuck	5971765	AdvisorLaw LLC	OB	NO	2	G	Christopher David Tuck	N/A	Louis P. Wagman	1
20-01243	Philadelphia, PA	04/17/2020	12/04/2020	12/10/2020	LPL Financial LLC	ISC	Scott Jay Kleiman	208726	AdvisorLaw LLC	NO	NO	1	G	Scott Jay Kleiman	N/A	Diane Ciccone, Esq.	1
20-01254	Jacksonville, FL	04/20/2020	10/29/2020	11/05/2020	Edward Jones	ISC	Heikki Erik von Hellens	4751588	AdvisorLaw LLC	NO	NO	1	G	Heikki Erik von Hellens	N/A	John P. Cullem, Esq.	1
20-01263	Dallas, TX	06/04/2020	12/02/2020	10/04/2021	Emmett A Larkin Company Incorporated; Salomon Grey Financial Corporation; Pacific Cortez Securities Incorporated	No-show	Raymond Walter Robert Borota II	1950804	Farrar Law PLLC	NO	NO	3	G	Raymond Walter Robert Borota II	N/A	Eric Ross Cromartie	2
20-01265	New York, NY	04/20/2020	11/18/2020	12/01/2020	Cambridge Investment Research Incorporated	ISC	Dean Michael Giella	1420362	AdvisorLaw LLC	NO	NO	1	G	Dean Michael Giella	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-01273	Boca Raton, FL	04/21/2020	12/14/2020	12/18/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Philip Austin Jordan	1815830	Zadanosky & Associates PA	NO	NO	4	G	Philip Austin Jordan	N/A	Edward R. Niederriter, Esq.	1
20-01276	Dallas, TX	04/22/2020	12/02/2020	12/08/2020	FSC Securities Corporation	ISC	Jan Thomas Mohamed	821409	AdvisorLaw LLC	OB/NO	NO	2	G	Jan Thomas Mohamed	N/A	David A. Schuler	1
20-01278	Las Vegas, NV	04/21/2020	02/15/2021	03/05/2021	Wells Fargo Clearing Services LLC	ISC	Nora Virginia Castro	1190414	AdvisorLaw LLC	NO/NN	NO	1	G	Nora Virginia Castro	N/A	Erik R. Siering	1
20-01281	Hartford, CT	04/22/2020	01/31/2021	02/17/2022	Capital Financial Services Incorporated; Questar Capital Corporation	ISC (CFS); Johnson Cassidy et al. (QC)	William Paul Fauzio	2193834	Farrar Law PLLC	NO/NN	NO	5	G	William Paul Fauzio	N/A	Mark Stuart Gurevitz	1
20-01292	Boca Raton, FL	04/23/2020	02/11/2021	02/22/2021	MetLife Securities Incorporated	Harris & Affiliates Ltd.	Andrew Ryan Goldberg	3160832	D'Costa Law PC	NO NN	NO	3	G/D	Andrew Ryan Goldberg	N/A	Mark Allen Bilawsky	1

20-01296	New York, NY	04/23/2020	02/08/2021	02/09/2021	Pruco Securities LLC	Reyes Kurson Ltd.	Zachary Brody.	6108594	Law Office of Brian Kennedy	NO	NO	1	G	Zachary Brody.	N/A	Joan M. Traub, Esq.	1
20-01298	New York, NY	04/23/2020	12/21/2020	01/12/2021	Aegis Capital Corporation	ISC	Christopher Adam Knutson	U	Warren Law Group	NO	NO	1	D	N/A	Christopher Adam Knutson	Edward W. Morris, Jr., Esq.	1
20-01299	Chicago, IL	04/24/2020	11/13/2020	11/20/2020	Morgan Stanley Smith Barney LLC	ISC	Joseph Nicholas Silich; James Thomas Ziniel.	2244863; 3071833	Lewitas Hyman PC	NO	NO	2	G	Joseph Nicholas Silich; James Thomas Ziniel.	N/A	Larry Carlson, Esq.	1
20-01317	Jersey City, NJ	05/15/2020	12/15/2020	01/12/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Lori Reisman Sackler	1425397	Lawrence R. Gelber Attorney-at-Law	NO	NO	1	G	Lori Reisman Sackler	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-01324	Richmond, VA	04/27/2020	12/17/2020	02/08/2021	AXA Advisors LLC	ISC	Trevor Tye Roberts	4719301	AdvisorLaw LLC	NO	NO	1	G	Trevor Tye Roberts	N/A	William F. Etherington, Esq.	1
20-01328	Minneapolis, MN	04/28/2020	01/12/2021	01/13/2021	Thrivent Investment Management Incorporated	Bryan Cave et al.	Gary Arthur Tangwall.	1272316	AdvisorLaw LLC	NO	NO	1	G	Gary Arthur Tangwall.	N/A	Leonard Arthur Nelson, Esq.	1
20-01330	Minneapolis, MN	04/28/2020	01/13/2021	03/25/2021	Thrivent Investment Management Incorporated	Bryan Cave et al.	Gary Arthur Tangwall	1272316	AdvisorLaw LLC	NN	NO	1	G	Gary Arthur Tangwall	N/A	David Steven Paull	2
20-01336	Milwaukee, WI	04/28/2020	12/14/2020	12/18/2020	SII Investments Incorporated	Saretsky Hart et al.	Kassie Ann Soulek	U	FA Expungement	NO	NO	1	D	N/A	Kassie Ann Soulek	Lynn Hirschfeld Brahin, Esq.	1
20-01348	Dallas, TX	04/29/2020	12/14/2020	12/17/2020	LPL Financial LLC; Next Financial Group Incorporated; Woodbury Financial Services Incorporated	ISC	Andrew Scott Butler.	2951430	AdvisorLaw LLC	NO/NN	NO	2	G	Andrew Scott Butler.	N/A	Eric Ross Cromartie	1

20-01350	Dallas, TX	04/29/2020	01/07/2021	01/11/2021	Deutsche Bank Securities Incorporated	Paduano & Weintraub	Douglas Scott Wall	U	AdvisorLaw LLC	OB	NO	1	D	N/A	Douglas Scott Wall	Eric Ross Cromartie	1
20-01355	Wichita, KS	04/30/2020	11/04/2020	11/24/2020	LPL Financial LLC	ISC	Mike C. Spencer.	2194381	Ghabai Law Group LLC	NO	NO	2	G	Mike C. Spencer.	N/A	Charles G. Michaels, Esq.	1
20-01362	New York, NY	04/30/2020	12/16/2020	01/26/2021	Santander Securities LLC; LPL Financial LLC	Ghabai Law Group LLC (SS); ISC (LPL)	Safet Musovic	5499059	Sichenzia Ross Ference LLP	OB/NO	NO	2	G	Safet Musovic	N/A	Robert E. Anderson, Esq.	1
20-01370	Seattle, WA	04/30/2020	01/28/2021	03/18/2021	AXA Advisors LLC	ISC	Stephen Paul Webb	5739417	AdvisorLaw LLC	OB	NO	1	G	Stephen Paul Webb	N/A	Clydia Jean Cuykendall	1
20-01371	New Orleans, LA	04/30/2020	12/16/2020	12/31/2020	Edward Jones	ISC	Ian Eugene James	2602300	AdvisorLaw LLC	NO	NO	2	G	Ian Eugene James	N/A	C. Sumpter Logan	1
20-01372	Dallas, TX	05/01/2020	11/09/2020	11/16/2020	Wells Fargo Clearing Services LLC	ISC	James Dellard Stanford	2282401	AdvisorLaw LLC	NO	NO	1	G	James Dellard Stanford	N/A	Frances Johnson-Wright, Esq.	1
20-01374	New York, NY	05/01/2020	04/12/2021	04/15/2021	AXA Advisors LLC	ISC	Louis M. Rusinowitz	U	AdvisorLaw LLC	OB	NO	1	D	N/A	Louis M. Rusinowitz	Harvey Barrison, Esq.	1
20-01375	Atlanta, GA	05/01/2020	11/19/2020	11/23/2020	AXA Advisors LLC	ISC	Steven Meade Howell	2863985	Louviere Law Firm PA	NO	NO	1	G	Steven Meade Howell	N/A	Harvey R. Linder, Esq.	1
20-01376	Newark, NJ	05/01/2020	11/10/2020	11/24/2020	Ameriprise Financial Services LLC; UBS Financial Services Incorporated	ISC	Edmund Iannaccone	2069841	FA Expungement	NO	NO	3	G	Edmund Iannaccone	N/A	Martin R. Cramer	1
20-01381	Wilmington, DE	05/01/2020	10/27/2020	11/19/2020	H Beck Incorporated	ISC	Kristina Frenier Connell	5402280	AdvisorLaw LLC	NO	NO	1	G	Kristina Frenier Connell	N/A	Louis H. Miron, Esq.	1
20-01390	New York, NY	05/04/2020	04/19/2021	04/30/2021	Global Arena Capital Corporation ; SW Bach & Company	No-show	Aret Gugin	2731291	Farrar Law PLLC	NO/NN	NO	3	G	Aret Gugin	N/A	David John Reilly	1

20-01393	San Francisco, CA	05/04/2020	05/24/2021	06/22/2021	AXA Advisors LLC; Woodbury Financial Services Incorporated	Gordon Rees et al. (AXA); Freeman Mathis & Gray (WFS)	Anil Gulati	1137733	Offit Kurman LLP	NO	NO	2	G	Anil Gulati	N/A	Jonathan H. Krotinger, Esq.	1	
20-01406	Buffalo, NY	05/04/2020	12/02/2020	12/10/2020	Next Financial Group Incorporated	ISC	Michael Steven Lomas	U	Arbitration Evaluation Services LLC	NO	NO	4	D	N/A	Michael Steven Lomas	Jeffry Mark Bauer, Esq.	1	
20-01412	St. Louis, MO	05/05/2020	02/18/2021	02/23/2021	Rainmaker Securities LLC	ISC	Amy Boyet Besse	6275277	AdvisorLaw LLC	NO	NO	1	G	Amy Boyet Besse	N/A	Tracy L. Allen, Esq.	1	
20-01414	Denver, CO	05/05/2020	11/17/2020	12/04/2020	Cetera Advisors LLC	ISC	Michael Glen Nielson	4546896	HLBS Law	NO	NO	1	G	Michael Glen Nielson	N/A	Donald Neil Tolin	1	
20-01419	Dallas, TX	07/07/2020	02/05/2021	07/15/2021	Aegis Capital Corporation	ISC	Raymond Walter Robert Borota II	1950804	Farrar Law PLLC	NO	NO	2	G	Raymond Walter Robert Borota II	N/A	Mark L. Williams, Esq.	3	
20-01425	Seattle, WA	05/05/2020	02/17/2021	03/17/2021	AXA Advisors LLC	ISC	Adam Leland Bishop	6010791	AdvisorLaw LLC	NO	NO	1	G	Adam Leland Bishop	N/A	Jane Ann McKenzie	1	
20-01426	Jersey City, NJ	05/05/2020	01/06/2021	01/13/2021	NyLife Securities LLC	Lubarsky Law Firm PLLC	James Edward Dy.	2877282	AdvisorLaw LLC	NN	NO	1	G	James Edward Dy.	N/A	Robert E. Anderson, Esq.	1	
20-01435	Jersey City, NJ	05/06/2020	06/10/2021	07/22/2021	Oppenheimer & Company Incorporated	ISC	Christopher Ronald DiGregorio	2754779	D'Costa Law	NO	NO	2	G/D	Christopher Ronald DiGregorio	N/A	Catherine Stewart, Esq.	1	
20-01436	Los Angeles, CA	05/06/2020	11/18/2020	11/27/2020	Wells Fargo Investments LLC	ISC	Elliot Evans Ichinose	4516263	HLBS Law	NO	NN	NO	3	G	Elliot Evans Ichinose	N/A	George L. Tindall	1
20-01441	San Diego, CA	05/06/2020	11/03/2020	12/15/2020	Securities America Incorporated	ISC	J. Graydon Coghlan; Joshua Abraham Willard	2536565; 2281065	Freeman Mathis & Gray	NO	NO	2	G	J. Graydon Coghlan; Joshua Abraham Willard	N/A	Kevin K. Forrester, Esq.	1	
20-01448	Indianapolis, IN	05/07/2020	01/07/2021	01/19/2021	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	James Robert Holt Jr.	1038929	AdvisorLaw LLC	NO	NN	NO	5	G/W	James Robert Holt Jr.	N/A	Lynn Hirschfeld Brahin, Esq.	1
20-01449	Columbia, SC	05/06/2020	11/10/2020	11/20/2020	Morgan Keegan & Company LLC	ISC	Edwin Gabriel Waingart.	4492052	AdvisorLaw LLC	OB	NO	NO	1	G	Edwin Gabriel Waingart.	N/A	John P. Cullem, Esq.	1

20-01450	Boca Raton, FL	05/06/2020	05/27/2021	06/04/2021	UBS International Incorporated	ISC	Leticia Laura Santiago	1811434	HLBS Law	NO	NO	1	G	Leticia Laura Santiago	N/A	Elena G. Rodriguez	1
20-01453	Boca Raton, FL	05/07/2020	12/09/2020	12/15/2020	Wells Fargo Clearing Services LLC	ISC	Christopher Lee Facka	2706401	HLBS Law	NO	NO	1	G	Christopher Lee Facka	N/A	Mark Allen Bilawsky	1
20-01457	Phoenix, AZ	05/08/2020	12/09/2020	12/31/2020	Capital Investment Group Incorporated	ISC	Kelly Gene Richards	4918409	AdvisorLaw LLC	NO	NO	1	G	Kelly Gene Richards	N/A	Merton E. Marks, Esq.	1
20-01462	Boca Raton, FL	05/08/2020	11/06/2020	11/30/2020	Oppenheimer & Company Incorporated	ISC	Timothy Roger Atyeo	1544728	Zadanosky & Associates PA	NO	NO	1	G	Timothy Roger Atyeo	N/A	Randy R. Freedman, Esq.	1
20-01465	San Francisco, CA	05/08/2020	01/12/2021	01/28/2021	Banc of America Investment Services Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Brian John Addington	2882035	FA Expungement	NO	NO	1	G	Brian John Addington	N/A	John J. Flynn	1
20-01466	Philadelphia, PA	05/08/2020	10/28/2020	01/29/2021	Pruco Securities LLC	Reyes Kurson Ltd.	Kevin Patrick Janus	5685303	Louviere Law Firm PA	NO	NO	2	G	Kevin Patrick Janus	N/A	Carol H. Gold, Esq.	2
20-01467	Boston, MA	05/08/2020	10/29/2020	11/10/2020	LPL Financial LLC	ISC	Dushyant J. Shah	419641	Ghabai Law Group LLC	NO	NO	1	G	Dushyant J. Shah	N/A	Richard J. Grahn, Esq.	1
20-01468	New York, NY	05/08/2020	05/19/2021	05/28/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Raymond Louis George	2102320	Farrar Law PLLC	NO/NN	NO	4	G	Raymond Louis George	N/A	Mary Julia O'Connell	1
20-01476	Boca Raton, FL	05/08/2020	11/10/2020	12/03/2020	Prudential Equity Group LLC	Reyes Kurson Ltd.	Kevin Bruce Wolf	1067376	Bruce W. Barnes PA	NO/NN	NO	6	G	Kevin Bruce Wolf	N/A	Leslie L. Cooney, Esq.	1

20-01479	Houston, TX	05/11/2020	01/22/2021	02/04/2021	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Reyes Kurson Limited (PEG); ISC (WFCS)	Howard Steven Lorch; Patricia McMahon Bonnot.	312672; 1144198	Berry Odom LLP	NO	NO	4	G	Howard Steven Lorch; Patricia McMahon Bonnot.	N/A	G. Maynard Green, JD	2
20-01480	San Diego, CA	06/23/2020	06/11/2021	06/22/2021	Morgan Stanley	Keesal Young & Logan	Joanna Moran	4457945	Winget Spadafora & Schwartzberg LLP	OB	NO	1	G	Joanna Moran	N/A	Erik R. Siering	1
20-01482	Reno, NV	05/08/2020	12/08/2020	12/23/2020	Cetera Advisor Networks LLC	ISC	Joanna Moran	4457945	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Joanna Moran	N/A	Philip Aaron Tymon, JD	1
20-01486	Phoenix, AZ	05/11/2020	04/12/2021	05/27/2021	Centaurus Financial Incorporated	ISC	Orion Kelly Willis	4047415	Farrar Law PLLC	OB	NO	1	G	Orion Kelly Willis	N/A	Roger A. Geddes	1
20-01493	Jersey City, NJ	05/11/2020	12/04/2020	12/17/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Dennis Robert Hall	2229485	Kelleher Weisfelner Law Group LLC	NO	NO	1	G	Dennis Robert Hall	N/A	Linda J. Baer, Esq.	1
20-01505	Minneapolis, MN	05/13/2020	02/09/2021	02/17/2021	Capital Financial Services Incorporated; United Planners Financial Services	ISC	Jason Christopher Erickson.	U	FA Expungement	UN	NO	1	D	N/A	Jason Christopher Erickson.	Mark S. Gleason, Esq.	1
20-01506	Boston, MA	05/12/2020	03/08/2021	03/17/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Timothy John Nolan	4047415	Saretsky Hart et al.	NO	NO	1	G	Timothy John Nolan	N/A	Mary E. Bassett	1
20-01513	Boca Raton, FL	05/13/2020	02/09/2021	03/29/2021	CIBC World Markets Corporation ; Oppenheimer & Company Incorporated; Aegis Capital Corporation	ISC	Arthur Willard Lewis	1438899	Sallah Astarita & Cox LLC	OB/NO	NO	5	G	Arthur Willard Lewis	N/A	Mark C. Perry, Esq.	1
20-01514	San Diego, CA	05/13/2020	11/30/2020	12/03/2020	LPL Financial LLC	ISC	Sandeep Varma	1926613	HLBS Law	OB/NO NN	NO	3	G	Sandeep Varma	N/A	Randy R. Maher, JD	1

20-01516	San Diego, CA	05/13/2020	02/04/2021	03/09/2021	United Planners' Financial Services of America, A Limited Partnership	ISC	John David Glenn II.	1752345	FA Expungement	NO	NO	1	G	John David Glenn II.	N/A	Sally G. Williams	1
20-01530	Boca Raton, FL	05/14/2020	12/03/2020	12/09/2020	Edward D Jones & Company Limited Partnership	Bressler Amery & Ross	Ronald J. Radner	5834701	Fisher & Phillips	NO	NO	2	G	Ronald J. Radner	N/A	Louis David Huss	1
20-01537	Newark, NJ	05/14/2020	11/23/2020	12/09/2020	PNC Investments	Seyfart Shaw LLP	Emil Baczyk	4697488	Coss & Momjian	NO	NO	1	G	Emil Baczyk	N/A	Patrick Richard Westerkamp, Esq.	1
20-01544	Charleston, WV	05/15/2020	11/05/2020	11/13/2020	Parkland Securities LLC	ISC	John Thomas Halterman	2545585	Louviere Law Firm PA	NO	NO	3	G	John Thomas Halterman	N/A	Edward Blumstein, Esq.	1
20-01553	Atlanta, GA	05/18/2020	07/23/2020	07/29/2022	Morgan Stanley	ISC	Thomas Andrew McDavid	3174259	Bressler Amery & Ross	OB	NO	1	G	Thomas Andrew McDavid	N/A	Michael J. Ahlstrom, Esq.	5
20-01557	Dallas, TX	05/18/2020	02/16/2021	03/15/2021	New England Securities	Harris & Affiliates Ltd.	John Mark Canada	U	AdvisorLaw LLC	UN	NO	3	D	N/A	John Mark Canada	Maxel B. (Bud) Silverberg, Esq.	1
20-01572	New York, NY	05/18/2020	03/02/2021	03/11/2021	National Securities Corporation	ISC	Ronald Joseph Large	2913371	Judex Law LLC	NO	NO	1	G	Ronald Joseph Large	N/A	Clive I. Morricks	1
20-01573	New York, NY	05/18/2020	02/02/2021	02/16/2021	National Securities Corporation	ISC	Tuan Phan	4179988	Judex Law LLC	NO	NO	4	G	Tuan Phan	N/A	Josian Antoine, Esq.	1
20-01574	St. Louis, MO	05/19/2020	11/23/2020	12/11/2020	Cambridge Investment Research Incorporated	ISC	Sheldon Jay Harber	867340	AdvisorLaw LLC	NO	NO	1	G	Sheldon Jay Harber	N/A	Tracy L. Allen, Esq.	1
20-01580	San Francisco, CA	05/19/2020	11/11/2020	11/17/2020	Commonwealth Financial Network	ISC	Jeffrey Wayne Deboer	1791118	Saretsky Hart et al.	NN	NO	1	G	Jeffrey Wayne Deboer	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-01589	San Francisco, CA	05/18/2020	12/01/2020	12/11/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Lorena Michelle Moudi	2728034	Gonser Law PC	NO	NO	1	G	Lorena Michelle Moudi	N/A	Michael Lancaster Garcia	1
20-01591	San Francisco, CA	05/19/2020	03/10/2021	04/07/2021	Lefcourt Financial Group Incorporated	No-show	Richard Evan Baer	848798	HLBS Law	NN	NO	1	G	Richard Evan Baer	N/A	Laurel Littman Gothelf, MPH	1

20-01592	San Francisco, CA	05/19/2020	12/21/2020	01/29/2021	John Hancock Distributors LLC	ISC	Richard Evan Baer	848798	HLBS Law	NO	NO	1	G	Richard Evan Baer	N/A	Kevin C. Coleman, JD	1
20-01593	San Francisco, CA	05/19/2020	01/20/2021	02/02/2021	Lion Street Financial LLC	No-show	Richard Evan Baer	848798	HLBS Law	NO	NO	1	D	N/A	Richard Evan Baer	Kevin C. Coleman, JD	1
20-01596	Detroit, MI	05/20/2020	12/21/2020	12/22/2020	Avantax Investment Services Incorporated	ISC	Christopher John Michalak	5101151	FA Expungement	NO	NO	1	G	Christopher John Michalak	N/A	William M. Azkoul, JD	1
20-01599	Cincinnati, OH	05/20/2020	01/19/2021	01/26/2021	USA Advanced Planners Incorporated	No-show	Bryon Keith Spicer	2958719	AdvisorLaw LLC	OB	NO	1	G	Bryon Keith Spicer	N/A	John F. Burns, Esq.	1
20-01606	Boca Raton, FL	05/20/2020	12/10/2020	01/08/2021	UBS Financial Services Incorporated	ISC	James L. Springer	2535792	Stein & Stein	NO	NO	7	G	James L. Springer	N/A	Edward R. Niederriter, Esq. - Chair; Justin Wallace Askins; Sheryl Sagel	2
20-01608	Boca Raton, FL	05/20/2020	12/14/2020	12/17/2020	UBS Financial Services Incorporated	ISC	James Lebaron Springer	2535792	Stein & Stein	NO	NO	4	G	James Lebaron Springer	N/A	Kimberly A. Gilmour, Esq. - Chair; Marie G. Peterson, CPA; Robert S. Natiss	1
20-01610	Boca Raton, FL	05/20/2020	12/02/2020	12/07/2020	The Huntington Investment Company	Ulmer & Berne	James Lebaron Springer	2535792	Stein & Stein	NN	NO	2	G	James Lebaron Springer	N/A	Kimberly A. Gilmour, Esq. - Chair; David P. Slater, Esq.; Rosemarie Elizabeth Stoffo	1
20-01622	Chicago, IL	05/21/2020	02/01/2021	02/03/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David C. Eidell; Derek D. Christian	3053388	AdvisorLaw LLC	NO	NO	2	G	David C. Eidell; Derek D. Christian	N/A	Philip J. Glick, Esq.	1
20-01624	Philadelphia, PA	05/21/2020	01/21/2021	02/12/2021	Lincoln Financial Advisors Corporation	ISC	David Mark Ellowitch	3102817	Stradley Ronon et al.	OB	NO	1	G	David Mark Ellowitch	N/A	James W. (Jim) Geiger	1
20-01630	Atlanta, GA	05/22/2020	02/02/2021	02/05/2021	RBC Capital Markets LLC	Dorsey & Whitney	Marc Aubrey Alexander	2432414	Smiley Bishop & Porter LLP	NO	NO	1	G	Marc Aubrey Alexander	N/A	Scott A. Schweber	1
20-01631	Milwaukee, WI	05/22/2020	11/13/2020	11/17/2020	LPL Financial LLC	ISC	Anne Caroline Sapienza	5278627	Ghabai Law Group LLC	NO	NO	1	G	Anne Caroline Sapienza	N/A	Susan L. Walker, Esq.	1
20-01638	Milwaukee, WI	06/03/2020	11/12/2020	11/17/2020	JP Morgan Securities LLC	ISC	Douglas M. Bray	2907254	Duane Morris LLP	NO	NO	1	G	Douglas M. Bray	N/A	Robert J. Scafuri, Esq.	1

20-01643	Boca Raton, FL	05/26/2020	01/19/2021	01/25/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Daniel Cohen	2414071	Zadanosky & Associates PA	NO	NO	2	G	Daniel Cohen	N/A	Kimberly A. Gilmour, Esq.	1
20-01662	Minneapolis, MN	05/28/2020	11/23/2020	11/25/2020	Ameriprise Financial Services Incorporated	ISC	Michael John Schumacher	6073001	Hellmuth & Johnson	NO	NO	1	G	Michael John Schumacher	N/A	Phyllis Karasov, Esq.	1
20-01664	New York, NY	05/27/2020	01/26/2021	02/04/2021	JP Morgan Securities LLC	Ulmer & Berne	Zachary Aaron Morris; Jeffrey Stephen Diamond.	5939621; 1399171	Eugene L. Small PC	OB	NO	2	G	Zachary Aaron Morris; Jeffrey Stephen Diamond.	N/A	Kent L. Benziger, Esq. - Chair; Josian Antoine, Esq.; Thomas M. Amadio	1
20-01667	Tampa, FL	05/28/2020	02/12/2021	02/26/2021	Bankers Life Securities Incorporated	S.K. Huffer & Associates PC	Primo Bushati	6277823	D'Costa Law	NO	NO	2	G	Primo Bushati	N/A	Brian G. Mooney, Esq.	1
20-01670	New York, NY	05/28/2020	11/17/2020	11/25/2020	Oppenheimer & Company Incorporated	ISC	Yan Binder	2932226	Shumaker Loop & Kendrick	NO	NO	1	G	Yan Binder	N/A	Richard W. Cutler, Esq. - Chair; John Franklin Udochi; Ellen Slipp, Esq.	1
20-01688	Philadelphia, PA	05/29/2020	10/13/2020	11/02/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Norton Rose Fulbright US LLP	Omar Farouk Rasheed; Brian Patrick Pugh	4343206	McGuireWoods LLP	NO	NO	2	G	Omar Farouk Rasheed; Brian Patrick Pugh	N/A	John J. Jordan, Esq. - Chair; Allen Mark Kerpan, Esq.; Michael Allen Zeiler	1
20-01689	New York, NY	05/29/2020	12/16/2020	04/12/2021	Morgan Stanley & Company Incorporated; Morgan Stanley DW Incorporated	ISC	Keith Lawrence Galanti	1308128	Arbitration Evaluation Services	NO/NN	NO	2	G	Keith Lawrence Galanti	N/A	Anthony Michael Sabino, Esq.	1
20-01697	New York, NY	05/29/2020	12/10/2020	12/17/2020	NyLife Securities LLC	Lubarsky Law Firm PLLC	Chander Goel	4588999	DeVita & Associates	NO NN	NO	2	G	Chander Goel	N/A	Jill Pilgrim, Esq.	1
20-01701	New York, NY	05/29/2020	07/07/2021	07/26/2021	Continental Broker-Dealer Corporation	No-show	Joon Rhee	2167218	Carmel Milazzo & Feil LLP	NO	NO	1	G	Joon Rhee	N/A	Thomas Matthew Madden	1

20-01712	Chicago, IL	06/01/2020	01/07/2021	01/14/2021	Morgan Stanley; William Blair & Company LLC	ISC (MSSB); Ulmer & Berne (WB)	Brian Lance Kasal	1228369	Law Offices of Joshua B. Kons LLC	OB NN	NO	3	G	Brian Lance Kasal	N/A	Michael S. Matek, Esq.	1
20-01714	Newark, NJ	06/01/2020	11/12/2020	12/09/2020	JP Turner & Company LLC; Grayson Financial LLC	ISC (JPT&C; No-show (GF)	Raymond Clark.	2865619	Holcomb + Ward LLP	NO NN	NO	5	G	Raymond Clark.	N/A	Sam Antar, Esq.	1
20-01720	Chicago, IL	06/02/2020	02/04/2021	02/09/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Wesley D. Tate	U	Herskovits PLLC	NO UN	NO	2	D	N/A	Wesley D. Tate	Lynn Hirschfeld Brahin, Esq.	1
20-01729	Salt Lake City, UT	06/02/2020	12/22/2020	01/19/2021	AXA Advisors LLC	ISC	Joseph Andrew Davis	4900161	AdvisorLaw LLC	NO	NO	1	G	Joseph Andrew Davis	N/A	Donald Neil Tolin	1
20-01735	Milwaukee, WI	06/03/2020	01/14/2021	01/26/2021	Ameriprise Financial Services LLC	ISC	John Francis Lynch	1806466	AdvisorLaw LLC	OB/NO	NO	5	G	John Francis Lynch	N/A	Lynn Hirschfeld Brahin, Esq.	1
20-01736	New York, NY	06/02/2020	03/08/2021	03/29/2021	Barclays Capital Incorporated	Parker Hudson et al.	Philip Dandridge Weyhe	1026916	AdvisorLaw LLC	NO/NN	NO	4	G	Philip Dandridge Weyhe	N/A	Roger B. Jacobs	1
20-01758	New York, NY	06/03/2020	12/10/2020	12/23/2020	Securities America Incorporated	ISC	Richard Eller	1409368	FA Expungement	NO	NO	2	G/D	Richard Eller	N/A	Ellyn S. Roth	1
20-01761	Boca Raton, FL	06/04/2020	01/19/2021	02/01/2021	INVEST Financial Corporation	Saretsky Hart et al.	Vincent Montanti	5277483	Fowler White Burnett PA	NO	NO	1	G	Vincent Montanti	N/A	Mark Allen Bilawsky	1
20-01768	New York, NY	06/03/2020	03/22/2021	04/16/2021	National Securities Corporation	ISC	Dominic Joseph Carlo.	2731304	Judex Law LLC	NO	NO	4	G	Dominic Joseph Carlo.	N/A	Robert E. Anderson, Esq.	1
20-01769	New York, NY	06/03/2020	02/23/2021	04/06/2021	National Securities Corporation	ISC	Philip Mathew Rodriguez	2703233	Judex Law LLC	NO	NO	4	G	Philip Mathew Rodriguez	N/A	Veronica Ann Williams	1
20-01772	New York, NY	06/03/2020	01/26/2021	02/11/2021	NewBridge Securities Corporation	Kaufman Dolowich & Voluck LLP	Anil I. Jethmal	1834687	Judex Law LLC	NO	NO	2	G	Anil I. Jethmal	N/A	Veronica Ann Williams	1
20-01779	Kansas City, MO	06/05/2020	11/30/2020	02/23/2021	RBC Capital Markets LLC	Dorsey & Whitney	Kevin Wayne Piker	1834687	AdvisorLaw LLC	OB	NO	1	G	Kevin Wayne Piker	N/A	Maxel B. (Bud) Silverberg, Esq.	2
20-01782	Phoenix, AZ	06/04/2020	10/22/2020	11/18/2020	Ameriprise Financial Services LLC	ISC	William Patrick O'Connell	2219819	Murphy & Anderson	NO	NO	1	G	William Patrick O'Connell	N/A	Richard Kent Mahrle	1

20-01785	Cincinnati, OH	06/05/2020	01/19/2021	01/26/2021	Morgan Stanley	ISC	Raymond M. Stacy	U	FA Expungement	NO	NO	2	D	N/A	Raymond M. Stacy	John W. Eichleay, Jr., Esq.	1
20-01789	Chicago, IL	06/05/2020	01/13/2021	01/14/2021	Edward D. Jones & Company Limited Partnership	ISC	Kyle Kenneth Stone.	6390253	Gregory B. Simon Law LLC	NO	NO	1	G	Kyle Kenneth Stone.	N/A	Leonard Arthur Nelson, Esq.	1
20-01793	Wilmington, DE	06/05/2020	12/15/2020	12/23/2020	Cambridge Investment Research Incorporated; Securian Financial Services Incorporated	ISC (CIR); Sichenzia Ross Ference LLP (FSF)	Todd Ashley Roselle	5001611	FA Expungement	NO	NO	1	G	Todd Ashley Roselle	N/A	Patrick Richard Westerkamp, Esq.	1
20-01804	Philadelphia, PA	06/08/2020	11/19/2020	12/01/2020	Ameritas Investment Company LLC	ISC	Brian Patrick Wilson	1432309	FA Expungement	NO	NO	1	G	Brian Patrick Wilson	N/A	John F. Burns, Esq.	1
20-01820	Boston, MA	06/09/2020	01/05/2021	01/29/2021	NYLife Securities LLC	Lubarsky Law Firm PLLC	Douglas L. Padden	5331067	Louviere Law Firm PA	NO	NO	1	G	Douglas L. Padden	N/A	Howard N. Gorney	1
20-01822	San Diego, CA	06/09/2020	02/18/2021	03/12/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	John David Glenn II.	1752345	FA Expungement	NO	NO	2	G	John David Glenn II.	N/A	Constance Ellen Boukidis	1
20-01824	Detroit, MI	06/10/2020	03/04/2021	03/09/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John William Boukamp III	1444222	Saretsky Hart et al.	NO	NO	1	G	John William Boukamp III	N/A	Kevin R. Zehe	1
20-01830	Tampa, FL	06/10/2020	02/04/2021	02/19/2021	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	Mario Govic	4193397	HLBS Law	OB	NO	1	G	Mario Govic	N/A	Thomas J. Patka, Esq.	1
20-01832	Chicago, IL	06/10/2020	01/19/2021	01/26/2021	Edward D Jones & Company Limited Partnership	ISC	Matthew Roman Kneifl	4622646	Gregory B. Simon Law LLC	NO	NO	1	G	Matthew Roman Kneifl	N/A	Lynn Hirschfeld Brahin, Esq.	1
20-01837	San Francisco, CA	06/10/2020	12/08/2020	12/23/2020	First Allied Securities Incorporated	ISC	Christine R. McBroom	5555399	Scott & Allayee	NO	NO	1	G	Christine R. McBroom	N/A	Peter H. Daly	1

20-01838	Los Angeles, CA	06/10/2020	01/21/2021	02/04/2021	Centaurus Financial Incorporated; Northwestern Mutual Investment Services LLC	ISC	James V. Peters	2665577	FA Expungement	OB.NO	NO	2	G	James V. Peters	N/A	Andrew M. Mintzer, CPA	1
20-01844	Pittsburgh, PA	06/11/2020	03/22/2021	05/10/2021	Pruco Securities LLC	Reyes Kurson Ltd.	Edward Ernest Blacka	1489265	Farrar Law PLLC	NN	NO	1	G	Edward Ernest Blacka	N/A	Gregory Hunter Mathews	2
20-01845	Pittsburgh, PA	06/11/2020	05/11/2021	05/19/2021	Lincoln Financial Advisors Corporation	ISC	Edward Ernest Black	1489265	Farrar Law PLLC	NO/NN	NO	2	G	Edward Ernest Black	N/A	John James McGovern, Jr., Esq.	1
20-01846	New York, NY	06/11/2020	02/11/2021	12/10/2021	Chase Investment Services Corporation ; HSBC Securities (USA) Incorporated	Duane Morris LLP (CIS); Morgan Lewis & Bockius (HSBC)	Josh Alan Frankel	2634443	Farrar Law PLLC	NO/NN	NO	5	G	Josh Alan Frankel	N/A	Michele S. Riley	2
20-01848	Pittsburgh, PA	08/19/2020	03/04/2021	03/23/2021	Trustmont Financial Group Incorporated	ISC	Anthony Charles Hladek	2700432	Farrar Law PLLC	NO	NO	1	G	Anthony Charles Hladek	N/A	John Joseph Neely	1
20-01850	Portland, OR	06/11/2020	01/19/2020	01/29/2021	Ameriprise Financial Services LLC	ISC	Daniel John Ruediger	2740109	Saretsky Hart et al.	NO	NO	1	G	Daniel John Ruediger	N/A	Kenneth James Pedersen	1
20-01856	San Juan, PR	06/11/2020	02/10/2021	02/18/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Ricardo Eboli-Kodesh	4313868	McConnell Valdes LLC	NO	NO	1	G	Ricardo Eboli-Kodesh	N/A	Christopher J. Klein, Esq.	1
20-01857	Hartford, CT	06/15/2020		02/03/2022	Chase Investment Services Corporation ; HSBC Securities	Ulmer & Berne (CIS); Morgan Lewis & Bockius (HSBCS)	Paul Coleman	U	Mirch Law Firm; Kaufmann Gildin & Robbins; AdvisorLaw LLC	UN	OB E	8	D	N/A	Paul Coleman	Robert M. Singer	0

20-01860	Richmond, VA	06/11/2020	01/15/2021	01/22/2021	Royal Alliance Associates Incorporated	ISC	Thomas C. West	5555399	Troutman Pepper et al.	NO	NO	1	G	Thomas C. West	N/A	Tina E. Patterson - Chair; David Edward Upton; Glenn H. Catalano	1
20-01862	Los Angeles, CA	06/12/2020	01/12/2021	01/27/2021	None.	Customer	Richard Ramos	5524250	None	NO	NO	1	G	Richard Ramos	N/A	Steven H. Gourley, Esq. - Chair; McKinley Perkins, III; Jeffrey E. Skogsbergh, Esq.	1
20-01867	Memphis, TN	06/12/2020	12/08/2020	01/25/2021	AG Edwards & Sons Incorporated	ISC	Joseph Clay Young IV	2250844	FA Expungement	NO	NO	3	G	Joseph Clay Young IV	N/A	Hon. A.J. Seier	1
20-01869	Boston, MA	06/05/2020	01/26/2021	02/03/2021	Purshe Kaplan Sterling Investments	ISC	Jason Todd Skolnick	2656136	AdvisorLaw LLC	NO	NO	1	G	Jason Todd Skolnick	N/A	Denise L. Presley, Esq.	1
20-01872	Montpelier, VT	06/12/2020	11/17/2020	11/25/2020	UBS Financial Services Incorporated	ISC	David Joseph Maher	5117420	None	NO	NO	2	G	David Joseph Maher	N/A	Julius Z. Frager	1
20-01890	New York, NY	06/15/2020	12/21/2020	12/30/2020	Raymond James & Associates Incorporated	ISC	Jeff D. Wolk	1729538	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Jeff D. Wolk	N/A	Denise L. Quarles, Esq.	1
20-01893	Baltimore, MD	06/16/2020	02/12/2021	03/01/2021	Lincoln Financial Advisors Corporation	ISC	Chadwick Kingsley Watson; Jeffrey John Furniss.	2183286; 4888498	Saretsky Hart et al.	NO	NO	2	G	Chadwick Kingsley Watson; Jeffrey John Furniss.	N/A	Thomas J. Dolina	1
20-01902	New York, NY	06/16/2020	11/05/2021	11/12/2021	Eastbrook Capital Group LLC	No-show	Ray Anthony San Pedro	4565686	Carmel Milazzo & Feil LLP	NN	NO	1	G	Ray Anthony San Pedro	N/A	Steven Gary Leventhal	1
20-01903	Denver, CO	06/16/2020	02/25/2021	03/12/2021	UBS Financial Services Incorporated	ISC	James Preston Shoffner Jr.	2242252	FA Expungement	NO	NO	1	G	James Preston Shoffner Jr.	N/A	Anita Rae Shapiro, Esq.	1
20-01925	Newark, NJ	06/18/2020	11/06/2020	11/09/2020	UBS Financial Services Incorporated	ISC	Paul Stevens	1796163	ISC	NO	NO	1	G	Paul Stevens	N/A	Joan M. Traub, Esq.	1
20-01927	New York, NY	06/18/2020	01/21/2021	01/29/2021	Morgan Stanley	ISC	Brandon Matthew Sobel	4464190	AdvisorLaw LLC	NO	NO	1	G	Brandon Matthew Sobel	N/A	Joan M. Traub, Esq.	1

20-01929	New York, NY	06/18/2020	02/16/2021	03/02/2021	Morgan Stanley Smith Barney LLC	ISC	James P. Lombardo Jr.	2708865	Barton LLP	NO	NO	1	G	James P. Lombardo Jr.	N/A	Peter E. Gillespie - Chair; Brian John Gallagher; Steven Gargiulo	1
20-01933	Dallas, TX	06/18/2020	03/02/2021	03/12/2021	SCF Securities Incorporated	Kessler Collins PC	Brian Keith Moon	4232771	Gregory B. Simon Law LLC	NO	NO	1	G	Brian Keith Moon	N/A	C. Sumpter Logan	1
20-01941	Jersey City, NJ	06/18/2020	01/14/2021	02/08/2021	The Jeffrey Matthews Financial Group LLC	ISC	David Anthony Chieco	1563513	Jardim Meisner & Susser	NO	NO	2	G	David Anthony Chieco	N/A	Marvin L. Schuldiner	1
20-01944	New York, NY	06/18/2020	03/05/2021	04/05/2021	Maxim Group LLC; Hapoalim Securities USA Incorporated	ISC (MG); No-show (HSUSA)	Paul Michael Cooney	2198167	Weltz Kakos et al.	NO	NO	6	G/W	Paul Michael Cooney	N/A	Ted M. Rosen, Esq.	2
20-01949	New York, NY	06/19/2020	01/05/2021	01/22/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Frank Lyon Polk III.	U	FA Expungement	NO	NO	3	D	N/A	Frank Lyon Polk III.	Matthew Fenster	1
20-01974	San Francisco, CA	06/23/2020	01/27/2021	02/09/2021	Morgan Stanley & Company LLC	Keesal Young & Logan	Russell Alan Abbott.	2028654	HLBS Law	OB	NO	1	G	Russell Alan Abbott.	N/A	Laurel Littman Gothelf, MPH	1
20-01975	San Francisco, CA	06/23/2020	02/23/2021	03/05/2021	Morgan Stanley DW Incorporated	Keesal Young & Logan	Russell Alan Abbott	2028654	HLBS Law	NO	NO	3	G	Russell Alan Abbott	N/A	Laurel Littman Gothelf, MPH	1
20-01980	Manchester, NH	06/23/2020	01/13/2021	01/25/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Paul Francis Barry	2199987	Louviere Law Firm PA	NO	NO	1	G	Paul Francis Barry	N/A	Robert J. Ambrogi, Esq.	1
20-01981	Boca Raton, FL	06/23/2020	03/05/2021	03/12/2021	Oppenheimer & Company Incorporated	ISC	Andrew Michael Lerner	6212719	Zadanosky & Associates PA	NO	NO	1	G	Andrew Michael Lerner	N/A	Carl Shechter, Esq.	1
20-01988	Dallas, TX	06/24/2020	12/07/2020	12/09/2020	Securities America Incorporated	ISC	Brian Kirkham Smoot	4204833	FA Expungement	NO	NO	1	G	Brian Kirkham Smoot	N/A	Jeff Howard Abrams	1
20-01992	St. Louis, MO	07/11/2020	03/17/2021	04/22/2021	Northwestern Mutual Investment Services LLC	ISC	Christopher Dudley Wright	1606410	Farrar Law PLLC	NO	NO	3	G	Christopher Dudley Wright	N/A	Kim L. Kirn	2

20-01995	Boca Raton, FL	06/24/2020	12/04/2020	12/10/2020	Securian Financial Services Incorporated	Sichenzia Ross Ference LLP	Jay Brian Fischer	2754528	Jenks & Harvey	NO	NO	1	G	Jay Brian Fischer	N/A	Mark Allen Bilawsky	1
20-01997	Milwaukee, WI	08/31/2020	02/11/2021	04/10/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark James Manion; Glen William Ringwall	U	Farrar Law PLLC	NO	NO	3	D	N/A	Mark James Manion; Glen William Ringwall	Michael J. Meeusen, Esq.	2
20-02000	Milwaukee, WI	09/08/2020	04/12/2021	07/22/2021	UBS Financial Services Incorporated	ISC	Glen William Ringwall; Mark James Manion.	1808359; 2429741	Farrar Law PLLC	NO	NO	10	G	Glen William Ringwall; Mark James Manion.	N/A	Leon Fox, JD	6
20-02006	Phoenix, AZ	06/25/2020	03/09/2021	03/26/2021	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	James Byron Underhill	2848252	Judex Law LLC	OB/NO	NO	2	D	N/A	James Byron Underhill	Howard R. Gaines, Esq.	1
20-02007	Los Angeles, CA	06/24/2020	05/11/2021	06/04/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David Bryan Schachter	2278586	Judex Law LLC	NO	NO	1	G	David Bryan Schachter	N/A	Erik R. Siering	1
20-02008	New York, NY	07/16/2020	05/18/2021	05/24/2021	Newbridge Securities Corporation	Kaufman Dolowich & Voluck LLP	Michael John Zoitias	4092866	Judex Law LLC	NO	NO	2	G	Michael John Zoitias	N/A	Michael H. DuBoff, Esq.	1
20-02009	Los Angeles, CA	06/24/2020	05/27/2021	06/23/2021	UBS Financial Services Incorporated	ISC	Anita Marie Daguilar	1726303	Judex Law LLC	NO	NO	1	G	Anita Marie Daguilar	N/A	Robert D. Sussin, Esq.	1
20-02022	Norfolk, VA	06/26/2020	03/30/2021	04/05/2021	Infinex Investments Incorporated; BI Investments LLC	Kaufman Dolowich & Voluck LLP	Darin Matthew Ely	2767198	AdvisorLaw LLC	NO	NO	1	G	Darin Matthew Ely	N/A	Michael J. Ahlstrom, Esq.	1
20-02024	Boca Raton, FL	06/26/2020	02/26/2021	03/11/2021	Morgan Stanley	ISC	John William Swaine	2754528	Robert Wayne Pearce PA	NO	NO	1	G	John William Swaine	N/A	Seth L. Finkel, Esq.	1
20-02034	Los Angeles, CA	07/07/2020	06/18/2021	07/02/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Shomir Mukherjee	4121898	Law Offices of Steve A. Buchwalter PC	NO	NO	1	G	Shomir Mukherjee	N/A	Constance Ellen Boukidis - Chair; Erik R. Siering; Brant Jackson Griffin	1

20-02036	Rochester, NY	06/26/2020	11/13/2020	12/07/2020	Northwestern Mutual Investment Services	ISC	Francis James Clement	U	None	NO	NO	1	D	N/A	Francis James Clement	Kathleen Hoey Gorr, Esq. - Chair; Clifford Chance Rohde; Corinne A. Cox	1	
20-02040	Jersey City, NJ	06/27/2020	02/17/2021	03/05/2021	Celadon Financial Group LLC	ISC	Daryl Scott Hersch; Jeffrey Peter Gordon.	1255474; U	Fowler White Burnett PA	OB	NO	2	G/D	Daryl Scott Hersch; Jeffrey Peter Gordon.	N/A	Louis H. Miron, Esq.	2	
20-02042	Manchester, NH	06/28/2020	12/16/2020	01/14/2021	PFS Investments Incorporated	ISC	Thomas McWilliams	1336226	Stephano Sharma	NO	NO	1	G	Thomas McWilliams	N/A	James W. (Jim) Geiger - Chair; John James McGovern, Jr., Esq.; Patrick W. McKeon, Esq.	1	
20-02043	New York, NY	06/29/2020	02/25/2021	03/02/2021	Morgan Stanley & Company LLC	ISC	Andrew D. Urbanski	5316404	AdvisorLaw LLC	NO	NO	1	G	Andrew D. Urbanski	N/A	William G. Binckes, Esq.	1	
20-02062	Phoenix, AZ	06/30/2020	12/09/2020	01/13/2021	Union Capital Company	ISC	Francisco B. Almada	1575694	Warren Law Group	NO	NO	1	G	Francisco B. Almada	N/A	Howard R. Gaines, Esq.	1	
20-02064	New York, NY	06/30/2020	03/03/2021	03/08/2021	Morgan Stanley DW Incorporated	Greenberg Traurig LLP	David Bishop Smith	2033396	AdvisorLaw LLC	OB/NO	NO	2	G	David Bishop Smith	N/A	John F. Duane, Esq.	1	
20-02065	Newark, NJ	06/30/2020	11/19/2020	11/27/2020	UBS Financial Services Incorporated	ISC	John Robert Morris	1903657	UBS Business Solutions US LLC	NO	NO	1	G	John Robert Morris	N/A	Linda J. Baer, Esq.	1	
20-02067	Chicago, IL	07/01/2020	02/01/2021	02/01/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Peter A. Schallmoser	U	None	NN	NO	1	D	N/A	Peter A. Schallmoser	Thomas P. Valenti - Chair; Jerome F. Crotty, Esq.; Alicia Hilton	1	
20-02069	Portland, OR	06/30/2020	12/14/2020	01/15/2021	Somerset Securities Incorporated	No-show	Brian Thomas Horn	4143693	AdvisorLaw LLC	NO	NO	1	G	Brian Thomas Horn	N/A	Katherine Hendricks, Esq.	1	
20-02081	New York, NY	07/01/2020	01/22/2021	02/03/2021	Aegis Capital Corporation	ISC	Dominick Joseph Diorio Jr.	2447817	Weltz Kakos et al.	NO	NN	NO	4	G	Dominick Joseph Diorio Jr.	N/A	Karen Isabel Bedrosian-Richardson	1
20-02090	Los Angeles, CA	07/01/2020	04/22/2021	05/20/2021	Centaurus Financial Incorporated	ISC	Kelley Susan Slaught	1126586	Gordon Rees et al.	OB/NO	NO	3	G	Kelley Susan Slaught	N/A	George L. Tindall	1	

20-02097	Indianapolis, IN	07/02/2020	12/15/2020	12/24/2020	American Portfolios Financial Services Incorporated	ISC	Thomas Wayne Perry.	1096559	RJM Counsel PLLC	NO	NO	2	G	Thomas Wayne Perry.	N/A	Philip J. Glick, Esq.	1
20-02117	Cincinnati, OH	07/03/2020	12/17/2020	01/15/2021	UBS Financial Services Incorporated; Wells Fargo Advisors Financial Network	ISC	Timothy Patrick Lofton	2385447	FA Expungement	NO	NO	4	G	Timothy Patrick Lofton	N/A	John C. Aten	1
20-02119	New York, NY	07/04/2020	05/25/2021	06/17/2021	Laidlaw & Company (UK) Limited	ISC	Robert Nicholas Rotunno	4025263	Warren Law Group	NO	NO	10	G	Robert Nicholas Rotunno	N/A	Jill Pilgrim, Esq.	3
20-02121	Los Angeles, CA	07/06/2020	03/18/2021	04/20/2021	Integrated Resources Equity Corporation	ISC	Randall Craig Long	1147693	HLBS Law	NO	NO	1	G	Randall Craig Long	N/A	Joyce L. Hurley	1
20-02123	Boston, MA	07/06/2020	01/20/2021	01/26/2021	Morgan Stanley	ISC	Leo Anthony Robinson Jr.	3179934	AdvisorLaw LLC	NO	NO	1	G	Leo Anthony Robinson Jr.	N/A	Gerard S. Marsan, Esq.	1
20-02128	Oklahoma City, OK	07/07/2020	02/09/2021	02/17/2021	LPL Financial LLC	ISC	Bill Emory Thompson	4506880	AdvisorLaw LLC	NO/NN	NO	2	G	Bill Emory Thompson	N/A	Sherry R. Wetsch, Esq.	1
20-02130	Kansas City, MO	07/10/2020	04/22/2021	05/07/2021	Northwestern Mutual Investment Services LLC	ISC	John David DiStefano	U	Farrar Law PLLC	NO	OB E	1	D	N/A	John David DiStefano	Robert S. Baran	1
20-02131	Jersey City, NJ	07/06/2020	05/12/2021	05/19/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Joseph Marie Andreoli Jr.	1718688	AdvisorLaw LLC	NO NN	NO	5	G	Joseph Marie Andreoli Jr.	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-02133	Columbus, OH	07/07/2020	02/02/2021	02/16/2021	Ameriprise Financial Services Incorporated nka Ameriprise Financial Services LLC	ISC	Richard Lee Pierce	2854001	AdvisorLaw LLC	NO	NO	1	G	Richard Lee Pierce	N/A	Mark Alexander Sipper	1

20-02136	Salt Lake City, UT	07/07/2020	01/07/2021	02/03/2021	MML Investors Services LLC	Stevens & Lee	Brian Glen Kasteler	2182796	AdvisorLaw LLC	NO/NN	NO	3	G/D	Brian Glen Kasteler	N/A	Suanne M. Parro, CPA	1
20-02140	Philadelphia, PA	07/07/2020	03/18/2021	03/24/2021	H Beck Incorporated	ISC	Scott Karl Wetherbee	3192911	AdvisorLaw LLC	NO	NO	1	G	Scott Karl Wetherbee	N/A	Louis P. Wagman	1
20-02141	Boston, MA	07/07/2020	01/21/2021	01/26/2021	LPL Financial LLC	ISC	Mary L. McDonald	2788457	Ghabai Law Group LLC	NO	NO	1	G	Mary L. McDonald	N/A	Michael P. Breton	1
20-02145	New York, NY	07/07/2020	04/09/2021	04/15/2021	Financial Square Partners	ISC	Richard Sica	1756940	Wultz Kakos et al.	NO/NN	NO	2	G	Richard Sica	N/A	Howard L. Sobel	1
20-02147	Boca Raton, FL	07/07/2020	01/25/2021	01/29/2021	Morgan Stanley	ISC	Jason Erik Stephens	3053046	HLBS Law	NO	NO	1	G	Jason Erik Stephens	N/A	Kimberly A. Gilmour, Esq.	1
20-02148	Boca Raton, FL	07/07/2020	06/21/2021	06/23/2021	UBS Financial Services Incorporated	ISC	Jason Erik Stephens	3053046	HLBS Law	NO	NO	1	G	Jason Erik Stephens	N/A	Kimberly A. Gilmour, Esq.	1
20-02149	Boston, MA	07/07/2020	02/25/2021	03/04/2021	John Hancock Mutual Life Insurance Company	ISC	Jeremy Wade Benoit	2277073	AdvisorLaw LLC	NO	NO	1	G	Jeremy Wade Benoit	N/A	Howard N. Gorney	1
20-02154	Los Angeles, CA	07/08/2020	01/12/2021	01/26/2021	FSC Securities Corporation	Freeman Mathis & Gray	James Wynn Regitz Jr.	1283719	HLBS Law	NN	NO	1	G	James Wynn Regitz Jr.	N/A	Michael D. Harrison, Esq.	1
20-02163	Chicago, IL	07/09/2020	02/04/2021	02/11/2021	Ameriprise Financial Services LLC	ISC	Scott D. Smith.	2186611	Saretsky Hart et al.	NO	NO	1	G	Scott D. Smith.	N/A	Steven H. Vogel, Esq.	1
20-02178	Indianapolis, IN	07/10/2020	03/08/2021	03/20/2021	Securities America Incorporated	ISC	Todd Allen Lester	2619323	AdvisorLaw LLC	NO	NO	1	G	Todd Allen Lester	N/A	Gregory G. Gocek	1
20-02183	Houston, TX	07/10/2020	01/20/2021	01/22/2021	M Holdings Securities Incorporated	ISC	Michael Bruce Kentor	U	AdvisorLaw LLC	OB UN	NO	2	D	N/A	Michael Bruce Kentor	Thomas A. Martin, Esq.	1
20-02191	New Orleans, LA	07/10/2020	01/19/2021	01/25/2021	Cetera Advisor Networks LLC	ISC	David Carl Stokes.	1206789	AdvisorLaw LLC	NO/NN	NO	3	G	David Carl Stokes.	N/A	David A. Schuler	1
20-02192	Minneapolis, MN	07/13/2020	01/21/2021	03/30/2021	Cambridge Investment Research Incorporated	ISC	Kelly Ann Hoff	U	AdvisorLaw LLC	OB	NO	1	D	N/A	Kelly Ann Hoff	Philip J. Glick, Esq.	1

20-02193	New York, NY	07/10/2020	12/17/2020	12/22/2020	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jeffrey Allan Karitis	3176533	Law Offices of Amy Bard	NO	NO	1	G	Jeffrey Allan Karitis	N/A	David I. Goldblatt, Esq.	1
20-02200	Jersey City, NJ	07/13/2020	05/17/2021	06/04/2021	Janney Montgomery Scott LLC	ISC	Christopher Ronald DiGregorio	2754779	D'Costa Law	NO	NO	3	G	Christopher Ronald DiGregorio	N/A	Louis H. Miron, Esq.	1
20-02202	Houston, TX	07/13/2020	03/19/2021	03/24/2021	Ameriprise Financial Services Incorporated	ISC	Scott Bradley Tiras	1810954	Saretsky Hart et al.	NO	NO	1	G	Scott Bradley Tiras	N/A	Sherry R. Wetsch, Esq.	1
20-02207	Los Angeles, CA	07/13/2020	12/12/2020	01/26/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Phillips M. Huffman	U	Keesal Young & Logan	UN	NO	1	D	N/A	Phillips M. Huffman	Thomas E. Shuck, Esq.	1
20-02210	Manchester, NH	07/13/2020	03/02/2021	03/10/2021	Citizens Securities Incorporated	Adler Pollock & Sheehan	Beverly Marie Ketel	U	None	UN	OB	1	D	N/A	Beverly Marie Ketel	Patricia Gatto Hechavarria, Esq.	1
20-02211	Minneapolis, MN	07/14/2020	03/16/2021	03/17/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Christopher Paul Burke	3270335	AdvisorLaw LLC	NO	NO	1	G	Christopher Paul Burke	N/A	Kathy A. Tatone, Esq.	1
20-02212	Salt Lake City, UT	07/13/2020	01/21/2021	02/02/2021	Ameriprise Financial Services LLC	ISC	Jacob Robert Goddard	5236571	Galvin Legal PLLC	NO	NO	1	G	Jacob Robert Goddard	N/A	Jeffrey M. Allen, Esq.	1
20-02216	Jacksonville, FL	07/07/2020	04/05/2021	04/08/2021	LPL Financial LLC	ISC	Mark Scott Dutram	2416021	HLBS Law	OB	NO	1	D	N/A	Mark Scott Dutram	Richard S. Zaifert, Esq.	1
20-02227	New York, NY	07/15/2020	12/15/2020	01/13/2021	Equitable Advisors LLC	ISC	Joseph R. DiMauro	4865562	Imbesi Law Group PC	NO	NO	1	G	Joseph R. DiMauro	N/A	Joan Maxine Secofsky	1
20-02228	New York, NY	07/15/2020	12/21/2020	12/23/2020	Equitable Advisors LLC	ISC	Joseph R. DiMauro	4865562	Imbesi Law Group PC	NO	NO	1	G	Joseph R. DiMauro	N/A	Evdokia Sofos, Esq.	1
20-02229	New York, NY	07/15/2020	01/07/2021	01/28/2021	Equitable Advisors LLC	ISC	Joseph R. DiMauro	4865562	Imbesi Law Group PC	NO	NO	1	G	Joseph R. DiMauro	N/A	Ira A. Auerbach	1

20-02231	Portland, OR	07/15/2020	03/09/2021	03/17/2021	Morgan Stanley	Greenberg Traurig LLP	Colin Harrington Williams	4857859	AdvisorLaw LLC	UN	OB E	1	D	N/A	Colin Harrington Williams	Kenneth James Pedersen	1
20-02244	New York, NY	07/16/2020	01/19/2021	01/22/2021	Ameriprise Financial Services LLC	ISC	Gary Richard Nuccio	1779887	Louviere Law Firm PA	NO/NN	NO	4	G	Gary Richard Nuccio	N/A	Anna Lascar	1
20-02248	San Juan, PR	07/16/2020	03/03/2021	03/09/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Karen Vargas	2043544	McConnell Valdes LLC	NO	NO	1	G	Karen Vargas	N/A	Gerald Silverman, Esq.	1
20-02257	Jacksonville, FL	07/17/2020	02/04/2021	02/17/2021	LPL Financial LLC	ISC	Michael Scott McCranie	1536627	Shumaker Loop & Kendrick	NO	NO	1	G	Michael Scott McCranie	N/A	John P. Cullem, Esq. - Chair; Mitchel Weiss, Esq.; Joan Stearns-Johnsen, Esq.	1
20-02259	Chicago, IL	07/20/2020	01/28/2021	02/09/2021	Audsal Financial Partners Incorporated	Kaufman Dolowich & Voluck LLP	Kraig R. Mickelsen	U	David A. Genelly Limited	OB	NO	1	D	N/A	Kraig R. Mickelsen	Lynn Hirschfeld Brahin, Esq.	1
20-02262	Dallas, TX	07/17/2020	01/11/2021	01/15/2021	Pro-Integrity Securities Incorporated	ISC	Gerald Marvin Hast	2873081	Galvin Legal PLLC	NO	NO	2	G	Gerald Marvin Hast	N/A	Jeff Howard Abrams	1
20-02263	New York, NY	07/17/2020	03/09/2021	03/17/2021	JP Morgan Securities LLC	Duane Morris LLP	Matthew Stephen Hoffman	2558496	AdvisorLaw LLC	NO	NO	1	G	Matthew Stephen Hoffman	N/A	James J. Fishman, Esq.	1
20-02264	San Juan, PR	07/17/2020	01/20/2021	01/25/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Angel M. Canabal	2180310	McConnell Valdes LLC	NO	NO	1	G	Angel M. Canabal	N/A	Louis David Huss	1
20-02265	Phoenix, AZ	07/20/2020	12/03/2020	12/16/2020	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michael Joseph Marshall	1257449	Galvin Legal PLLC	NO	NO	1	G	Michael Joseph Marshall	N/A	Thomas E. Shuck, Esq.	1
20-02266	Phoenix, AZ	07/20/2020	11/30/2020	02/23/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michael Joseph Marshall	1257449	Galvin Legal PLLC	UN	NO	1	D	N/A	Michael Joseph Marshall	Benjamin F. Breslauer	1

20-02267	Phoenix, AZ	07/20/2020	11/17/2020	11/23/2020	JP Morgan Securities LLC, as Successor-in-interest to Wamu Investments Incorporated fka Wm Financial Services Incorporated	Keesal Young & Logan	Michael Joseph Marshall	1257449	Galvin Legal PLLC	NO	NO	1	G	Michael Joseph Marshall	N/A	Timothy J. Kroll, MS	1
20-02277	San Francisco, CA	08/21/2020	12/21/2021	01/18/2022	Piper Sandler & Company	ISC	Christopher D. Scroggins	2316466	The Rosenfeld Law Office	NO	NO	3	G	Christopher D. Scroggins	N/A	Daniel M. Yamshon, Esq.	1
20-02278	San Francisco, CA	09/03/2020	10/08/2021	10/19/2021	UBS Financial Services Incorporated	ISC	Christopher D. Scroggins	2316466	The Rosenfeld Law Office	NO	NO	1	G	Christopher D. Scroggins	N/A	Thomas D. Reese, Esq.	1
20-02282	New York, NY	07/20/2020	03/30/2021	04/19/2021	BlackBook Capital LLC; Hunter Scott Financial LLC; John Thomas Financial; Charles Vista LLC; Aegis Capital Corporation	iSC (BBC); No-show (HS, JTF, CV & AC)	Dennis Daniel Herrera	4618370	Sichenzia Ross Ference LLP	NO	NO	4	G/W	Dennis Daniel Herrera	N/A	Harvey Barrison, Esq.	1
20-02284	San Francisco, CA	08/20/2020	05/17/2022	05/20/2022	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Matthew Paul Schweifler	U	The Rosenfeld Law Office	UN	NO	4	D	N/A	Matthew Paul Schweifler	Mary Margaret Bush, Esq.	1
20-02285	San Francisco, CA	07/20/2020	08/24/2021	08/26/2021	Brokers Express LLC	ISC	Matthew Paul Schweifler	2229762	Arbitration Evaluation Services LLC	UN	NO	1	D	N/A	Matthew Paul Schweifler	Thomas D. Reese, Esq.	1
20-02289	New York, NY	07/20/2020	02/17/2021	02/22/2021	UBS Financial Services Incorporated	ISC	Mark Allen Zeller	2263684	Law Offices of Amy Bard	NO	NO	1	G	Mark Allen Zeller	N/A	Joan M. Traub, Esq.	1
20-02295	Buffalo, NY	07/20/2020	12/16/2020	12/22/2020	Equitable Advisors LLC	ISC	Jeffrey M. McCabe	4816478	Paduano & Weintraub	OB/NO	NO	2	G	Jeffrey M. McCabe	N/A	Gregory P. Szuter, Esq.	1

20-02311	Seattle, WA	07/22/2020	02/01/2021	02/17/2021	Chase Investment Services Corporation	Keesal Young & Logan	Aaron M. Easter	U	FA Expungement	NO-D	NO	1	D	N/A	Aaron M. Easter	James E. Bartels	1
20-02314	Jersey City, NJ	07/22/2020	02/03/2021	02/09/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Christopher Mark Paglia	2281000	Louviere Law Firm PA	OB	NO	1	G	Christopher Mark Paglia	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-02322	Tampa, FL	07/23/2020	03/16/2021	03/19/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jon Lowther	2885442	Schwartz Legal PLLC	NO/NN	NO	4	G	Jon Lowther	N/A	Richard S. Zaifert, Esq.	1
20-02325	New York, NY	07/21/2020	04/27/2021	05/05/2021	Joseph Stevens & Company Incorporated	ISC	Anthony C. Varbero	2251646	Sichenzia Ross Ference LLP	NO	NO	1	G	Anthony C. Varbero	N/A	Sam Antar, Esq.	1
20-02330	Boston, MA	08/04/2020	02/23/2021	03/04/2021	Investors Capital Corporation	ISC	Richard Carmine Cella III	1225988	Wilchins Cosentino & Novins LLP	NO	NO	1	G	Richard Carmine Cella III	N/A	Arthur J. Giacomarra, Esq. - Chair; Howard N. Gorney; Sharon L. Monroe	1
20-02334	Columbus, OH	07/24/2020	01/27/2021	02/02/2021	Fifth Third Securities Incorporated	No-show	Titus D. Allen	4774894	Louviere Law Firm PA	NO	NO	1	G	Titus D. Allen	N/A	John F. Burns, Esq.	1
20-02335	Atlanta, GA	07/24/2020	02/24/2021	03/03/2021	Cetera Advisors LLC	ISC	Bernard Andre Breton	2030660	The Law Office of Michael A. Nagy LLC	NO	NO	1	G	Bernard Andre Breton	N/A	James C. Hoover, Esq.	1
20-02342	New York, NY	07/28/2020	06/14/2021	06/28/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Harold D. Elish	1072360	Law Offices of Amy Bard	NN	NO	1	G	Harold D. Elish	N/A	Andrew M. Schmertz	1
20-02348	New York, NY	07/24/2020	04/13/2021	04/16/2021	UBS Financial Services Incorporated	ISC	Mark Matthew Martiak	4607789	Sichenzia Ross Ference LLP	OB	NO	1	G	Mark Matthew Martiak	N/A	Richard Gee	1
20-02354	Indianapolis, IN	07/24/2020	04/01/2021	04/13/2021	Park Avenue Securities LLC	ISC	Anthony J. Bonanno	1534308	AdvisorLaw LLC	OB/NO	NO	2	G	Anthony J. Bonanno	N/A	Tracy L. Allen, Esq.	1

20-02361	New York, NY	07/24/2020	03/16/2021	03/25/2021	Securian Financial Services Incorporated; WS Griffith Securities Incorporated	ISC (SFS); No show (WSGS)	Brian Bushwell	2094279	Sichenzia Ross Ference LLP	NO	NO	1	G	Brian Bushwell	N/A	Josian Antoine, Esq.	1
20-02363	New York, NY	07/26/2020	01/25/2021	02/03/2021	Morgan Stanley	ISC	Kamesh Nagarajan	2993676	D'Costa Law	NO	NO	1	G	Kamesh Nagarajan	N/A	William E. Nuckel	1
20-02364	Boca Raton, FL	07/26/2020	04/21/2021	05/05/2021	FMSbonds Incorporated	ISC	Zachary Evan Feinsilver	5023830	Law Office of Bradley D. Schnur	UN	NO	5	D	N/A	Zachary Evan Feinsilver	Perry Earl Phillips	1
20-02366	Boston, MA	07/27/2020	02/26/2021	04/21/2021	Morgan Stanley	ISC	Michelle Parretti	2351530	D'Costa Law	NO	NO	1	G	Michelle Parretti	N/A	Richard J. Grahn, Esq.	2
20-02367	Boston, MA	07/27/2020	03/16/2021	03/19/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michelle Parretti	2351530	D'Costa Law	NO	NO	2	G	Michelle Parretti	N/A	Steven S. Manos	1
20-02370	Hartford, CT	07/27/2020	04/07/2021	05/04/2021	Workman Securities Corporation	No-show	Bret David LaPorte	4733385	Farrar Law PLLC	NO	NO	1	G	Bret David LaPorte	N/A	Mark Stuart Gurevitz	1
20-02373	San Francisco, CA	07/27/2020	10/29/2020	11/06/2020	JP Morgan Securities LLC	Keesal Young & Logan	Kurt E. Maier	U	Bressler Amery & Ross	UN	NO	2	D	N/A	Kurt E. Maier	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-02374	Wilmington, DE	07/27/2020	03/02/2021	03/11/2021	Ameriprise Financial Services LLC	ISC	Caroline Marie Girgis	2811084	AdvisorLaw LLC	NO	NO	1	G	Caroline Marie Girgis	N/A	John James McGovern, Jr., Esq.	1
20-02376	New York, NY	08/21/2020	05/07/2021	07/19/2021	UBS Financial Services Incorporated	ISC	Debra Ann Bushman	870056	Law Office of Bradley D. Schnur	NO/NN	NO	2	G	Debra Ann Bushman	N/A	Eric Goldman	4
20-02378	Hartford, CT	07/27/2020	06/03/2021	07/22/2021	Crown Capital Securities Limited Partnership	Jonesbell LLP	Bret David LaPorte	4733385	Farrar Law PLLC	NO	NO	1	G	Bret David LaPorte	N/A	James W. (Jim) Geiger	1
20-02379	Dallas, TX	07/28/2020	02/10/2021	02/16/2021	JP Morgan Securities LLC	Ulmer & Berne	Matthew Reese Mason	1630685	Louviere Law Firm PA	NO	NO E	1	G	Matthew Reese Mason	N/A	Eric Ross Cromartie	1
20-02385	San Diego, CA	07/27/2020	04/08/2021	05/03/2021	Foresters Financial Services Incorporated	Bressler Amery & Ross	Gregory Robert Reynolds	5669488	HLBS Law	NO	NO	1	G	Gregory Robert Reynolds	N/A	Mark R. Lee	1

20-02389	Boston, MA	07/28/2020	05/05/2021	05/21/2021	Moors & Cabot Incorporated	ISC	Alan Walton Sharpe	2011593	D'Costa Law	OB/NO	NO	3	G/D	Alan Walton Sharpe	N/A	Jeffrey P. Petrucelly, Esq.	1
20-02390	Boston, MA	07/28/2020	02/09/2021	04/02/2021	RBC Capital Markets LLC	Dorsey & Whitney	Alan Walton Sharpe	2011593	D'Costa Law	NN	NO	1	G	Alan Walton Sharpe	N/A	Richard J. Grahn, Esq.	1
20-02391	Boston, MA	07/28/2020	05/03/2021	07/08/2021	Prudential Equity Group LLC	Reyes Kurson Ltd.	Alan Walton Sharpe	2011593	D'Costa Law	NO	NO	2	G	Alan Walton Sharpe	N/A	Richard J. Grahn, Esq.	1
20-02396	Kansas City, MO	07/29/2020	02/16/2021	02/26/2021	Cetera Advisor Network LLC	ISC	James V. Regier	4497085	Rees Kincaid and Stanfield Law	NO	NO	3	G	James V. Regier	N/A	John R. Loss, Esq.	1
20-02404	New York, NY	08/17/2020	04/21/2021	08/26/2021	Dalton Kent Securities Group Incorporated	No-show	Levant Miguel Bishop	2665428	Farrar Law PLLC	NO/NN	NO	6	G	Levant Miguel Bishop	N/A	John Michael Bergin	4
20-02407	Jersey City, NJ	07/28/2020	03/10/2021	03/29/2021	The Jeffrey Matthews Financial Group LLC	ISC	Anthony George Pasculli	2238324	Jardim Meisner & Susser	NO	NO	1	G	N/A	Anthony George Pasculli	Michael Fischetti, PhD	1
20-02408	Montpelier, VT	07/28/2020	03/02/2021	03/11/2021	Raymond James & Associates Incorporated	ISC	George D. Ewins Jr.; Richard J. Kowalski	2460452; 1558602	Lax & Neville	NO	NO	2	G	George D. Ewins Jr.; Richard J. Kowalski	N/A	Louis H. Miron, Esq.	1
20-02409	Dallas, TX	07/29/2020	03/02/2021	03/08/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Dodee F. Crockett	724069	AdvisorLaw LLC	NO/NN	NO	2	G	Dodee F. Crockett	N/A	Robert J. Gregory	1
20-02411	New York, NY	08/07/2020	05/18/2021	05/25/2021	AGP/Alliance Global Partners Corporation	No-show	Peter David Schiff	1759484	Sichenzia Ross Ference LLP	NO	NO	5	G	Peter David Schiff	N/A	Richard W. Cutler, Esq.	1
20-02412	New York, NY	07/30/2020	10/10/2022	10/20/2022	UBS Financial Services Incorporated	ISC	Richard Vincent	1091826	Sichenzia Ross Ference LLP	NO/NN	NO	5	G	Richard Vincent	N/A	Joan M. Traub, Esq.	1
20-02413	Cincinnati, OH	07/29/2020	03/22/2021	03/25/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Peter Douglas McColgan	1783205	AdvisorLaw LLC	NO	NO	2	G/D	Peter Douglas McColgan	N/A	Kevin R. Zehe	1
20-02415	Chicago, IL	07/29/2020	07/21/2021	08/26/2021	National Securities Corporation	ISC	Levant Miguel Bishop	2665428	Farrar Law PLLC	OB/NO	NO	5	G	Levant Miguel Bishop	N/A	James J. Stamos, Esq.	1

20-02416	Jersey City, NJ	07/31/2020	04/09/2021	04/19/2021	Royal Alliance Associates Incorporated	ISC	Paul Michael Largo	2860474	Offit Kurman LLP	NO	NO	1	G	Paul Michael Largo	N/A	Jay Alan Kranis	1
20-02420	Kansas City, MO	07/29/2020	04/22/2021	05/04/2021	The ON Equity Sales Company	ISC	Tim David Hakes	2399374	D'Costa Law	NO	NO	3	G	Tim David Hakes	N/A	Brett Coonrod	1
20-02422	Louisville, KY	07/29/2020	12/18/2020	12/31/2020	Raymond James & Associates Incorporated	ISC	William H. Borders II.	2237620	Bressler Amery & Ross	NO	NO	1	G	William H. Borders II.	N/A	Mark Alexander Sipper	1
20-02426	Kansas City, MO	07/29/2020	04/20/2021	04/30/2021	The ON Equity Sales Company	ISC	Scott James Colangelo	2699803	D'Costa Law	NO	NO	2	G/D	Scott James Colangelo	N/A	William M. Lamoreaux, Esq.	1
20-02436	New York, NY	07/29/2020	02/09/2021	02/12/2021	UBS Financial Services Incorporated	ISC	Jason I. Feldman	1812829	Law Offices of Amy Bard	NO	NO	1	G	Jason I. Feldman	N/A	Howard L. Sobel	1
20-02437	Cincinnati, OH	07/30/2020	03/16/2021	03/17/2021	UBS Financial Services Incorporated	ISC	Peter Douglas McGolgan	1783205	AdvisorLaw LLC	NO	NO	1	G	Peter Douglas McGolgan	N/A	Stephen P. Calardo	1
20-02438	Richmond, VA	07/29/2020	06/15/2021	07/01/2021	Scott & Stringfellow LLC	Murphy & McGonigle	Michael Martin Higgins	2338467	AdvisorLaw LLC	NO	NO	1	G	Michael Martin Higgins	N/A	Joseph J. Dougherty, JD	1
20-02440	New York, NY	07/29/2020		01/28/2022	Spartan Capital Securities LLC	No-show	Kenneth Leopold Williams	U	Farrar Law PLLC	UN	NO	1	D	N/A	Kenneth Leopold Williams	Cynthia A. DiMarco, Esq.	0
20-02448	New York, NY	07/30/2020	01/25/2021	01/29/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Brian Schiller	4035624	Law Offices of Amy Bard	NO	NO	1	G	Brian Schiller	N/A	Robert E. Anderson, Esq.	1
20-02449	Detroit, MI	07/31/2020	08/24/2021	09/03/2021	Allstate Financial Services LLC; Brookstreet Securities Corporation; GLP Investment Services LLC	Reyes Kurson Ltd. (AFS); No-show (BS); ISC (GLIPS)	Gary H. Mattson	2220839	Judex Law LLC	NO	NO	4	G	Gary H. Mattson	N/A	Lee Hornberger, JD	1

20-02450	New York, NY	07/30/2020	06/08/2021	08/04/2021	Aegis Capital Corporation ; National Securities Corporation	Sichenzia Ross Ference LLP (Aegis); ISC (NS)	Mark Sam Kolta	5324620	Judex Law LLC	OB	NO	3	G	Mark Sam Kolta	N/A	Carolyn A. Mann	4
20-02451	Boston, MA	07/30/2020	03/23/2021	04/19/2021	Cetera Advisors LLC	ISC	Brian Robert Thomas	U	FA Expungement	NO (PRESUMED)	NO	1	D	N/A	Brian Robert Thomas	Michael P. Breton	2
20-02452	Chicago, IL	08/21/2020	04/06/2021	04/09/2021	Barron Chase Securities Incorporated	No-show	Daniel Patrick O'Halloran	U	Farrar Law PLLC	OB	NO	1	D	N/A	Daniel Patrick O'Halloran	Donald M. Thompson, Esq.	1
20-02453	New York, NY	07/30/2020	10/04/2021	11/03/2021	Joseph Gunnar & Company LLC; American Capital Partners LLC; AR Baron & Company Incorporated; First United Equities Corporation	ISC	Kevin John McPheee	2316848	Sichenzia Ross Ference LLP	NO	NO	6	G/W	Kevin John McPheee	N/A	Selma Moy, JD	1
20-02454	Hartford, CT	07/30/2020	08/12/2021	08/19/2021	National Securities Corporation ; Eastbrook Capital Group LLC	ISC	Stuart Leighton Updegrave	2316848	Judex Law LLC	NO	NO	3	G	Stuart Leighton Updegrave	N/A	Samuel Harrison Chorches, Esq.	1
20-02456	San Francisco, CA	08/04/2020	02/03/2021	02/17/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Steven Kent Quinly	703012	Gonser Law PC	NO	NO	1	G	Steven Kent Quinly	N/A	Peter H. Daly	1
20-02458	San Juan, PR	07/31/2020	04/28/2021	05/07/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Orlando Javier Perez; Viviana Cristina Perez Cordero.	1019547; 4116565	McConnell Valdes LLC	NO	NO	11	G	Orlando Javier Perez; Viviana Cristina Perez Cordero.	N/A	Martin A. Feigenbaum, Esq.	1

20-02460	Washington, DC	07/31/2020	03/11/2021	03/25/2021	EF Hutton & Company Incorporated; Lehman Brothers Incorporated	No-show	Thomas Harold Clark	850487	AdvisorLaw LLC	NO/NN	NO	3	G	Thomas Harold Clark	N/A	Kelli J. Jareaux, Esq.	1
20-02462	Pittsburgh, PA	07/31/2020	04/06/2021	04/09/2021	Lehman Brothers Incorporated	Hughes Hubbard & Reed	Ahmiel Eliezer Baum	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Ahmiel Eliezer Baum	Richard W. Dissen, Esq.	1
20-02464	Boca Raton, FL	07/31/2020	06/15/2021	07/02/2021	Dawson James Securities Incorporated	Kaufman Dolowich & Voluck LLP	David Hershel Weinstein	1370869	Farrar Law PLLC	NO	NO	2	G	David Hershel Weinstein	N/A	Elena G. Rodriguez	1
20-02465	New York, NY	07/31/2020	03/17/2021	03/24/2021	Lehman Brothers Incorporated	No-show	Jordan Whitney Waring	1615042	AdvisorLaw LLC	NO	NO	1	G	Jordan Whitney Waring	N/A	William G. Binckes, Esq.	1
20-02467	New York, NY	07/31/2020	04/13/2021	04/15/2021	Lehman Brothers Incorporated	No-show	Martin Donald Shafiroff	419623	AdvisorLaw LLC	NN	NO	1	G	Martin Donald Shafiroff	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-02472	New York, NY	07/31/2020	09/01/2021	09/20/2021	Fairchild Financial Group Incorporated; Monroe Parker Securities Incorporated; Stratton Oakmont Incorporated	No-show	Stephen Mark Kiront	2009609	Baritz & Colman	NO/NN	NO	17	G/D	Stephen Mark Kiront	N/A	Carol Maria Luttati	1
20-02477	Boston, MA	08/03/2020	02/17/2021	02/24/2021	UBS Financial Services Incorporated	ISC	Timothy Burr Davis	3141863	Louviere Law Firm PA	NO	NO	1	G	Timothy Burr Davis	N/A	Robert J. Ambrogi, Esq.	1
20-02482	Boston, MA	08/03/2020	12/17/2021	12/23/2021	UBS Financial Services Incorporated	ISC	Christopher J. Cowans	1684420	Rubinson Law	NO	NO	2	G	Christopher J. Cowans	N/A	David Wertz Ellis	1
20-02483	New York, NY	08/03/2020	06/02/2021	06/16/2021	Casimir Capital Limited Partnership	ISC	Richard G. Michalski	4588706	Sichenzia Ross Ference LLP	OB/NO	NO	2	G/D	Richard G. Michalski	N/A	Anthony Michael Sabino, Esq.	1
20-02489	New York, NY	08/04/2020	09/09/2021	09/14/2021	Janney Montgomery Scott LLC	ISC	Debra Ann Bushman	870056	Law Office of Bradley D. Schnur	NO	NO	1	G	Debra Ann Bushman	N/A	Karen Isabel Bedrosian-Richardson	1

20-02491	Phoenix, AZ	08/04/2020	02/09/2021	02/11/2021	Ameriprise Advisor Services Incorporated	ISC	Stephen Hendrie Ledyard	2454877	AdvisorLaw LLC	NO	NO	2	G	Stephen Hendrie Ledyard	N/A	Howard R. Gaines, Esq.	1
20-02493	San Diego, CA	08/04/2020	02/11/2021	03/15/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Christopher Ficara	5132333	HLBS Law	UN	NO	1	D	N/A	Christopher Ficara	Morris S. Getzels, Esq.	1
20-02497	Boston, MA	08/04/2020	12/14/2021	01/19/2022	Morgan Stanley Smith Barney LLC; Morgan Stanley & Company LLC; Morgan Stanley DW Incorporated	ISC	Christopher J. Cowans	1684420	Rubinson Law	NO/NN	NO	4	D	N/A	Christopher J. Cowans	Robert J. Ambrogi, Esq.	1
20-02506	Hartford, CT	08/05/2020	02/03/2021	02/23/2021	Centaurus Financial Incorporated; Questar Capital Corporation	ISC (CF); Guerra King PC (QC)	Stephen Edward Bohan	2101383	FA Expungement	NO	NO	3	G	Stephen Edward Bohan	N/A	Mark Stuart Gurevitz	1
20-02509	Atlanta, GA	08/06/2020	03/17/2021	04/05/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Erik Mathews Bjerke	2998546	Kalberer LLP	NO	NO	4	G	Erik Mathews Bjerke	N/A	James C. Hoover, Esq.	1
20-02513	Albany, NY	08/05/2020	03/11/2021	03/26/2021	Equitable Advisors LLC	ISC	Steven L. Kennedy	5437727	AdvisorLaw LLC	NO	NO	1	G	Steven L. Kennedy	N/A	Denise L. Quarles, Esq.	1
20-02514	Wichita, KS	08/06/2020	04/26/2021	05/10/2021	Transamerica Financial Advisors Incorporated; Transamerica Financial Advisors Incorporated	ISC	Brian Scott Palkowitsch	2702781	AdvisorLaw LLC	NO/NO	NO	4	G	Brian Scott Palkowitsch	N/A	Joseph Neal Richardson	1

20-02518	Tampa, FL	08/06/2020	02/18/2021	02/26/2021	Fifth Third Securities Incorporated	Dinsmore & Shohl LLP	David Lloyd Bennett	4761782	Guerra King PA	NO	NO	NO	2	G	David Lloyd Bennett	N/A	Thomas J. Patka, Esq. - Chair; Joel F. Martineau; Howard B. Scherer	1
20-02525	Tampa, FL	08/06/2020	03/03/2021	03/12/2021	Cetera Advisors LLC; Investors Capital Corporation	ISC	Melisa Mae Lloyd	4735279	Louviere Law Firm PA	NO	NO	NO	2	G	Melisa Mae Lloyd	N/A	Thomas J. Patka, Esq.	1
20-02528	Milwaukee, WI	08/07/2020	12/09/2020	12/11/2020	TD Ameritrade Incorporated	ISC	Manohar Lal Khatri	4220528	Miles & Stockbridge	NO	NO	NO	1	G	Manohar Lal Khatri	N/A	Jonathan B. Gilbert, Esq.	1
20-02531	Helena, MT	08/07/2020	02/11/2021	02/15/2021	LPL Financial LLC	ISC	Sarah J. Hussey	4350095	Ghabai Law Group LLC	NO	NO	NO	1	G	Sarah J. Hussey	N/A	Laurel Littman Gothelf, MPH	1
20-02539	New York, NY	08/07/2020	06/29/2021	07/15/2021	Laidlaw & Company (UK) Limited; Oppenheimer & Company Incorporated; Capital Growth Financial LLC	ISC	Jeffrey Ross Glazer	U	Sichenzia Ross Ference LLP	NO	NO	NO	6	D/W	N/A	Jeffrey Ross Glazer	Anna Lascar	1
20-02540	New York, NY	08/07/2020	04/15/2021	04/23/2021	Park Avenue Securities LLC	ISC	Matthew Gaglio	3091938	FA Expungement	NO	NO	NO	2	G	Matthew Gaglio	N/A	Michael H. DuBoff, Esq.	1
20-02543	Boca Raton, FL	08/07/2020	03/16/2021	03/24/2021	GF Investment Services LLC	ISC	Christopher Grant Conness	4778193	HLBS Law	OB/NO	NO	NO	4	G	Christopher Grant Conness	N/A	Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.)	1
20-02545	New York, NY	08/07/2020	04/08/2021	04/14/2021	UBS Financial Services Incorporated	ISC	John Arthur Caroli	2756888	AdvisorLaw LLC	NO	NO	NO	1	G	John Arthur Caroli	N/A	Susan C. Lushing, Esq.	1
20-02549	New York, NY	08/07/2020	05/25/2021	06/11/2021	Joseph Gunnar & Company LLC; National Securities Corporation	ISC	Michael James Burkoff	2751980	Judex Law LLC	NO	NO	NO	3	G	Michael James Burkoff	N/A	Roger B. Jacobs	1

20-02552	Boca Raton, FL	08/10/2020	11/17/2020	11/27/2020	UBS Financial Services Incorporated	ISC	Ettore D. Ventrice; Noah D. Rubin	2218373; 5445420	Bressler Amery & Ross	OB	NO	2	G	Ettore D. Ventrice; Noah D. Rubin	N/A	Mark Allen Bilawsky	1
20-02553	Columbia, SC	08/10/2020	05/20/2021	05/28/2021	AG Edwards & Sons Incorporated	ISC	Bertin Marc Stuckart	1281643	AdvisorLaw LLC	NN	NO	1	G	Bertin Marc Stuckart	N/A	Stuart K. Furman	1
20-02554	Houston, TX	08/11/2020	03/10/2021	03/15/2021	Royal Alliance Associates Incorporated	ISC	Becky Lynn Mathre	1269073	AdvisorLaw LLC	OB	NO	1	G	Becky Lynn Mathre	N/A	Lynne M. Gomez, Esq.	1
20-02560	Washington, DC	08/10/2020	04/06/2021	04/13/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	E. Grant Marsh	3124678	AdvisorLaw LLC	NO	NO	1	G	E. Grant Marsh	N/A	Jeffrey Axelrad	1
20-02561	Jacksonville, FL	08/11/2020	03/30/2021	04/01/2021	UBS Financial Services Incorporated	ISC	Bertin Marc Stuckart Jr.	1281643	AdvisorLaw LLC	NO	NO	5	G	Bertin Marc Stuckart Jr.	N/A	Richard S. Zaifert, Esq.	1
20-02567	Houston, TX	08/11/2020	05/11/2021	05/19/2021	Ameriprise Financial Services LLC	ISC	Justin Andrew Montandon	4455879	AdvisorLaw LLC	NO	NO	1	G	Justin Andrew Montandon	N/A	Daniel J. Pagnano, Esq.	1
20-02568	New York, NY	08/11/2020	12/11/2020	12/23/2020	Santander Securities LLC	Santiago Pietrantoniet al.	Beatriz Luna Vida	3129454	Bressler Amery & Ross	NO	NO	4	G	Beatriz Luna Vida	N/A	Richard W. Cutler, Esq.	1
20-02578	Los Angeles, CA	08/11/2020	03/01/2021	03/19/2021	Ameriprise Financial Services LLC	ISC	Daniel Dirk Bodemeijer	4193696	HLBS Law	NO	NO	1	G	Daniel Dirk Bodemeijer	N/A	Mary M. O'Neil	1
20-02580	Los Angeles, CA	08/11/2020	03/24/2021	04/15/2021	Ameritas Investment Company LLC	ISC	Kelly Glen Kidwell	1791875	HLBS Law	NO	NO	1	G	Kelly Glen Kidwell	N/A	Benjamin F. Breslauer	1
20-02581	New York, NY	08/11/2020	03/17/2021	03/29/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas C. Threlfall	5961935	AdvisorLaw LLC	OB	NO	1	G	Thomas C. Threlfall	N/A	Peter A. Goldman, Esq.	1
20-02582	Philadelphia, PA	08/11/2020	02/04/2021	02/24/2021	The Investment Center Incorporated	ISC	Jeffrey Scott Heinel	1454586	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Jeffrey Scott Heinel	N/A	Gregory J. Spadea - Chair; Dean L. Scarpa	1

20-02584	Los Angeles, CA	08/11/2020	03/15/2021	03/23/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michael Robinette Jeppson	1418378	Law Offices of David Harrison PC	NO	NO	1	G	Michael Robinette Jeppson	N/A	Robert E. Jenks	1
20-02585	Oklahoma City, OK	08/12/2020	03/23/2021	04/08/2021	Edward Jones	Quarles & Brady	Thomas Casey Loper	5199516	AdvisorLaw LLC	NO	NO	1	G	Thomas Casey Loper	N/A	David A. Schuler	1
20-02587	Detroit, MI	08/12/2020	04/27/2021	04/29/2021	National Planning Corporation	Saretsky Hart et al.	William Henry Kumm IV	1709243	HLBS Law	NO	NO	1	G	William Henry Kumm IV	N/A	Lee Hornberger, JD	1
20-02588	St. Louis, MO	08/12/2020	04/09/2021	05/07/2021	Allstate Financial Services LLC	Reyes Kurson Ltd.	Michael Patrick Nolan Jr.	U	AdvisorLaw LLC	OB	NO	1	D	N/A	Michael Patrick Nolan Jr.	Susan L. Walker, Esq.	2
20-02589	Houston, TX	08/12/2020	03/04/2021	03/19/2021	Wells Fargo Clearing Services LLC	ISC	Ritchy Guy Scoggin	3139618	AdvisorLaw LLC	OB	NO	1	G	Ritchy Guy Scoggin	N/A	Michael S. Yauch	1
20-02590	Houston, TX	08/12/2020	06/10/2021	06/15/2021	UBS Financial Services Incorporated	ISC	Ritchy Guy Scoggin	3139618	AdvisorLaw LLC	NO	NO	1	G	Ritchy Guy Scoggin	N/A	Sherry R. Wetsch, Esq.	1
20-02595	Hartford, CT	08/12/2020	01/20/2021	01/26/2021	NyLife Securities LLC	Lubarsky Law Firm PLLC	Jeffrey Still	6040892	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Jeffrey Still	N/A	Robert B. Titus	1
20-02598	Boston, MA	08/12/2020	03/16/2021	03/23/2021	Ameriprise Financial Services LLC	ISC	Christopher Petrik	2165026	AdvisorLaw LLC	NO	NO	3	G/D	Christopher Petrik	N/A	Robert J. Ambrogi, Esq.	1
20-02604	New York, NY	08/13/2020	07/06/2021	07/14/2021	Cetera Advisors LLC	ISC	Joseph A. Medina	2793924	Judex Law LLC	OB/NO	NO	2	G	Joseph A. Medina	N/A	Robert E. Anderson, Esq.	1
20-02605	Washington, DC	08/13/2020	06/08/2021	06/17/2021	Kalos Capital Incorporated	ISC	Frederick Peter Baerenz	2388453	AdvisorLaw LLC	NO	NO	2	G/D	Frederick Peter Baerenz	N/A	Douglas Earl McLaren, Esq.	1
20-02608	Los Angeles, CA	08/13/2020	10/13/2021	11/17/2021	MML Investors Services LLC	Stevens & Lee	Jeremy Paul Dicker	2706452	Law Offices of David Harrison PC	NO	NO	1	G	Jeremy Paul Dicker	N/A	Natalie Panossian-Bassler	1
20-02609	Boston, MA	08/13/2020	11/09/2020	11/16/2020	UBS Financial Services Incorporated	ISC	James Stewart Smith	1644480	Bressler Amery & Ross	NO	NO	1	G	James Stewart Smith	N/A	Gerard S. Marsan, Esq.	1
20-02610	New York, NY	08/13/2020	06/01/2021	06/04/2021	Chase Investment Services Corporation	Ulmer & Berne	Walter Giovanni Suarez	4862075	Judex Law LLC	NO	NO	2	G/D	Walter Giovanni Suarez	N/A	Paul C. Tang	1

20-02614	Phoenix, AZ	08/14/2020	04/22/2021	05/11/2021	Edward Jones	Keesal Young & Logan	Michael Charles Meixler	2315506	AdvisorLaw LLC	NO	NO	6	G	Michael Charles Meixler	N/A	Donald Dreyfus	1
20-02615	Dallas, TX	08/14/2020	03/02/2021	03/11/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Dwight Hills Emanuelson Jr.	1316011	AdvisorLaw LLC	NO/NN	NO	5	G	Dwight Hills Emanuelson Jr.	N/A	David A. Schuler	1
20-02620	Dallas, TX	08/17/2020	03/02/2021	03/19/2021	Edward D Jones & Company Limited Partnership	Quarles & Brady	Randall Victor Childress	2144260	FA Expungement	NO	NO	2	G/D	Randall Victor Childress	N/A	Douglas Wade Carvell	1
20-02621	Dallas, TX	08/17/2020	02/16/2021	02/18/2021	Edward D Jones & Company Limited Partnership	Quarles & Brady	Randall Victor Childress	2144260	FA Expungement	NO	NO	2	G	Randall Victor Childress	N/A	William E. Hartsfield, Esq.	1
20-02622	Minneapolis, MN	08/17/2020	02/05/2021	02/11/2021	Cambridge Investment Research Incorporated; Spire Securities LLC	ISC (CIR); Stark & Stark (SS)	James David Goodland	2385266	FA Expungement	NO	NO	2	G/D	James David Goodland	N/A	Gregory G. Gocek	1
20-02629	Dallas, TX	08/17/2020	03/09/2021	03/25/2021	Raymond James & Associates Incorporated	ISC	James Charles Aughenbaugh II	2408807	FA Expungement	NO	NO	1	G	James Charles Aughenbaugh II	N/A	William A. Fynes, III	1
20-02633	Los Angeles, CA	08/17/2020	06/15/2021	07/02/2021	Centaurus Financial Incorporated	ISC	Brian Daniel Vosberg	4476509	Judex Law LLC	NO	NO	1	G	Brian Daniel Vosberg	N/A	Susan B. Gans-Smith, Esq.	1
20-02636	Tampa, FL	08/17/2020	03/18/2021	03/23/2021	Kestra Investment Services LLC	D'Amura & Zaidman	Howard Brian Adcock	2861943	HLBS Law	NO	NO	1	G	Howard Brian Adcock	N/A	Darryl C. Wilson, Esq.	1
20-02638	Omaha, NE	08/18/2020	04/26/2021	05/10/2021	Mutual of Omaha Investor Services Incorporated	Cline Williams et al.	Gerald Francis Monahan III	2722135	AdvisorLaw LLC	NO	NO	1	G	Gerald Francis Monahan III	N/A	John R. Loss, Esq.	1
20-02639	Tampa, FL	08/18/2020	06/15/2021	06/22/2021	UBS Financial Services Incorporated	ISC	John Thomas Petika	1890972	HLBS Law	NO/NN	NO	2	G	John Thomas Petika	N/A	Martin M. Van Luven	1

20-02640	Boca Raton, FL	08/17/2020	05/17/2021	05/28/2021	GF Investment Services LLC	No-show	Andrew Montgomery Costa	4847063	HLBS Law	NO/NN	NO	8	G	Andrew Montgomery Costa	N/A	Monroe Mitchel	4
20-02644	Milwaukee, WI	08/18/2020	05/13/2021	05/28/2021	Edward Jones	Quarles & Brady	Zachary Butler	4847063	AdvisorLaw LLC	NN	NO	1	G	Zachary Butler	N/A	Philip J. Glick, Esq.	1
20-02646	San Francisco, CA	08/18/2020	06/16/2021	06/30/2021	Morgan Stanley & Company LLC	Bressler Amery & Ross	Ying Zhang	2158046	HLBS Law	NO	NO	1	G	Ying Zhang	N/A	Laurel Littman Gothelf, MPH	1
20-02649	San Francisco, CA	08/17/2020	06/09/2021	06/17/2021	Morgan Stanley	Bressler Amery & Ross	Ying Zhang	2158046	HLBS Law	OB	NO	1	D	N/A	Ying Zhang	Daniel M. Yamshon, Esq.	1
20-02654	New York, NY	08/18/2020	07/20/2021	08/06/2021	Citicorp Investment Services	Kauff Laton Miller LLP	Margaret D. Rivera	1952387	AdvisorLaw LLC	NN	NO	1	G	Margaret D. Rivera	N/A	Karen Isabel Bedrosian-Richardson	1
20-02655	New York, NY	09/25/2020	04/26/2021	05/06/2021	UBS Financial Services Incorporated	John Murphy & Associates	Everett Weinberger	1559457	Farrar Law PLLC	NO	NO	1	G	Everett Weinberger	N/A	Jay Alan Kranis	1
20-02659	Louisville, KY	08/18/2020	11/02/2020	11/06/2020	UBS Financial Services Incorporated	ISC	Matthew Robert Powell	4873116	Bressler Amery & Ross	NO	NO	1	G	Matthew Robert Powell	N/A	Jeffrey Mark Bauer, Esq.	1
20-02663	Phoenix, AZ	08/18/2020	04/13/2021	05/05/2021	BC Ziegler & Company	Quarles & Brady	William Reilley Herf	2978220	AdvisorLaw LLC	NO	NO	1	G	William Reilley Herf	N/A	Merton E. Marks, Esq.	1
20-02668	New York, NY	08/18/2020	01/27/2021	02/19/2021	JP Morgan Securities LLC	Duane Morris LLP	Kurt Peter Kempkes	5366233	AdvisorLaw LLC	NO	NO	1	G	Kurt Peter Kempkes	N/A	Roger M. Deitz, Esq.	1
20-02669	Phoenix, AZ	08/18/2020	05/04/2021	06/03/2021	Stifel Nicolaus & Company Incorporated	ISC	William Reilley Herf	2978220	AdvisorLaw LLC	OB	NO	1	G	William Reilley Herf	N/A	Walter Steven Schwartz	2
20-02671	Philadelphia, PA	08/18/2020	08/18/2021	08/25/2021	Janney Montgomery Scott LLC	ISC	Patrick Michael Foley	2978220	AdvisorLaw LLC	NO/NN	NO	1	G	Patrick Michael Foley	N/A	Louis P. Wagman	1
20-02672	Atlanta, GA	08/19/2020	02/01/2021	02/03/2021	Park Avenue Securities LLC	ISC	Ralph Lamar Barden	1571020	AdvisorLaw LLC	NO	NO	2	G	Ralph Lamar Barden	N/A	Lita S. Menkin, JD	1
20-02673	Cheyenne, WY	08/18/2020	03/03/2021	03/18/2021	LPL Financial LLC	ISC	Bradley Ross Thompson	3233338	HLBS Law	NN	NO	1	G	Bradley Ross Thompson	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-02674	Denver, CO	08/18/2020	06/07/2021	06/30/2021	Wells Fargo Investments LLC	ISC	Bradley Ross Thompson	3233338	HLBS Law	NO	NO	1	G	Bradley Ross Thompson	N/A	Philip J. Glick, Esq.	1

20-02677	Phoenix, AZ	08/19/2020	05/07/2021	05/21/2021	Morgan Stanley	Greenberg Traurig LLP	Seth C. Henrie	5168915	AdvisorLaw LLC	NO	NO	1	G	Seth C. Henrie	N/A	Erik R. Siering	1
20-02678	Boston, MA	08/19/2020	06/01/2022	07/22/2022	UBS Financial Services Incorporated	ISC	Brian Patrick Mulvey	2286524	AdvisorLaw LLC	OB	NO	1	G	Brian Patrick Mulvey	N/A	John Francis Markuns	2
20-02679	Birmingham, AL	08/19/2020	06/09/2021	06/11/2021	Prudential Equity Group LLC	Reyes Kurson Ltd.	Susan Clayton Moore	2286524	AdvisorLaw LLC	NN	NO	1	G	Susan Clayton Moore	N/A	Frances Johnson-Wright, Esq.	1
20-02680	Phoenix, AZ	08/19/2020	04/15/2021	04/29/2021	Morgan Stanley	Keesal Young & Logan	Max E. Sanel	5501158	AdvisorLaw LLC	NO	NO	1	G	Max E. Sanel	N/A	Erik R. Siering	1
20-02681	Portland, OR	08/19/2020	06/17/2021	07/07/2021	Ameriprise Financial Services LLC	ISC	Russell Curtis McLean	2852098	AdvisorLaw LLC	NO	NO	1	G	Russell Curtis McLean	N/A	David William Hickman, JD	1
20-02684	Chicago, IL	08/19/2020	07/01/2021	07/09/2021	Mesirow Financial Incorporated	ISC	Charles Boyles Lawless	2808387	AdvisorLaw LLC	NO	NO	1	G	Charles Boyles Lawless	N/A	Donald M. Thompson, Esq.	1
20-02691	St. Louis, MO	08/20/2020	03/18/2021	03/22/2021	Edward Jones	Quarles & Brady	A. Janssen Longenecker	2612186	AdvisorLaw LLC	OB	NO	1	G	A. Janssen Longenecker	N/A	Julius Z. Frager	1
20-02693	Tampa, FL	08/20/2020	05/12/2021	05/17/2021	Dempsey Lord Smith LLC	The Beck Law Firm LLC	Travis Scott Jennings	U	HLBS Law	NO	NO	1	D	N/A	Travis Scott Jennings	Martin M. Van Luven	1
20-02695	San Diego, CA	08/19/2020	04/28/2021	05/14/2021	Pruco Securities LLC	Reyes Kurson Ltd.	Todd Jason Trusso	3057025	HLBS Law	NN	NO	1	G	Todd Jason Trusso	N/A	Mark R. Lee	1
20-02697	Phoenix, AZ	08/19/2020	04/27/2021	05/19/2021	Waddell & Reed Incorporated	Bryan Cavet et al.	Jason Leonard Freiwald	2421932	AdvisorLaw LLC	NO	NO	1	G	Jason Leonard Freiwald	N/A	Marc Kalish, JD	1
20-02699	San Francisco, CA	08/19/2020	03/04/2021	03/26/2021	Park Avenue Securities LLC; LPL Financial LLC	ISC	David Keith Brown.	2238374	HLBS Law	NO	NO	1	G	David Keith Brown.	N/A	Laurel Littman Gothelf, MPH	1
20-02700	Wilmington, DE	08/19/2020	05/24/2021	06/14/2021	LPL Financial LLC	ISC	Wayne David Wagner Jr.	2736605	AdvisorLaw LLC	NO	NO	1	G	Wayne David Wagner Jr.	N/A	Louis H. Miron, Esq.	1
20-02704	Louisville, KY	08/20/2020	04/20/2021	04/23/2021	First Allied Securities Incorporated	ISC	Christopher Douglas Risher	4325125	AdvisorLaw LLC	OB	NO	1	G	Christopher Douglas Risher	N/A	John F. Burns, Esq.	1

20-02705	Atlanta, GA	08/20/2020	06/02/2021	06/07/2021	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	Pamela Jackson Middleton	1145902	AdvisorLaw LLC	NO-D	NO	1	G	Pamela Jackson Middleton	N/A	Harvey R. Linder, Esq.	1
20-02707	Chicago, IL	08/20/2020	09/10/2021	09/27/2021	BMO Harris Financial Advisors Incorporated	Godfrey & Kahn	Erik McVann Feldhaus	3256403	AdvisorLaw LLC	NO	NO	1	G	Erik McVann Feldhaus	N/A	Gregory G. Gocek	1
20-02708	New York, NY	08/20/2020	09/14/2021	10/04/2021	Morgan Stanley & Company LLC	ISC	Robert Andrew Dunn	2753628	AdvisorLaw LLC	NO NO-D	NO	3	G	Robert Andrew Dunn	N/A	Linda J. Baer, Esq.	2
20-02709	Charlotte, NC	08/20/2020	03/23/2021	04/02/2021	LPL Financial LLC	ISC	Stephen Edson Bush	1898917	AdvisorLaw LLC	NO	NO	1	G	Stephen Edson Bush	N/A	Michael J. Ahlstrom, Esq.	1
20-02710	Las Vegas, NV	08/20/2020	03/16/2021	04/08/2021	LPL Financial LLC	ISC	Howard John Saxauer	1519391	AdvisorLaw LLC	NO	NO	1	G	Howard John Saxauer	N/A	Benjamin F. Breslauer	1
20-02711	Philadelphia, PA	08/20/2020	04/22/2021	05/06/2021	Parkland Securities LLC	Tadjedin Thomas & Engbloom Law Group LLP	Joel Alan Goodhart	1519391	AdvisorLaw LLC	OB/NO	OB	2	G	Joel Alan Goodhart	N/A	Thomas Benjamin Salzer, Esq.	3
20-02712	Nashville, TN	08/20/2020	03/24/2021	03/31/2021	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Jimmy Allen Barker	2367421	AdvisorLaw LLC	NO	NO	1	G	Jimmy Allen Barker	N/A	Michael J. Ahlstrom, Esq.	1
20-02713	New York, NY	08/20/2020	08/05/2021	08/19/2021	Joseph Gunnar & Company LLC; Brauer & Associates Incorporated	ISC	Roger Alexander Monteforte	2620003	Judex Law LLC	NO	NO	2	G	Roger Alexander Monteforte	N/A	Susan A. Romano	1
20-02714	New York, NY	08/20/2020	09/21/2021	09/30/2021	Monroe Parker Securities Incorporated	No-show	Barry Michael Kiront	2281871	Baritz & Colman	NO	NO	6	G	Barry Michael Kiront	N/A	Noah Jonathan Hanft	1
20-02715	Los Angeles, CA	08/20/2020	05/19/2021	06/21/2021	AXA Advisors LLC	Gordon Rees et al.	Darin Lee Gibson	2684870	HLBS Law	NO	NO	1	G	Darin Lee Gibson	N/A	Andrew M. Mintzer, CPA	1
20-02716	Los Angeles, CA	08/20/2020	06/07/2021	07/01/2021	Prudential Equity Group LLC	Reyes Kurson Ltd.	Norman Thorn Robertson	1121726	HLBS Law	NO	NO	1	G	Norman Thorn Robertson	N/A	Benjamin F. Breslauer	1

20-02719	Los Angeles, CA	08/20/2020	05/24/2021	06/07/2021	JP Morgan Securities LLC	Keesal Young & Logan	Ming Hong Chung	4682191	HLBS Law	NO	NO	1	G	Ming Hong Chung	N/A	Morris S. Getzels, Esq.	1
20-02720	Hartford, CT	08/20/2020	06/30/2021	07/08/2021	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	Joseph Santo Marino	1094341	AdvisorLaw LLC	OB	NO	1	D	N/A	Joseph Santo Marino	Robert B. Titus	1
20-02721	Los Angeles, CA	08/20/2020	04/28/2021	05/14/2021	Morgan Stanley	Greenberg Traurig LLP	Norman Thorn Robertson	1121726	HLBS Law	NO	NO	1	G	Norman Thorn Robertson	N/A	George L. Tindall	1
20-02723	Boca Raton, FL	08/20/2020	06/02/2021	06/09/2021	Fifth Third Securities Incorporated	Dinsmore & Shohl LLP	Joshua Christian Klump	2836032	HLBS Law	NO	NO	1	G	Joshua Christian Klump	N/A	Carl Shechter, Esq.	1
20-02724	Philadelphia, PA	08/20/2020	04/08/2021	04/13/2021	Wells Fargo Clearing Services LLC	ISC	Mark Joseph Byelich	4388024	AdvisorLaw LLC	NO	NO	2	G	Mark Joseph Byelich	N/A	Guillermo L. Bosch, Esq.	1
20-02726	New York, NY	08/20/2020	09/16/2021	09/20/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Roger E. Camp	38988	AdvisorLaw LLC	NN	NO	1	G	Roger E. Camp	N/A	Joan M. Traub, Esq.	1
20-02727	New York, NY	08/20/2020	03/09/2021	03/10/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Roger E. Camp	38988	AdvisorLaw LLC	NO/NO/D	NO	3	G	Roger E. Camp	N/A	Susan A. Romano	1
20-02728	Seattle, WA	08/20/2020	08/23/2021	09/08/2021	Pacific West Securities Incorporated	No-show	Robin Tom Naylor	1392433	AdvisorLaw LLC	NO	NO	2	G	Robin Tom Naylor	N/A	Craig Charles Beles, Esq.	2
20-02730	San Francisco, CA	08/21/2020	06/17/2021	07/07/2021	Citicorp Investment Services	Kauff Laton Miller LLP	Everest KY Wong	3166711	HLBS Law	NO/NN	NO	1	G	Everest KY Wong	N/A	Ann Elizabeth Sarli	1
20-02733	Philadelphia, PA	08/21/2020	05/06/2021	05/13/2021	Kestra Investment Services LLC	D'Amura & Zaidman	Thomas Eric Reich	2842211	AdvisorLaw LLC	OB	NO	1	G	Thomas Eric Reich	N/A	Diane Ciccone, Esq.	1
20-02734	Los Angeles, CA	08/21/2020	06/11/2021	07/01/2021	Ameriprise Financial Services LLC	ISC	Damian Jude Dering	2854253	HLBS Law	NO	NO	1	G	Damian Jude Dering	N/A	Benjamin F. Breslauer	1

20-02736	Los Angeles, CA	08/21/2020	05/27/2021	06/15/2021	Eplanning Securities Incorporated	No-show	Damian Jude Dering	2854253	HLBS Law	NO	NO	1	G	Damian Jude Dering	N/A	Robert E. Jenks	1
20-02739	Los Angeles, CA	08/21/2020	03/11/2021	03/29/2021	LPL Financial LLC	ISC	Damian Jude Dering	2854253	HLBS Law	NO	NO	1	G	Damian Jude Dering	N/A	Milton N. Gross	1
20-02741	Manchester, NH	09/23/2020	06/28/2021	07/06/2021	AG Edwards & Sons Incorporated	ISC	Richard Thomas Iannacone	254526	AdvisorLaw LLC	NO	NO	1	G	Richard Thomas Iannacone	N/A	James W. (Jim) Geiger	1
20-02742	San Juan, PR	08/21/2020	02/08/2021	02/19/2021	UBS Financial Services Incorporated	McConnell Valdes LLC	Jeffrey Rodriguez-Aponte	4638012	Herskovits PLLC	NO	NO	4	G	Jeffrey Rodriguez-Aponte	N/A	Gerald Silverman, Esq.	1
20-02745	Philadelphia, PA	08/21/2020	02/25/2021	03/12/2021	New England Securities Corporation	Harris & Affiliates Ltd.	Bryan R. Cogliano	4367535	AdvisorLaw LLC	NO	NO	1	G	Bryan R. Cogliano	N/A	Louis P. Wagman	1
20-02747	Chicago, IL	08/24/2020	02/25/2021	03/03/2021	Wells Fargo Advisors Financial Network LLC	ISC	Charles Richard Sleezer	2907175	Winget Spadafora & Schwartzberg LLP	NN	NO	1	G	Charles Richard Sleezer	N/A	Theodore W. Wroblecki, Esq.	1
20-02755	Chicago, IL	08/24/2020	06/17/2021	07/01/2021	UBS Financial Services Incorporated	ISC	Adam Bradley Bramson	4754068	AdvisorLaw LLC	NO	NO	1	G	Adam Bradley Bramson	N/A	Larry Carlson, Esq.	1
20-02757	Wilmington, DE	08/24/2020	05/18/2021	05/21/2021	Morgan Stanley DW Incorporated	ISC	Thomas John O'Rourke Jr.	2764727	AdvisorLaw LLC	NO	NO	1	G	Thomas John O'Rourke Jr.	N/A	Robert E. Anderson, Esq.	1
20-02758	Chicago, IL	08/24/2020	05/05/2021	05/14/2021	WMA Securities Incorporated	No-show	Stephen David Dissette	2871051	AdvisorLaw LLC	NO	NO	2	G	Stephen David Dissette	N/A	Theodore W. Wroblecki, Esq.	1
20-02759	Seattle, WA	08/24/2020	04/23/2021	05/05/2021	Edward Jones	Kesal Young & Logan	Daniel James Baumgartel	4426386	AdvisorLaw LLC	NN	NO	1	G	Daniel James Baumgartel	N/A	Francis Vincent Dane	1
20-02760	Birmingham, AL	08/24/2020	02/18/2021	02/25/2021	BBVA Securities Incorporated	No-show	Robert Dudley Smith	1321602	Bressler Amery & Ross	NO	NO	5	G	Robert Dudley Smith	N/A	Michael J. Ahlstrom, Esq.	1
20-02763	Los Angeles, CA	08/24/2020	03/31/2021	04/21/2021	Newport Coast Securities Incorporated	No-show	Timothy George Hassell	2188768	Farrar Law PLLC	NO	NO	1	G	Timothy George Hassell	N/A	Kirtley M. Thiesmeyer, Esq.	1

20-02765	Los Angeles, CA	08/24/2020	03/31/2021	04/20/2021	Roth Capital Partners LLC	ISC	Timothy George Hassell	2188768	Farrar Law PLLC	NO	NO	2	G	Timothy George Hassell	N/A	Constance Ellen Boukidis	1
20-02770	Seattle, WA	08/24/2020		03/09/2021	US Bancorp Investments Incorporated	Dorsey & Whitney	Jason Warren Plemons	2188768	AdvisorLaw LLC	NO (PRESU MED)	OB E	1	D	N/A	Jason Warren Plemons	Robert M. Stein, Esq.	0
20-02771	Los Angeles, CA	08/24/2020	03/18/2021	04/16/2021	WestPark Capital Incorporated	ISC	John Anthony Reilly	870804	HLBS Law	OB	NO	1	G	John Anthony Reilly	N/A	Constance Ellen Boukidis	1
20-02772	Syracuse, NY	08/24/2020	09/03/2021	10/01/2021	LPL Financial LLC	Faegre Drinker et al.	Kenneth John Arellano	U	AdvisorLaw LLCOB	OB	OB	1	D	N/A	Kenneth John Arellano	Robert J. Ambrogi, Esq.	2
20-02773	Chicago, IL	08/25/2020	12/08/2020	12/15/2020	Edward Jones	Quarles & Brady	Ross M. Siegel	5137580	Bressler Amery & Ross	NO	NO	1	G	Ross M. Siegel	N/A	Theodore W. Wroblewski, Esq.	1
20-02776	Rapid City, SD	08/25/2020	05/13/2021	05/19/2021	Raymond James Financial Services Incorporated	ISC	Gordon David Wollman	2362886	AdvisorLaw LLC	NO-D	NO	1	G	Gordon David Wollman	N/A	Daniel M. Yamshon, Esq.	1
20-02777	Jersey City, NJ	08/25/2020	07/12/2021	07/21/2021	Oppenheimer & Company Incorporated; Josephthal & Company Incorporated	ISC	Christopher Cort	2274905	AdvisorLaw LLC	NO NO-D	NO	1	G	Christopher Cort	N/A	Robert E. Anderson, Esq.	1
20-02780	Jersey City, NJ	08/25/2020	05/17/2021	05/27/2021	Wells Fargo Clearing Services LLC	ISC	Christopher Cort	2274905	AdvisorLaw LLC	OB NN	NO	2	G	Christopher Cort	N/A	Joan M. Traub, Esq.	1
20-02781	St. Louis, MO	08/25/2020	05/11/2021	05/20/2021	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Jacob C. Allen	2596713	AdvisorLaw LLC	NO	NO	2	G	Jacob C. Allen	N/A	Tracy L. Allen, Esq.	1
20-02782	Salt Lake City, UT	08/25/2020	06/22/2021	07/20/2021	Hornor Townsend & Kent LLC	Leake & Andersson	Jeffrey Roger Segelke	3153603	AdvisorLaw LLC	NO	NO	1	G	Jeffrey Roger Segelke	N/A	Howard R. Gaines, Esq.	1
20-02786	Tampa, FL	08/25/2020	04/06/2021	04/13/2021	Securities America Incorporated	ISC	Kristopher Scott Flamman g	3189194	HLBS Law	NO/NN	NO	1	G	Kristopher Scott Flammang	N/A	Karl A. Vogeler, III	1

20-02788	San Francisco, CA	08/25/2020	06/03/2021	06/23/2021	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Jennifer Anne Johnston	2413808	HLBS Law	NN	NO	1	G	Jennifer Anne Johnston	N/A	Michael Lancaster Garcia	1
20-02791	Baltimore, MD	08/25/2020	05/18/2021	05/21/2021	Honor Townsend & Kent LLC	Leake & Anderson	Kathie Herbst Okun	1773274	AdvisorLaw LLC	NO	NO	1	G	Kathie Herbst Okun	N/A	David L. Ruderman, Esq.	1
20-02792	Baltimore, MD	08/26/2020	05/24/2021	06/15/2021	Lincoln Financial Advisors Corporation	ISC	Kathie Herbst Okun	1773274	AdvisorLaw LLC	NO	NO	1	G	Kathie Herbst Okun	N/A	Brenda J. Stovall, Esq.	1
20-02793	San Francisco, CA	08/25/2020	08/25/2021	09/09/2021	Royal Alliance Associates Incorporated	Freeman Mathis & Gray	Robert Collins Ryan III	2784775	HLBS Law	NO	NO	1	G	Robert Collins Ryan III	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-02794	San Diego, CA	08/25/2020	05/17/2021	06/10/2021	Securities America Incorporated	Freeman Mathis & Gray	Daniel Albert Neil	4292619	HLBS Law	NO	NO	1	G	Daniel Albert Neil	N/A	Robert E. Jenks	1
20-02795	Raleigh, NC	08/25/2020	07/22/2021	07/30/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Garland Richard Homes Jr.	714042	AdvisorLaw LLC	NO	NO	1	G	Garland Richard Homes Jr.	N/A	Richard James Igou	1
20-02797	Raleigh, NC	08/26/2020	06/14/2021	03/14/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kenneth Frederick Hill	2338250	AdvisorLaw LLC	OB	NO	1	G	Kenneth Frederick Hill	N/A	Richard S. Zaifert, Esq.	2
20-02801	Boca Raton, FL	08/26/2020	07/01/2021	07/13/2021	Cetera Advisors LLC; Investors Capital Corporation	ISC	Andrew Joseph Fairchild	1959274	FA Expungement	NO	NO	1	G	Andrew Joseph Fairchild	N/A	Mark Allen Bilawsky	1
20-02806	New York, NY	08/26/2020	03/30/2021	04/16/2021	LPL Financial LLC	ISC	Vincent Jerome Camarda	2463703	HLBS Law	OB	NO	1	G	Vincent Jerome Camarda	N/A	Karen Isabel Bedrosian-Richardson	1
20-02810	San Francisco, CA	08/26/2020	07/30/2021	08/09/2021	Morgan Stanley DW Incorporated	Keesal Young & Logan	Brannan Paul Vaughan	2634450	HLBS Law	NO	NO	1	G	Brannan Paul Vaughan	N/A	Mary Margaret Bush, Esq.	1
20-02815	Louisville, KY	08/27/2020	06/22/2021	07/20/2021	Ameriprise Financial Services LLC	ISC	James Kevin Waninger	2397165	AdvisorLaw LLC	NN	NO	1	G	James Kevin Waninger	N/A	George G. Kurschner	1

20-02816	St. Louis, MO	08/27/2020	04/05/2021	04/09/2021	American General Securities Incorporated	ISC	John Edward Moriarty	2720704	AdvisorLaw LLC	NO/NN	NO	1	G	John Edward Moriarty	N/A	Robert J. Scafuri, Esq.	1
20-02818	St. Louis, MO	08/27/2020	04/01/2021	04/09/2021	National Planning Corporation	Saretsky Hart et al.	John Edward Moriarty	2720704	AdvisorLaw LLC	OB	NO	1	G	John Edward Moriarty	N/A	Tracy L. Allen, Esq.	1
20-02820	Boca Raton, FL	08/27/2020	02/03/2021	02/05/2021	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	Donna Prisciantelli DeSanctis	2138803	Kaufman Dolowich & Voluck LLP	OB	NO	3	G	Donna Prisciantelli DeSanctis	N/A	Will Murphy, Esq.	1
20-02823	Boca Raton, FL	08/27/2020	02/16/2021	02/19/2021	MSEC LLC	ISC	Faith Read Xenos	1320067	Baritz & Colman	NO	NO	1	G	Faith Read Xenos	N/A	Louis David Huss	1
20-02828	Indianapolis, IN	08/28/2020	01/25/2021	02/18/2021	Charles Schwab & Company Incorporated	ISC	Nicolas Joseph Meyer	6419941	Galvin Legal PLLC	NO	NO	1	G	Nicolas Joseph Meyer	N/A	Carl E. Ver Beek, JD	1
20-02831	New York, NY	08/27/2020	05/20/2021	05/26/2021	Equitable Advisors LLC	ISC	Robert D. Amoruso	U	AdvisorLaw LLC	NO	NO	2	D	N/A	Robert D. Amoruso	William G. Binckes, Esq.	1
20-02832	Hartford, CT	08/27/2020	08/03/2021	08/11/2021	Silver Oak Securities Incorporated	No-show	Douglas William Miller	1969971	AdvisorLaw LLC	NO	NO	2	G	Douglas William Miller	N/A	Sean Alan D'Amico	1
20-02834	Washington, DC	08/27/2020	02/16/2021	04/26/2021	Lincoln Financial Advisors Corporation	ISC	William Eugene Davis III.	3188964	AdvisorLaw LLC	NO	NO	1	G	William Eugene Davis III.	N/A	Michael James Malone	1
20-02835	Tampa, FL	08/27/2020	05/06/2021	05/07/2021	Securities America Incorporated	ISC	Mark Armand Picchi	2228311	HLBS Law	NO	NO	2	G	Mark Armand Picchi	N/A	Richard R. Logsdon, Esq.	1
20-02840	Minneapolis, MN	08/28/2020	07/20/2021	10/06/2021	UBS Financial Services Incorporated	ISC	John Andrew Randolph	4439148	AdvisorLaw LLC	OB/NO	NO	2	G/D	John Andrew Randolph	N/A	Philip J. Glick, Esq.	2
20-02842	Dallas, TX	08/28/2020	04/27/2021	05/07/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David W. Nethery	2179423	AdvisorLaw LLC	NO	NO	2	G	David W. Nethery	N/A	Frances Johnson-Wright, Esq.	1
20-02844	Jersey City, NJ	08/28/2020	07/08/2021	07/22/2021	MML Investors LLC	Stevens & Lee	Victor Iannelli	2265515	AdvisorLaw LLC	NO	NO	1	G	Victor Iannelli	N/A	Robert E. Anderson, Esq.	1

20-02845	Atlanta, GA	08/28/2020	02/23/2021	03/04/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	James Douglas Krantz	2827746	AdvisorLaw LLC	NO	NO	1	G	James Douglas Krantz	N/A	Sherri Lynne Kimmell	1
20-02847	New York, NY	08/28/2020	03/31/2021	04/05/2021	Ameriprise Financial Services LLC	ISC	Robert Edward Feighan	2194400	AdvisorLaw LLC	NO	NO	2	G	Robert Edward Feighan	N/A	Richard W. Cutler, Esq.	1
20-02848	Los Angeles, CA	08/28/2020	03/12/2021	03/16/2021	LPL Financial LLC	ISC	Vera Daikovich	4467962	Ghabai Law Group LLC	NO	NO	1	G	Vera Daikovich	N/A	Joseph C. Watson, Esq.	1
20-02849	Phoenix, AZ	08/28/2020	05/27/2021	06/23/2021	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	Jacob Hamblin Gold	4215589	AdvisorLaw LLC	NO	NO	1	G	Jacob Hamblin Gold	N/A	Howard R. Gaines, Esq.	1
20-02854	Washington, DC	08/28/2020	05/13/2021	09/24/2021	B Riley Securities Incorporated; Legg Mason Wood Walker Incorporated	ISC (BRS); No-show (LMWW)	Jonathan Russell Legg	2123916	Kauff Laton Miller LLP	NO/NN	NO	11	G/W	Jonathan Russell Legg	N/A	Jane C. Carney, CPA	3
20-02855	Tampa, FL	08/31/2020	04/07/2021	06/01/2021	Morgan Stanley & Company LLC	ISC	Brian Robinson	1801251	Schwartz Legal PLLC	NO	NO	4	G	Brian Robinson	N/A	Karl A. Vogeler, III	2
20-02859	Hartford, CT	08/28/2020	12/17/2020	12/29/2020	Sagepoint Financial Incorporated	ISC	Christopher J. Calandra.	2253639	None	NO	NO	1	G	Christopher J. Calandra.	N/A	Samuel Harrison Chorches, Esq.	1
20-02861	San Francisco, CA	08/31/2020	02/17/2021	03/04/2021	NyLife Securities LLC	Dentons US LLP	Brian Allen Peardon	4819319	HLBS Law	NO	NO	1	G	Brian Allen Peardon	N/A	Michael Lancaster Garcia	1
20-02862	San Francisco, CA	08/28/2020	04/29/2021	05/28/2021	ProEquities Incorporated	Maynard Cooper & Gale	Brian Allen Peardon	4819319	HLBS Law	NO	NO	1	G	Brian Allen Peardon	N/A	William W. Haskell, Esq.	1
20-02866	Washington, DC	08/28/2020	04/29/2021	05/04/2021	BB&T Investment Services Incorporated	Murphy & McGonigle	Gustavo LaGuarda	4741774	AdvisorLaw LLC	NO	NO	1	G	Gustavo LaGuarda	N/A	Douglas Earl McLaren, Esq.	1
20-02869	Washington, DC	08/28/2020	02/25/2021	03/09/2021	LPL Financial LLC	ISC	Daniel Oscar Uribe	5431025	Ghabai Law Group LLC	NO	NO	1	G	Daniel Oscar Uribe	N/A	Douglas Earl McLaren, Esq.	1

20-02873	Orlando, FL	08/31/2020	05/11/2021	05/19/2021	QA3 Financial LLC; United Planners Financial Services	ISC	Jeffrey Paul Rogers	2332472	FA Expungement	NO	NO	2	G	Jeffrey Paul Rogers	N/A	Martin M. Van Luven	1
20-02876	Dallas, TX	08/31/2020	03/09/2021	03/19/2021	World Choice Securities Incorporated; Fortune Financial Services Incorporated	ISC (WCS); Frantz & Ward (FFS)	Timothy Douglas Walsh	U	AdvisorLaw LLC	NO	NO	1	D	N/A	Timothy Douglas Walsh	Jeff Howard Abrams	1
20-02883	Jersey City, NJ	08/31/2020	02/11/2021	02/26/2021	Hennion & Walsh Incorporated	ISC	Lauren Christine Frahn	4565805	Hennion & Walsh Incorporated	NO	NO	3	G	Lauren Christine Frahn	N/A	Louis H. Miron, Esq.	1
20-02890	Detroit, MI	09/01/2020	07/29/2021	08/02/2021	Fifth Third Securities Incorporated	Dinsmore & Shohl	John Pierre Thibault	3227041	HLBS Law	NO	NO	1	G	John Pierre Thibault	N/A	Lee Hornberger, JD	1
20-02891	Columbus, OH	09/01/2020	03/25/2021	04/01/2021	UBS Financial Services Incorporated	ISC	Eric James Haubert	2522029	AdvisorLaw LLC	NO	NO	1	G	Eric James Haubert	N/A	Richard W. Dissen, Esq.	1
20-02892	Phoenix, AZ	08/31/2020	03/25/2021	04/23/2021	Wells Fargo Investments LLC	ISC	William Edward Torriente Jr.	4255814	AdvisorLaw LLC	NO/NN	NO	2	G	William Edward Torriente Jr.	N/A	Merton E. Marks, Esq.	1
20-02894	Portland, OR	08/31/2020	04/08/2021	04/28/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Grant Carey Johnstone	2876349	Carr Butterfield LLP	NO	NO	2	G	Grant Carey Johnstone	N/A	Charles Scott McClellan	1
20-02898	Philadelphia, PA	09/01/2020	04/06/2021	04/15/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kevin Richard Keith	1453981	FA Expungement	NO	NO	3	G	Kevin Richard Keith	N/A	George Forest Bingham, Esq.	1

20-02899	Tampa, FL	09/01/2020	04/19/2021	05/10/2021	Ameriprise Financial Services LLC; American Portfolios Financial Services Incorporated; Studdard Financial LLC	ISC	Byron Lee Studdard	2368317	FA Expungement	OB/NO NO-D	NO	5	D	N/A	Byron Lee Studdard	Gary E. Marcus	1
20-02900	Houston, TX	09/01/2020	03/08/2021	03/11/2021	Cetera Advisors LLC; First Allied Securities Incorporated	No-show (CA); ISC (FAS)	Christopher Kinsley Larochelle	4883462	AdvisorLaw LLC	NO	NO	1	G	Christopher Kinsley Larochelle	N/A	Lynne M. Gomez, Esq.	1
20-02901	Salt Lake City, UT	09/01/2020	06/24/2021	07/20/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Scott Allen	2998138	AdvisorLaw LLC	NO	NO	1	G	Scott Allen	N/A	Terry M. Lloyd, CPA, CFA	1
20-02902	Chicago, IL	09/01/2020	05/20/2021	07/19/2021	The Equitable Life Assurance Society of the United States	No-show	Robert Charles Greulich	737124	AdvisorLaw LLC	NO	NO	1	G	Robert Charles Greulich	N/A	Theodore W. Wroblecki, Esq.	2
20-02907	Salt Lake City, UT	09/01/2020	05/25/2021	06/22/2021	Cambridge Investment Research Incorporated	ISC	John Reed Mickelson	2628700	AdvisorLaw LLC	NO	NO	1	G	John Reed Mickelson	N/A	Donald Neil Tolin	1
20-02908	Jersey City, NJ	09/01/2020	03/09/2021	03/24/2021	Hennion & Walsh Incorporated	ISC	Mamode Abdullah Oozeerally	4245327	Hennion & Walsh Incorporated	NO	NO	1	G	Mamode Abdullah Oozeerally	N/A	Robert E. Anderson, Esq.	1
20-02910	Los Angeles, CA	09/01/2020	03/09/2021	04/12/2021	Girard Securities Incorporated	ISC	Rodney Matthew Beary.	4110232	HLBS Law	NO/NN	NO	3	G	Rodney Matthew Beary.	N/A	Kirtley M. Thiesmeyer, Esq.	1
20-02911	New York, NY	09/01/2020	04/14/2021	04/27/2021	McLaughlin Piven Vogel Securities Incorporated	No-show	Walter Francisco Pardo	2154112	AdvisorLaw LLC	NO/NN	NO	2	G	Walter Francisco Pardo	N/A	Paul Bennett Marrow	1

20-02912	San Diego, CA	09/01/2020	04/21/2021	05/05/2021	First Allied Securities Incorporated	ISC	Matthew Michael Hansen	4696471	HLBS Law	NO	NO	1	G	Matthew Michael Hansen	N/A	Otis E. Hackett	1
20-02915	Philadelphia, PA	09/01/2020	04/13/2021	04/20/2021	M&T Securities Incorporated	ISC	Harold Joseph Beshaw	2734989	AdvisorLaw LLC	NO	NO	1	G	Harold Joseph Beshaw	N/A	James W. (Jim) Geiger	1
20-02916	San Francisco, CA	09/01/2020	06/25/2021	07/12/2021	Ameriprise Financial Services Incorporated	ISC	Thomas David Sharp	1623353	HLBS Law	OB	NO	2	D	N/A	Thomas David Sharp	Michael Lancaster Garcia	1
20-02917	Los Angeles, CA	09/01/2020	03/30/2021	05/05/2021	Kestra Investment Services LLC	D'Amura & Zaidman	Kurt Charles Jackson	2913769	HLBS Law	NO	NO	1	G	Kurt Charles Jackson	N/A	George L. Tindall	1
20-02919	San Francisco, CA	09/01/2020	12/13/2021	12/28/2021	WaMu Investments Incorporated	No-show	Everest K.Y. Wong	3166711	HLBS Law	NO	NO	1	G	Everest K.Y. Wong	N/A	Philip Aaron Tymon, JD	1
20-02920	San Diego, CA	09/01/2020	06/03/2021	06/14/2021	Wells Fargo Clearing Services LLC	ISC	Tony Peter Krvaric	3013654	FA Expungement	OB	NO	1	G	Tony Peter Krvaric	N/A	Robert E. Jenks	1
20-02921	Richmond, VA	09/01/2020	05/25/2021	06/04/2021	Ameriprise Financial Services LLC	ISC	Robert Eugene Schinsky	4931156	AdvisorLaw LLC	UN	NO	1	D	N/A	Robert Eugene Schinsky	Joseph J. Dougherty, JD	1
20-02922	Jersey City, NJ	09/20/2020	04/27/2021	05/21/2021	The Jeffrey Matthews Financial Group LLC	ISC	Edward James Hynes Jr.	1058397	Jardim Meisner & Susser	NN	NO	1	G	Edward James Hynes Jr.	N/A	Julian F. Santos, Esq.	1
20-02923	Anchorage, AK	09/02/2020	03/29/2021	04/12/2021	Edward Jones	Keesal Young & Logan	Peter Helmut Vanflein	1993463	AdvisorLaw LLC	OB/NO	NO	2	G	Peter Helmut Vanflein	N/A	John J. Fitzpatrick, Jr., Esq.	1
20-02924	New York, NY	09/02/2020	03/05/2021	04/12/2021	Kestra Investment Services LLC	ISC	Lee Scott Rawiszer; Paul Robert Volpe.	1248193; 2575508	D'Amura & Zaidman	NO	NO	10	G	Lee Scott Rawiszer; Paul Robert Volpe.	N/A	Robert E. Anderson, Esq.	2
20-02925	Jersey City, NJ	09/01/2020	03/25/2021	04/19/2021	The Jeffrey Matthews Financial Group LLC	ISC	Geoff Ira Feinstein	2259310	Jardim Meisner & Susser	NO	NO	1	G	Geoff Ira Feinstein	N/A	Denise L. Quarles, Esq.	1
20-02926	Houston, TX	09/02/2020	04/23/2021	05/06/2021	National Planning Corporation	Saretsky Hart et al.	Joseph A. Quartucci	4522516	AdvisorLaw LLC	NO	NO	1	G	Joseph A. Quartucci	N/A	Lynne M. Gomez, Esq.	1

20-02928	Los Angeles, CA	09/01/2020	07/19/2021	07/30/2021	UBS Financial Services Incorporated	John Murphy & Associates	Daniel Keith Avan	2352641	Judex Law LLC	NO-D	NO	1	G	Daniel Keith Avan	N/A	Mary M. O'Neil	1
20-02929	Chicago, IL	09/02/2020	09/29/2021	10/05/2021	Wedbush Securities Incorporated	ISC	Thomas Joseph Brough	2403390	AdvisorLaw LLC	NO	OB	1	G	Thomas Joseph Brough	N/A	Philip J. Glick, Esq.	1
20-02930	New York, NY	09/01/2020	08/31/2021	09/09/2021	Laidlaw & Company (UK) Limited	ISC	Craig Aaron Bonn	2280460	Judex Law LLC	NO	NO	1	G	Craig Aaron Bonn	N/A	David I. Goldblatt, Esq.	1
20-02933	New York, NY	09/02/2020	03/23/2021	03/31/2021	JP Morgan Securities LLC	Duane Morris LLP	Juan Chung Chen	4458915	AdvisorLaw LLC	NO	NO	1	G	Juan Chung Chen	N/A	Paul S. Biederman	1
20-02934	Dallas, TX	09/02/2020	06/02/2021	06/14/2021	Banc One Securities Corporation	No-show	David D. Davis	3047789	AdvisorLaw LLC	NO	NO	1	G	David D. Davis	N/A	C. Sumpter Logan	1
20-02935	Houston, TX	09/02/2020	06/03/2021	06/08/2021	Chase Investment Services Corporation	Ulmer & Berne	David D. Davis	3047789	AdvisorLaw LLC	OB/NO	NO	2	G	David D. Davis	N/A	Sherry R. Wetsch, Esq.	1
20-02936	Minneapolis, MN	09/02/2020	04/12/2021	04/21/2021	Parkland Securities LLC	ISC	Eric Edward Wegner	2044977	AdvisorLaw LLC	OB/NO	NN	5	G/D	Eric Edward Wegner	N/A	Tracy L. Allen, Esq.	1
20-02937	Minneapolis, MN	09/02/2020	04/01/2021	04/07/2021	Sigma Financial Corporation	ISC	Eric Edward Wegner	2044977	AdvisorLaw LLC	NO	OB	1	G	Eric Edward Wegner	N/A	Susan L. Walker, Esq.	1
20-02938	Houston, TX	09/02/2020	03/18/2021	03/23/2021	Lincoln Financial Advisors Corporation	ISC	William Heartsill Young	2388582	AdvisorLaw LLC	OB	NO	1	G	William Heartsill Young	N/A	Sherry R. Wetsch, Esq.	1
20-02939	Tampa, FL	09/02/2020	04/08/2021	04/12/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Christine A. Kelley	5899366	HLBS Law	NO	NO	1	G	Christine A. Kelley	N/A	Thomas J. Patka, Esq.	1
20-02940	Boca Raton, FL	09/02/2020	04/14/2021	04/23/2021	NYLife Securities LLC	Lubarsky Law Firm PLLC	Michael Vito Gisonda	2730740	HLBS Law	NO	OB	1	D	N/A	Michael Vito Gisonda	Gloria O. North, Esq.	1
20-02942	Charlotte, NC	09/02/2020	06/29/2021	07/01/2021	1st Global Capital Corporation	ISC	Carol Lee King	4890394	AdvisorLaw LLC	NO	NO	1	G	Carol Lee King	N/A	Harvey R. Linder, Esq.	1
20-02944	Atlanta, GA	09/02/2020	06/29/2021	07/16/2021	Morgan Keegan & Company LLC	ISC	Marcus Alan Ashworth	2890387	Judex Law LLC	NO	NO	1	G	Marcus Alan Ashworth	N/A	Chandler R. Bridges, Esq.	1

20-02946	Phoenix, AZ	09/02/2020	05/03/2021	05/18/2021	Vanguard Marketing Corporation	Morgan Lewis & Bockius	Matthew John Williams	2887300	Louviere Law Firm PA	NO	NO	1	G	Matthew John Williams	N/A	Louis M. Parker, Esq. - Chair; Carrie Lynette Thompson Jones, Esq.; Denis Frank	2
20-02949	New York, NY	09/02/2020	03/22/2021	04/09/2021	Kestra Investment Services LLC	ISC	Lee Rawiszer; Paul Volpe	1248193; 2575508	D'Amura & Zaidman	NO	NO	1	G	Lee Rawiszer; Paul Volpe	N/A	Lynne M. Reid-McQueen, Esq.	1
20-02954	New York, NY	09/02/2020	02/11/2021	02/22/2021	Spartan Capital Securities LLC	No-show	Michael A. Darvish	3243141	Ulmer & Berne	NO	NO	1	G	Michael A. Darvish	N/A	Jill Pilgrim, Esq.	1
20-02955	Jacksonville, FL	09/03/2020	05/14/2021	05/24/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	William Richard Tomes Jr.	2300545	HLBS Law	NO/NN	NO	1	G	William Richard Tomes Jr.	N/A	Martin M. Van Luven	1
20-02957	Los Angeles, CA	09/02/2020	05/25/2021	06/15/2021	FSC Securities Corporation	Freeman Mathis & Gray	Ralph Gerard Adamo	1624126	HLBS Law	NO	NO	1	G	Ralph Gerard Adamo	N/A	Joyce L. Hurley	1
20-02963	Detroit, MI	09/03/2020	06/07/2021	06/14/2021	Hantz Financial Services Incorporated; Royal Alliance Associates Incorporated	Shea Aiello PLLC (HFS); Saretsky Hart et al. (RAA)	Shannon Kelly Klug	2451747	Offit Kurman PA; Freedman & Herskovic	NO	NO	2	G/D	Shannon Kelly Klug	N/A	Robert J. Scafuri, Esq.	2
20-02964	Boston, MA	09/03/2020	03/04/2021	03/16/2021	Triad Advisors LLC	ISC	Michael John Capobianco	2159543	Godbout Law PLLC	NO	NO	1	G	Michael John Capobianco	N/A	Richard J. Grahn, Esq.	1
20-02967	Denver, CO	09/03/2020	03/16/2021	04/06/2021	Hightower Securities LLC	K&L Gates LLP	James R. Young	720080	Lax & Neville	NO/NN	NO	5	G	James R. Young	N/A	Frances Johnson-Wright, Esq.	1
20-02971	Cincinnati, OH	09/04/2020	06/15/2021	06/21/2021	ProEquities Incorporated	Maynard Cooper & Gale	Jonathan Paul Hlavac	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Jonathan Paul Hlavac	Stephen P. Calardo	1
20-02972	Chicago, IL	09/04/2020	03/02/2021	04/29/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jason J. Ortiz	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Jason J. Ortiz	James A. Murphy, JD	1
20-02974	St. Louis, MO	09/04/2020	07/08/2021	07/27/2021	Saxony Securities Incorporated	ISC	Norman David Eccarius	2283467	AdvisorLaw LLC	NO/NN	NO	2	G	Norman David Eccarius	N/A	Julius Z. Frager	1

20-02975	New York, NY	09/03/2020	07/22/2021	08/10/2021	Eastbrook Capital Group LLC	No-show	James Oconnell Barbi	2399515	AdvisorLaw LLC	NO	NO	1	G	James Oconnell Barbi	N/A	Josian Antoine, Esq.	1
20-02977	Jersey City, NJ	09/03/2020	07/07/2021	07/16/2021	New England Securities Corporation	Harris & Affiliates Ltd.	Joseph P. Silvestri	1812212	AdvisorLaw LLC	NO	NO	1	G	Joseph P. Silvestri	N/A	Robert E. Anderson, Esq.	1
20-02981	Los Angeles, CA	09/03/2020	03/16/2021	04/20/2021	UBS Financial Services Incorporated	John Murphy & Associates	Lawrence Charles Cane	1487211	HLBS Law	NO/NN	NO	3	G	Lawrence Charles Cane	N/A	Natalie Panossian-Bassler	1
20-02982	Los Angeles, CA	09/03/2020	04/15/2021	04/30/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Lawrence Charles Cane	1487211	HLBS Law	NO	NO	1	G	Lawrence Charles Cane	N/A	Anita Rae Shapiro, Esq.	1
20-02984	San Diego, CA	09/03/2020	06/03/2021	06/14/2021	WAMU Investments Incorporated	No-show	Bradley S. Cooperman	4046860	HLBS Law	NN	NO	2	G	Bradley S. Cooperman	N/A	Randy R. Maher, JD	1
20-02985	San Diego, CA	09/03/2020	05/04/2021	07/27/2021	Chase Investment Services Incorporated; JP Morgan Securities LLC	Keesal Young & Logan	Bradley S. Cooperman	4046860	HLBS Law	OB NN	NO	2	G	Bradley S. Cooperman	N/A	Mitchell Lee Lathrop	1
20-02988	Los Angeles, CA	09/03/2020	02/23/2021	03/11/2021	Centaurus Financial Incorporated	ISC	Troy Nicholas Tremblay	4625407	Keesal Young & Logan	UN	NO	1	D	N/A	Troy Nicholas Tremblay	Edith N. Dinneen, Esq.	1
20-02989	Phoenix, AZ	09/03/2020	04/23/2021	05/04/2021	NewBridge Securities Corporation	Kaufman Dolowich & Voluck LLP	Kerri Suzanne Jamison	4348584	FA Expungement	NO	NO	1	G	Kerri Suzanne Jamison	N/A	Renee Bryna Gerstman	1
20-02990	Los Angeles, CA	08/28/2020	02/24/2021	03/05/2021	Centaurus Financial Incorporated	ISC	Troy Nicholas Tremblay	4625407	Keesal Young & Logan	NO	NO	1	G	Troy Nicholas Tremblay	N/A	Robert D. Sussin, Esq.	1
20-02991	San Francisco, CA	09/03/2020	05/12/2021	05/25/2021	UBS Financial Services Incorporated	John Murphy & Associates	Kirk Louis Mandlin	2201744	HLBS Law	NO	NO	1	G	Kirk Louis Mandlin	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-02992	Seattle, WA	09/03/2020	06/15/2021	07/12/2021	Edward Jones	Keesal Young & Logan	Kirk Louis Mandlin	2201744	HLBS Law	NO	NO	1	G	Kirk Louis Mandlin	N/A	David William Hickman, JD	1

20-02994	Minneapolis, MN	09/04/2020	06/08/2021	06/15/2021	Ameriprise Financial Services LLC	ISC	Jodi Kay Miller-Hammes	2482655	AdvisorLaw LLC	NN	NO	2	G	Jodi Kay Miller-Hammes	N/A	Leonard Arthur Nelson, Esq.	1
20-02995	San Francisco, CA	09/03/2020	06/24/2021	07/06/2021	Avantax Investment Services Incorporated	ISC	Bin Zhai	4624278	HLBS Law	NO	NO	1	G	Bin Zhai	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-02996	Minneapolis, MN	09/04/2020	06/29/2021	07/06/2021	LPL Financial LLC	ISC	Daniel Edward Steichen	2266816	AdvisorLaw LLC	NO-D	NO	1	G	Daniel Edward Steichen	N/A	Tracy L. Allen, Esq.	1
20-02997	Norfolk, VA	09/03/2020	06/08/2021	06/22/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Chapman Bradshaw	3188148	AdvisorLaw LLC	NO	NO	1	G	Robert Chapman Bradshaw	N/A	James W. (Jim) Geiger	1
20-03000	Cincinnati, OH	09/04/2020	06/02/2021	06/11/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael David Maroni	2149829	AdvisorLaw LLC	NN	NO	1	G	Michael David Maroni	N/A	Gregory P. Szuter, Esq.	1
20-03001	New York, NY	09/04/2020	05/18/2021	05/21/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Patrick Giblin	3176182	AdvisorLaw LLC	NN	NO	1	G	Patrick Giblin	N/A	Joan M. Traub, Esq.	1
20-03002	San Juan, PR	09/04/2020	10/04/2021	10/15/2021	Santander Securities LLC	Pietrantonio Mendez & Alvarez	Marko Andres Rendic	4840064	AdvisorLaw LLC	NO	NO	14	G	Marko Andres Rendic	N/A	Mark C. Perry, Esq.	1
20-03003	Kansas City, MO	09/04/2020	07/01/2021	07/14/2021	Wells Fargo Clearing Services LLC	ISC	Christopher Jay McGee	2835275	AdvisorLaw LLC	NO	NO	1	G	Christopher Jay McGee	N/A	Philip J. Glick, Esq.	1
20-03004	Des Moines, IA	09/04/2020	03/25/2021	03/31/2021	Raymond James Financial Services Incorporated	ISC	Thomas Michael Weissenburger	2119726	AdvisorLaw LLC	NO	NO	1	G	Thomas Michael Weissenburger	N/A	Frederick Ramos, Esq.	1
20-03005	Milwaukee, WI	09/04/2020	09/14/2021	10/13/2021	UBS Financial Services Incorporated	ISC	Andrew D. Burish	1111163	Keesal Young & Logan	NO	NO	1	G	Andrew D. Burish	N/A	Philip J. Glick, Esq.	1

20-03007	Atlanta, GA	09/04/2020	05/26/2021	06/04/2021	Oppenheimer & Company Incorporated	ISC	Timothy Arthur Vanderver	4580729	AdvisorLaw LLC	OB/NO	NO	2	G	Timothy Arthur Vanderver	N/A	Michael J. Ahlstrom, Esq.	1
20-03008	Detroit, MI	09/04/2020	07/06/2021	07/23/2021	USAllianz Securities Incorporated	Paesano Akkashian Apkarian PC	Michael Leonard Wallace	2237683	HLBS Law	NN	NO	1	G	Michael Leonard Wallace	N/A	Patrick R. Sughroue, Esq.	1
20-03009	Detroit, MI	09/04/2020	07/19/2021	08/02/2021	IAC Securities Incorporated	No-show	Michael Leonard Wallace	2237683	HLBS Law	NN	NO	1	G	Michael Leonard Wallace	N/A	Lee Hornberger, JD	1
20-03010	San Francisco, CA	09/04/2020	05/04/2021	05/20/2021	Transamerica Financial Advisors Incorporated	ISC	Joshua Williamson	U	HLBS Law	UN	NO	1	D	N/A	Joshua Williamson	Mary Margaret Bush, Esq.	1
20-03011	Los Angeles, CA	09/04/2020	06/29/2021	07/06/2021	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Brice Redmond	4923434	HLBS Law	NO	NO	1	G	Brice Redmond	N/A	Andrew M. Mintzer, CPA	1
20-03015	San Diego, CA	09/04/2020	10/05/2021	10/20/2021	Securities America Incorporated	Freeman Mathis & Gray	Paul Avila Neves	2019963	Judex Law LLC	NO	NO	3	G	Paul Avila Neves	N/A	Mark R. Lee	1
20-03017	Columbus, OH	09/08/2020	04/13/2021	04/23/2021	Wells Fargo Advisors Financial Network LLC	ISC	Lisa Katterhenry Howe	2849154	AdvisorLaw LLC	NN	NO	1	G	Lisa Katterhenry Howe	N/A	Robert David Epstein	1
20-03018	Jersey City, NJ	09/04/2020	07/27/2023	08/03/2023	SunTrust Investment Services Incorporated	ISC	Kevin P. Fay	2144853	AdvisorLaw LLC	NO NN	NO	6	G	Kevin P. Fay	N/A	Joan M. Traub, Esq.	1
20-03020	Orlando, FL	09/08/2020	08/26/2021	09/17/2021	CliftonLarsonAllen Wealth Advisors LLC	ISC	James Clemensen	2144853	HLBS Law	OB	NO	1	D	N/A	James Clemensen	Gerald Thomas Harper	1
20-03021	San Juan, PR	09/04/2020	03/18/2021	03/24/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross; Pietrantonio Mendez & Alvarez	Hector J. Gonzalez	5330726	Toro Colon Mullet PSC	NO	NO	2	G	Hector J. Gonzalez	N/A	Martin A. Feigenbaum, Esq.	1

20-03023	Boca Raton, FL	09/04/2020	05/24/2021	06/01/2021	NewBridge Securities Corporation ; Wells Fargo Advisors Financial Network	Kaufman Dolowich & Voluck LLP (NBS); ISC (WFA)	Peter Lewis Goffin	1617710	Sallah Astarita & Cox LLC	NO	NO	NO	4	G	Peter Lewis Goffin	N/A	Will Murphy, Esq.	1
20-03024	San Francisco, CA	09/04/2020	04/01/2021	04/06/2021	LPL Financial LLC	ISC	John Ernest Orito	2008254	HLBS Law	NO	NO	NO	1	G	John Ernest Orito	N/A	Michael Lancaster Garcia	1
20-03027	Boca Raton, FL	09/04/2020	05/26/2021	07/12/2021	Spartan Capital Securities LLC	ISC	Thomas John Briguccia, Jr.	2008254	Jenks & Harvey	NO	NN	NO	9	G	Thomas John Briguccia, Jr.	N/A	Will Murphy, Esq.	1
20-03028	Portland, OR	09/04/2020	08/10/2021	09/08/2021	Berthel Fisher & Company Financial Services Incorporated; LPL Financial LLC	ISC	Joshua Eugene Stroud	4448453	AdvisorLaw LLC	NO	NO	NO	5	G	Joshua Eugene Stroud	N/A	Daniel B. MacLeod, Esq.	3
20-03029	Dallas, TX	09/08/2020	06/30/2021	07/16/2021	Avantax Investment Services Incorporated	ISC	Troy Allan Chesnut	1857549	AdvisorLaw LLC	NO	NN	NO	1	G	Troy Allan Chesnut	N/A	C. Sumpter Logan	1
20-03035	Louisville, KY	09/08/2020	03/03/2021	03/11/2021	UBS Financial Services Incorporated	ISC	Andrew William Arnold	2424616	FA Expungement	NO	D	NO	1	G	Andrew William Arnold	N/A	James A. McIntosh	1
20-03037	Boca Raton, FL	09/08/2020	05/14/2021	05/19/2021	Morgan Stanley & Company LLC; Wells Fargo Clearing Services LLC	ISC	Peter Anthony Nicoletti	4132229	Schwartz Legal PLLC	NO	NN	NO	3	G	Peter Anthony Nicoletti	N/A	Will Murphy, Esq.	1
20-03039	Washington, DC	09/08/2020	10/12/2021	10/26/2021	Robertson Stephens Incorporated	No-show	Roger Daniel Follis	2653439	Judex Law LLC	NO	NO	NO	1	G	Roger Daniel Follis	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-03040	Denver, CO	09/08/2020	04/29/2021	05/17/2021	First Allied Securities Incorporated	ISC	Joseph Sylvester Sturniolo	1094557	HLBS Law	NO	NO	NO	2	G	Joseph Sylvester Sturniolo	N/A	Philip J. Glick, Esq.	1

20-03042	Birmingham, AL	09/08/2020	03/12/2021	04/09/2021	Wells Fargo Clearing Services LLC	ISC	David Robert Golson	2266707	Bressler Amery & Ross	NO	NO	4	G	David Robert Golson	N/A	Robert J. Gregory	1	
20-03046	San Francisco, CA	09/08/2020	08/20/2021	08/25/2021	Wells Fargo Clearing Services LLC	ISC	Corey N. Daniel	4413809	HLBS Law	OB	NO	1	G	Corey N. Daniel	N/A	Arocles Aguilar	1	
20-03047	San Francisco, CA	09/08/2020	03/09/2022	03/18/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Matthew Krieger	2441634	HLBS Law	NO	NN	NO	3	G	Robert Matthew Krieger	N/A	John J. Fitzpatrick, Jr., Esq.	1
20-03049	Washington, DC	09/10/2020	03/24/2021	03/29/2021	JHS Capital Advisors Incorporated	No-show	John Joseph Cortale	4407350	Berger Law Group PC	NO	NO	1	G	John Joseph Cortale	N/A	Richard P. Regan, Esq.	1	
20-03051	San Francisco, CA	09/08/2020	05/06/2021	05/25/2021	AG Edwards & Sons Incorporated; Morgan Stanley & Company LLC	ISC (AGE); Keesal Young & Logan (MS&C)	Christopher Brian Carolan	4402629	Gonser Law PC	NO	NO	2	G	Christopher Brian Carolan	N/A	Philip Aaron Tymon, JD	1	
20-03052	Los Angeles, CA	09/08/2020	07/13/2021	08/03/2021	Vanguard Capital; Western International Securities Incorporated	ISC (VC); Markun Zusman et al. (WIS)	Robin Lee Taliaferro	442144	HLBS Law	NO	NO	3	G	Robin Lee Taliaferro	N/A	Gregory Douglas Stone	1	
20-03053	Portland, OR	09/09/2020	05/11/2021	05/18/2021	Piper Sandler & Company	ISC	Mark Kim Gaskill	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Mark Kim Gaskill	Katherine Hendricks, Esq.	1	
20-03054	Jersey City, NJ	09/08/2020	05/07/2021	05/11/2021	Aegis Capital Corporation	ISC	Gerald Richard Sharpe	2109210	Kaufman Dolowich & Voluck LLP	NO	NO	1	G	Gerald Richard Sharpe	N/A	Martin R. Cramer	1	
20-03057	San Francisco, CA	09/08/2020	07/15/2021	07/29/2021	BrokerBank Securities Incorporated	ISC	Justin Matthew Bachman	6412695	HLBS Law	NO	NO	1	G	Justin Matthew Bachman	N/A	Ralph A. Cotton, CPA	1	
20-03059	Los Angeles, CA	09/08/2020	05/27/2021	06/04/2021	UBS Financial Services Incorporated	John Murphy & Associates	Bradley Alexander Finnigan	4562098	HLBS Law	NO	NO	2	G	Bradley Alexander Finnigan	N/A	Kirtley M. Thiesmeyer, Esq.	1	

20-03060	San Juan, PR	09/08/2020	08/04/2021	08/10/2021	Santander Securities LLC	Pietrantonio Mendez & Alvarez	Christopher Thomas McDowall	2729031	AdvisorLaw LLC	NO/NN	NO	12	G/D	Christopher Thomas McDowall	N/A	Elena G. Rodriguez	1
20-03061	Reno, NV	09/08/2020	05/25/2021	06/07/2021	Cetera Advisor Networks LLC	ISC	Joanna Moran	4457945	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Joanna Moran	N/A	Michael Lancaster Garcia	1
20-03062	Jersey City, NJ	09/08/2020	04/07/2021	04/14/2021	Signator Investors Incorporated	ISC	Robert James Ferrari	2269841	AdvisorLaw LLC	NO	NO	1	G	Robert James Ferrari	N/A	Linda J. Baer, Esq.	1
20-03063	Jacksonville, FL	09/09/2020	03/04/2021	03/08/2021	Morgan Stanley	ISC	John Emerson Porter	2891488	Bressler Amery & Ross	NO	NO	2	G	John Emerson Porter	N/A	Richard S. Zaifert, Esq.	1
20-03069	New York, NY	09/09/2020	08/22/2022	02/02/2023	National Securities Corporation	ISC	Patrick Jude Esparrago	2547500	The Rosenfeld Law Office	NO	NO	1	G	Patrick Jude Esparrago	N/A	Rory M. McLaughlin, Esq.	2
20-03070	New York, NY	09/09/2020	05/04/2021	03/29/2022	Oppenheimer & Company Incorporated	ISC	Patrick Jude Esparrago	2547500	The Rosenfeld Law Office	NO	NO	1	G	Patrick Jude Esparrago	N/A	Cheryl H. Agris, PhD	2
20-03071	San Francisco, CA	09/09/2020	10/26/2021	11/10/2021	Citicorp Investment Services	No-show	Mathew Paul Schweifler	2229762	The Rosenfeld Law Office	UN	NO	1	D	N/A	Mathew Paul Schweifler	Mary Margaret Bush, Esq.	1
20-03073	Houston, TX	09/09/2020	03/23/2021	03/25/2021	H Beck Incorporated	ISC	Robert Earl Mabe	2542849	FA Expungement	NO	NO	1	G	Robert Earl Mabe	N/A	Daniel J. Pagnano, Esq.	1
20-03074	Chicago, IL	09/09/2020	04/29/2021	05/10/2021	Edward D Jones & Company Limited Partnership		Keesal Young & Logan	5068932	Gregory B. Simon Law LLC	NO/NN	NO	1	G	Ryan Allan Brault.	N/A	Susanne J. Hollander, Esq.	1
20-03076	Montpelier, VT	09/09/2020	03/16/2021	03/25/2021	Oleet Securities LLC	No-show	Jason Adam Oleet	4644826	FA Expungement	NO	NO	1	G	Jason Adam Oleet	N/A	Douglas M. Branson, LLM	1
20-03077	Columbus, OH	09/09/2020	03/25/2021	03/26/2021	NYLife Securities LLC		Lubarsky Law Firm PLLC	6059029	Louviere Law Firm PA	NO	NO	1	G	William Wei-Kuang Ho	N/A	John F. Burns, Esq.	1
20-03080	Columbia, SC	09/09/2020	01/29/2021	02/05/2021	Wells Fargo Advisors Financial Network LLC		Robinson Bradshaw & Hinson	2366552	McCullough Khan LLC	OB	NO	1	G	Jeffrey Lamar Burton.	N/A	John P. Cullem, Esq. - Chair; Richard S. Zaifert, Esq.; Christopher Cecil Lamb	1
20-03082	Oklahoma City, OK	09/09/2020	04/01/2021	04/07/2021	Edward D Jones & Company Limited Partnership		Keesal Young & Logan	6411443	Bressler Amery & Ross	OB	NO	1	G	Jason D. Hudson	N/A	Jeffrey R. Jury	1

20-03084	New York, NY	09/09/2020	04/06/2021	04/16/2021	Laidlaw & Company (UK) Limited	ISC	Kevin Richard Wilson	3262701	Baritz & Colman	NO	NO	3	G	Kevin Richard Wilson	N/A	Howard D. Jacob, Esq.	1	
20-03085	Boca Raton, FL	09/09/2020	11/03/2021	11/12/2021	Chase Investment Services Corporation ; LPL Financial LLC	Ulmer & Berne (CIS); ISC (LPL)	Samuel Izaguirre	4835113	Ghabai Law Group LLC	NO	NO	3	G	Samuel Izaguirre	N/A	Kimberly A. Gilmour, Esq.	1	
20-03092	San Diego, CA	09/09/2020	04/05/2021	04/13/2021	Edward Jones	ISC	David S. Tam	4625284	Keesal Young & Logan	NO	NO	1	G	David S. Tam	N/A	Robert E. Jenks	1	
20-03093	San Francisco, CA	09/09/2020	02/26/2021	03/22/2021	First Allied Securities Incorporated	ISC	Virgil John Threlkeld	2811386	Barr & Young Attorneys	OB	NO	1	G	Virgil John Threlkeld	N/A	David J. Romanski, Esq.	1	
20-03094	Charlotte, NC	09/09/2020	11/18/2021	12/02/2021	Kalos Capital Incorporated	ISC	Joseph Patrick Roop	2774470	AdvisorLaw LLC	NO	NO	2	G/D	Joseph Patrick Roop	N/A	Mary E. Woytek, Esq.	2	
20-03097	Houston, TX	09/10/2020	06/02/2021	06/14/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael Calvin	3269670	AdvisorLaw LLC	NO	NO	2	G	Michael Calvin	N/A	Brian James Tagtmeier	1	
20-03098	Atlanta, GA	09/10/2020	12/09/2020	12/23/2020	UBS Financial Services Incorporated	ISC	Jon Paul LeDoyen; Jeremy W. Mykulak	2231682	Bressler Amery & Ross	NO	NO	2	G	Jon Paul LeDoyen; Jeremy W. Mykulak	N/A	Harvey R. Linder, Esq.	1	
20-03100	Los Angeles, CA	09/09/2020	12/13/2021	12/15/2021	Ameritas Investment Company LLC	ISC	Toni Lynn Iannarelli	1193641	The Rosenfeld Law Office	NO	NO	1	G	Toni Lynn Iannarelli	N/A	Robert E. Jenks	1	
20-03101	Seattle, WA	09/09/2020	08/19/2021	09/10/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Phil Scott	1306585	AdvisorLaw LLC	UN	NO	3	D	N/A	Phil Scott	Jane Ann McKenzie	1	
20-03102	Seattle, WA	09/09/2020	04/20/2021	05/03/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Phil Scott	1306585	AdvisorLaw LLC	NO	NN	NO	4	G/D	Phil Scott	N/A	Robert M. Stein, Esq.	1

20-03103	New York, NY	09/09/2020	09/13/2022	09/26/2022	Woodstock Financial Group Incorporated	No-show	Stephen Mark Kiront	2009609	Baritz & Colman	NO	NO	3	G	Stephen Mark Kiront	N/A	Anna M. Fanelli, Esq.	1
20-03106	Syracuse, NY	09/09/2020		04/16/2021	Keybank Capital Markets Incorporated	Ulmer & Berne	George Peter Koulouris	U	Farrar Law PLLC	UN	OB E	4	D	N/A	George Peter Koulouris	Stuart M. Schwartz, Esq.	0
20-03114	Houston, TX	09/10/2020	03/09/2021	03/22/2021	Ameriprise Financial Services LLC	ISC	Darrell Ray Pennington	2686580	Saretsky Hart et al.	NO	NO	2	G	Darrell Ray Pennington	N/A	Allan R. Lazor, Esq.	1
20-03115	Minneapolis, MN	09/10/2020	04/16/2021	04/20/2021	Ameriprise Financial Services LLC	ISC	Michelle Annette Young	3077583	Saretsky Hart et al.	NO	NO	1	G	Michelle Annette Young	N/A	Carl E. Ver Beek, JD	1
20-03116	Cincinnati, OH	09/10/2020	05/10/2021	05/14/2021	UBS Financial Services Incorporated	John Murphy & Associates	Shaun Perry Nicholson	729670	HLBS Law	NO	NO	1	G	Shaun Perry Nicholson	N/A	Robert J. Scafuri, Esq.	1
20-03118	Chicago, IL	09/10/2020	09/07/2021	09/15/2021	Wells Fargo Clearing Services LLC	ISC	Jay Alan Cunningham	729670	AdvisorLaw LLC	NO	NO	1	G	Jay Alan Cunningham	N/A	James J. Stamos, Esq.	1
20-03119	New York, NY	09/10/2020	09/07/2021	09/16/2021	National Securities Corporation ; First Montauk Securities Corporation	ISC	Michael Fasciglione	1806486	Judex Law LLC	NO	NO	3	G	Michael Fasciglione	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-03121	Hartford, CT	09/10/2020	05/20/2021	06/10/2021	Edward Jones; Investors Capital Corporation	Quarles & Brady LLP (EDJ); No-show (IC)	Marianne Oshee Smith	1587765	FA Expungement	NO	NO	1	G	Marianne Oshee Smith	N/A	Steven R. Rolnick, Esq.	1
20-03122	Los Angeles, CA	09/10/2020	05/12/2021	05/27/2021	Centaurus Financial Incorporated; LPL Financial LLC	ISC	Calvin Todd Halterman	3147472	The Law Offices of Tyson W. Kovash	NO	NO	1	G	Calvin Todd Halterman	N/A	Benjamin F. Breslauer	1
20-03123	Los Angeles, CA	09/10/2020	06/03/2021	06/16/2021	Centaurus Financial Incorporated	ISC	Timothy Neil Tremblay	1201542	The Law Offices of Tyson W. Kovash	NO	NO	4	G/D	Timothy Neil Tremblay	N/A	Andrew M. Mintzer, CPA	1

20-03124	Boca Raton, FL	09/10/2020	06/10/2021	06/14/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Conway	1201542	HLBS Law	NO	NO	1	G	Thomas Conway	N/A	Elena G. Rodriguez	1
20-03127	New York, NY	09/10/2020	05/10/2021	05/13/2021	Oppenheimer & Company Incorporated	ISC	David Jonathon Feigeles	1530561	Weltz Kakos et al.	NO	NO	2	G	David Jonathon Feigeles	N/A	Betty Chen	1
20-03128	San Francisco, CA	09/10/2020	05/19/2021	06/03/2021	Pacific West Securities Incorporated	No-show	Donna Marie Stevenson	2856535	Barr & Young	NO UN	NO	2	G/D	Donna Marie Stevenson	N/A	Kevin C. Coleman, JD	1
20-03130	Los Angeles, CA	09/10/2020	08/05/2021	08/19/2021	National Planning Corporation	Saretsky Hart et al.	Jayne Marie P. Sullivan	2539896	HLBS Law	NO	NO	1	G	Jayne Marie P. Sullivan	N/A	Robert E. Jenks	1
20-03132	Philadelphia, PA	09/10/2020	04/06/2021	04/13/2021	Cincinnati Analysts Incorporated fka Capital Analysts Incorporated	ISC	Julia A. Brufke Wenger	3100187	Louviere Law Firm PA	NN	NO	1	G	Julia A. Brufke Wenger	N/A	Guillermo L. Bosch, Esq.	1
20-03133	Los Angeles, CA	09/10/2020	03/02/2021	03/19/2021	Dorman Skorheim Wealth Management LLC	ISC	Jeffrey James Dorman	702817	Law Offices of David Harrison PC	NN	NO	1	G	Jeffrey James Dorman	N/A	Alan Stamm, Esq.	1
20-03134	New York, NY	09/10/2020	08/26/2021	09/08/2021	National Securities Corporation	ISC	Mark Sam Kolta	5324620	Judex Law LLC	NO	NO	2	G	Mark Sam Kolta	N/A	Sandra J. Mullings, Esq.	1
20-03135	Dallas, TX	09/11/2020	06/23/2021	08/06/2021	Principal Securities Incorporated	Maynard Cooper & Gale	Wesley Ryon Sorensen	4796735	AdvisorLaw LLC	NO	NO	3	G	Wesley Ryon Sorensen	N/A	Robert J. Gregory	1
20-03136	Las Vegas, NV	09/10/2020	03/25/2021	04/08/2021	Morgan Stanley	Greenberg Traurig LLP	Mitchell Dean Horst	4935063	FA Expungement	NO	NO	2	G	Mitchell Dean Horst	N/A	Thomas E. Shuck, Esq.	1
20-03138	Jersey City, NJ	09/10/2020	02/04/2021	02/22/2022	Hennion & Walsh Incorporated	ISC	Brian Rieman	4935063	Hennion & Walsh Incorporated	NO	NO	2	G	Brian Rieman	N/A	Edith M. Novack, Esq.	4
20-03140	Tampa, FL	09/11/2020	07/13/2021	08/09/2021	Prime Capital Services Incorporated	ISC	James Cosmo Ciocia	1619245	Judex Law LLC	NO-D	NO	1	G	James Cosmo Ciocia	N/A	Karimu F. Hill-Harvey, Esq.	3

20-03141	Jersey City, NJ	09/10/2020	03/22/2021	04/06/2021	Hennion & Walsh Incorporated	ISC	Justin Taejun Yoon	3258911	Hennion & Walsh Incorporated	NO	NO	2	G/D	Justin Taejun Yoon	N/A	Louis H. Miron, Esq.	1
20-03142	San Diego, CA	09/10/2020	09/28/2021	10/07/2021	Securities America Incorporated	Freeman Mathis & Gray	Paul Avila Neves	2019963	Judex Law LLC	NO	NO	1	G	Paul Avila Neves	N/A	Kirtley M. Thiesmeyer, Esq.	1
20-03143	Jersey City, NJ	09/10/2020	04/12/2021	04/23/2021	Triad Advisors LLC	ISC	Jason M. Lavigne	4499856	Kaufman Dolowich & Voluck LLP	NO	NO	1	G	Jason M. Lavigne	N/A	Paul Allan Massaro	1
20-03144	Tampa, FL	09/11/2020	07/15/2021	07/30/2021	Invest Financial Corporation ; Transamerica Financial Advisors Incorporated	Saretsky Hart et al. (IFC); ISC (TFA)	Garyn Ian Angel	3172630	Sallah Astarita & Cox LLC	NO/NN	NO	4	G/D/W	Garyn Ian Angel	N/A	Richard S. Zaifert, Esq.	1
20-03145	Columbia, SC	09/10/2020	03/25/2021	03/31/2021	LPL Financial LLC	ISC	Lee M. Goodin	6105653	Ghabai Law Group LLC	NO	NO	1	G	Lee M. Goodin	N/A	John P. Cullem Esq.	1
20-03146	New York, NY	09/10/2020	08/10/2021	08/23/2021	National Securities Corporation	ISC	Stuart Leighton Updegrove	2273334	Judex Law LLC	NO	NO	3	G	Stuart Leighton Updegrove	N/A	Ira A. Auerbach	1
20-03147	Chicago, IL	09/11/2020	04/22/2021	06/23/2021	Taylor Capital Management Incorporated	No-show	Justin Jake Reppy; Brian Koriemek	6383911	Lewitas Hyman PC	OB/NO	NO	7	G/D	Justin Jake Reppy	Brian Koriemek	Leon Fox, JD	2
20-03148	New York, NY	09/27/2020	08/17/2021	09/27/2021	National Securities Corporation ; Oppenheimer & Company Incorporated	ISC	Michael Fasciglione	1806486	Judex Law LLC	NO	NO	2	G	Michael Fasciglione	N/A	Amy Jill Baranoff	2
20-03150	Chicago, IL	09/11/2020	03/24/2021	03/25/2021	Morgan Stanley & Company Incorporated	ISC	Thomas Andrew Paulson	1703308	Lewitas Hyman PC	NO	NO	1	G	Thomas Andrew Paulson	N/A	Susanne J. Hollander, Esq.	1
20-03151	Houston, TX	09/11/2020	09/10/2021	09/14/2021	USCA Securities LLC; USCA RIA LLC	ISC	Matthew Brooke West	2554449	AdvisorLaw LLC	OB	NO	1	G	Matthew Brooke West	N/A	Lynne M. Gomez, Esq.	1

20-03154	New York, NY	09/10/2020	09/14/2021	09/28/2021	National Securities Corporation	ISC	Matthew Fleissner	5849065	Judex Law LLC	NO	NO	2	G	Matthew Fleissner	N/A	Robert E. Anderson, Esq.	1
20-03157	New York, NY	09/11/2020	04/20/2021	04/23/2021	American Portfolio Financial Services Incorporated	ISC	Jimmy William Kuhn	3260491	RJM Counsel PLLC	NO	NO	3	G	Jimmy William Kuhn	N/A	Ellyn S. Roth	1
20-03159	Jersey City, NJ	09/11/2020	03/03/2021	03/08/2021	Hennion & Walsh Incorporated	ISC	Rachel Cabiltes Leventhal	4426047	Hennion & Walsh Incorporated	NO	NO	1	G	Rachel Cabiltes Leventhal	N/A	Paul Allan Massaro	1
20-03163	Tampa, FL	09/11/2020	05/20/2021	05/26/2021	Transamerica Financial Advisors Incorporated	ISC	Bruce Albert Slater	1547792	Farrar Law PLLC	OB/NO	NO	3	D	N/A	Bruce Albert Slater	Jeffry Mark Bauer, Esq.	2
20-03166	New York, NY	09/11/2020	04/13/2021	04/16/2021	UBS Financial Services Incorporated	John Murphy & Associates	Sharon Suzanne Paul	3084380	Law Offices of Amy Bard	NO	NO	1	G	Sharon Suzanne Paul	N/A	Carolyn A. Mann	1
20-03171	San Francisco, CA	09/14/2020	04/13/2021	04/29/2021	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Anna Vucurevich Jenkins	2837881	Gonser Law PC	NO	NO	2	G	Anna Vucurevich Jenkins	N/A	William Michael Samsel	1
20-03172	San Juan, PR	09/11/2020	08/03/2021	08/10/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Anita M. Brennan; Marina Sonya Tudela.	858500; 2269112	McConnell Valdes LLC	NO	NO	2	G	Anita M. Brennan; Marina Sonya Tudela.	N/A	Christopher J. Klein, Esq.	1
20-03173	Jersey City, NJ	09/11/2020	04/05/2021	04/07/2021	Josephthal & Company Incorporated	No-show	Michael Haskel Nessim	2269112	Ruskin Moscou Faltischek PC	NN	NO	1	G	Michael Haskel Nessim	N/A	Robert E. Anderson, Esq.	1
20-03174	Rapid City, SD	09/11/2020	03/09/2021	03/15/2021	LPL Financial LLC	ISC	David Dale Donat	2927716	Louviere Law Firm PA	NO	NO	1	G	David Dale Donat	N/A	Peter H. Daly	1
20-03175	Jersey City, NJ	09/11/2020	06/22/2021	06/28/2021	Josephthal & Company Incorporated	ISC	Michael Haskel Nessim	2573543	Ruskin Moscou Faltischek PC	NO	NO	1	G	Michael Haskel Nessim	N/A	Julian F. Santos, Esq.	1

20-03176	Los Angeles, CA	09/11/2020	06/10/2021	07/02/2021	Madison Avenue Securities LLC; Syndicated Capital Incorporated	Kob Law (MAS); No-show (SC)	Meagan Nicole Phelps	4064499	FA Expungement	NO	NO	1	G	Meagan Nicole Phelps	N/A	Benjamin F. Breslauer	1
20-03177	Phoenix, AZ	09/11/2020	03/16/2021	03/18/2021	Geneos Wealth Management Incorporated	Kutak Rock LLP	Todd Ray Anderson	1896352	Ruskin Moscow Faltischek PC	NO	NO	1	G	Todd Ray Anderson	N/A	Merton E. Marks, Esq.	1
20-03178	Phoenix, AZ	09/11/2020	04/16/2021	04/21/2021	NyLife Securities LLC	Lubarsky Law Firm PLLC	Todd Ray Anderson	1896352	Ruskin Moscow Faltischek PC	NO	NO	1	G	Todd Ray Anderson	N/A	Timothy J. Kroll, MS	1
20-03180	Jersey City, NJ	09/15/2020	05/24/2021	06/03/2021	American Portfolios Financial Services Incorporated	No-show	Chi-Hong Chu	4615119	RJM Counsel PLLC	NO	NO	3	G	Chi-Hong Chu	N/A	Robert E. Anderson, Esq.	1
20-03181	New York, NY	09/11/2020	10/13/2021	10/22/2021	Morgan Stanley DW Incorporated; American Capital Partners LLC	ISC	Timothy V. Longo	305969	Sichenzia Ross Ference LLP	NO/NN	NO	3	G	Timothy V. Longo	N/A	Josian Antoine, Esq.	1
20-03183	New York, NY	09/11/2020	09/15/2021	09/22/2021	Morgan Stanley DW Incorporated; Trident Partners Limited	ISC (MSDW); No-show (TP)	Timothy Vincent Longo	3059691	Sichenzia Ross Ference LLP	NO	NO	2	G	Timothy Vincent Longo	N/A	Patricia Kathleen Costello	1
20-03184	Houston, TX	09/11/2020	05/28/2021	06/03/2021	First Allied Securities Incorporated	ISC	William Frederick Fox	1522234	RJM Counsel PLLC	NO/NN	NO	2	G	William Frederick Fox	N/A	Sherry R. Wetsch, Esq.	1
20-03185	New York, NY	09/11/2020	10/14/2021	11/05/2021	American Capital Partners LLC; Trident Partners Limited	ISC	Timothy V. Longo	3059691	Sichenzia Ross Ference LLP	NO	NO	2	G	Timothy V. Longo	N/A	Susan A. Romano	1

20-03186	San Juan, PR	09/11/2020	05/20/2021	05/21/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	James Malcom Ugobono	4032530	McConnell Valdes LLC	NO	NO	1	G	James Malcom Ugobono	N/A	Louis David Huss	1
20-03187	Kansas City, MO	09/11/2020	04/27/2021	04/29/2021	UBS Financial Services Incorporated	John Murphy & Associates	Christopher Lee Walker	U	Judex Law LLC	UN	NO	3	D	N/A	Christopher Lee Walker	C. Sumpter Logan	1
20-03188	New York, NY	09/11/2020	10/22/2021	11/18/2021	American Capital Partners LLC	ISC	Erik John Drewes	2187363	Sichenzia Ross Ference LLP	NO	NO	2	G	Erik John Drewes	N/A	Brian John Gallagher	1
20-03189	New York, NY	09/11/2020	10/26/2021	02/22/2022	UBS Financial Services Incorporated	John Murphy & Associates	Vincent John Fiorentino	1557805	The Galbraith Law Firm LLC	OB	NO	1	G	Vincent John Fiorentino	N/A	Richard W. Cutler, Esq.	11
20-03191	New York, NY	09/11/2020	07/14/2021	07/22/2021	American Capital Partners LLC	ISC	Jason Luke Zahtila	4009691	Sichenzia Ross Ference LLP	NO/NN	NO	2	G	Jason Luke Zahtila	N/A	Howard L. Sobel	1
20-03192	Columbia, SC	09/11/2020	11/03/2021	11/24/2021	UBS Financial Services Incorporated	John Murphy & Associates	David George Ruckno	3053803	Simms Law	OB/NO	NO	2	G	David George Ruckno	N/A	John P. Cullem, Esq.	1
20-03193	Boca Raton, FL	09/11/2020	06/09/2021	06/21/2021	Raymond James Financial Services Incorporated	ISC	John Edward Cassandra	4270866	Zadanosky & Associates PA	NO	NO	3	G	John Edward Cassandra	N/A	Monica I. Salis, Esq.	2

20-03194	Boca Raton, FL	09/11/2020	04/22/2021	04/29/2021	Citicorp Investment Services; Banc of America Investment Services Incorporated; Wells Fargo Clearing Services LLC; Wells Fargo Securities LLC	Kauff Laton Miller LLP (CIS); Bressler Amery & Ross (BAIS); ISC (WFCS & WFS)	Charles K. Miller	1510072	Louviere Law Firm PA	NO	NO	3	G	Charles K. Miller	N/A	Martin A. Feigenbaum, Esq.	1
20-03195	New York, NY	09/11/2020	11/17/2021	12/01/2021	American Capital Partners LLC	ISC	Jason Luke Zahtila	4009691	Sichenzia Ross Ference LLP	OB/NO	NO	2	G	Jason Luke Zahtila	N/A	Ellyn S. Roth	1
20-03196	New York, NY	09/11/2020	01/06/2022	01/11/2022	American Capital Partners LLC; Commerce One Financial Incorporated	ISC	Jason Luke Zahtila	4009691	Sichenzia Ross Ference LLP	NO	NO	2	G	Jason Luke Zahtila	N/A	Madelon M. Rosenfeld, Esq.	1
20-03197	Columbia, SC	09/11/2020	07/08/2021	07/19/2021	UBS Financial Services Incorporated	John Murphy & Associates	David Ruckno	3053803	Simms Law PA	NO	NO	2	G	David Ruckno	N/A	Harvey R. Linder, Esq.	1
20-03198	Columbia, SC	09/11/2020	09/28/2021	09/30/2021	UBS Financial Services Incorporated	John Murphy & Associates	David Ruckno	3053803	Simms Law PA	NO	NO	1	G	David Ruckno	N/A	Stuart K. Furman	1
20-03201	Philadelphia, PA	09/11/2020	12/02/2020	12/08/2020	UBS Financial Services Incorporated	ISC	Bradford S. Bernstein	3275375	Bressler Amery & Ross	NO/NN	NO	2	G	Bradford S. Bernstein	N/A	Julie K. Chapin	1
20-03202	Jersey City, NJ	09/15/2020	05/05/2021	05/24/2021	American Portfolios Financial Services Incorporated	No-show	Chi-Hong (Simon) Chu	4615119	RJM Counsel PLLC	OB/NO	NO	3	G	Chi-Hong (Simon) Chu	N/A	Marvin L. Schuldiner	1

20-03203	New York, NY	09/11/2020	06/10/2021	08/02/2021	Stifel Nicolaus & Company Incorporated	ISC	Ari Jordan Spar	U	AdvisorLaw LLC	OB/NO	NO	2	D	N/A	Ari Jordan Spar	William G. Binckes, Esq.	2
20-03205	Atlanta, GA	09/11/2020	03/30/2021	04/16/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kevin W. Higginbotham	U	Kalberer LLP	UN	NO	2	D	N/A	Kevin W. Higginbotham	Mollie Wagner Neal, Esq.	1
20-03206	Atlanta, GA	09/11/2020	03/29/2021	04/13/2021	LPL Financial Corporation	ISC	Paul Kell Kiker	4066487	Councill & Gunnemann	NO	NO	2	G/D	Paul Kell Kiker	N/A	Harry G. Mason, JD - Chair; James R. Stewart, Jr.; Philip Michael Moran	1
20-03207	New York, NY	09/11/2020	06/29/2021	07/20/2021	Royal Alliance Associates Incorporated; Vanderbilt Securities LLC	ISC (RAA); Charles M. O'Rourke (VS)	Scott M. Fitzgerald	2149097	Offit Kurman LLP	NN	NO	2	G	Scott M. Fitzgerald	N/A	Eugene G.P. Byrne, Esq.	2
20-03210	Boca Raton, FL	09/11/2020	08/06/2021	08/18/2021	Morgan Stanley; The GMS Group LLC	ISC (MSSB); Law Offices of Matthew E. Lipman (TGMSG)	Michael Robert Greenfield	5406611	Simms Law PA	NO	NO	4	G	Michael Robert Greenfield	N/A	Leslie L. Cooney, Esq.	1
20-03214	Atlanta, GA	09/11/2020	06/24/2021	07/08/2021	American Wealth Management Incorporated	The Beck Law Firm LLC	Jason Lee Seale	1874548	FA Expungement	NO	NO	3	G	Jason Lee Seale	N/A	Michael J. Ahlstrom, Esq.	1
20-03215	New York, NY	09/21/2020	02/07/2022	03/02/2022	Laidlaw & Company (UK) Limited; Sands Brothers & Company Limited	ISC	Todd A. Cirella	2396336	Sichenzia Ross Ference LLP	NO	NO	4	G	Todd A. Cirella	N/A	Gerald M. Levine	1
20-03217	Birmingham, AL	09/11/2020	04/13/2021	04/28/2021	Ameriprise Financial Services LLC	ISC	William Lance Hocutt	2948022	Michael Best & Friedrich	NO	NO	3	G	William Lance Hocutt	N/A	Joseph Neal Richardson	1

20-03218	New York, NY	09/11/2020	08/04/2021	09/03/2021	American Capital Partners LLC; Joseph Gunnar & Company LLC; AR Baron & Company Incorporated	ISC (APC & JG&C); No-show (ARB&C)	Kevin John McPhee	2316848	Sichenzia Ross Ference LLP	NO/NN	NO	2	G	Kevin John McPhee	N/A	Amy Jill Baranoff	1
20-03220	New York, NY	09/11/2020	07/08/2021	07/15/2021	John Thomas Financial; Hunter Scott Financial LLC; Aegis Capital Corporation	ISC	Dennis Daniel Herrera	4618370	Sichenzia Ross Ference LLP	NO	NO	2	G	Dennis Daniel Herrera	N/A	Gerald M. Levine	1
20-03221	Jersey City, NJ	09/11/2020	03/09/2021	03/18/2021	UBS Financial Services Incorporated	ISC	Angus Miller	2875170	Bressler Amery & Ross	NO/NN	NO	2	G	Angus Miller	N/A	Louis H. Miron, Esq.	1
20-03222	Tampa, FL	09/24/2020	05/21/2021	07/27/2021	Edward D Jones & Company Limited Partnership aka Edward Jones	Quarles & Brady	Gerald J. O'Halloran.	1056697	Farrar Law PLLC	NO/NN	NO	3	G	Gerald J. O'Halloran.	N/A	Langfred W. White, Esq.	2
20-03223	Tampa, FL	09/11/2020	07/15/2021	12/17/2021	AG Edwards & Sons Incorporated; Edward Jones	ISC (AGE); Quarles & Brady LLP (EDJ)	Gerald James O'Halloran	U	Farrar Law PLLC	UN	NO	2	D	N/A	Gerald James O'Halloran	Darryl C. Wilson, Esq.	2
20-03224	New York, NY	09/11/2020	10/21/2021	10/28/2021	American Capital Partners LLC; South Richmond Securities Incorporated; Kensington Wells Incorporated	ISC	Erik John Drewes	2187363	Sichenzia Ross Ference LLP	NO	NO	3	G	Erik John Drewes	N/A	Michael H. DuBoff, Esq.	1

20-03225	Detroit, MI	09/11/2020	02/12/2021	02/26/2021	Cambridge Investment Research Incorporated; MKD Wealth Coaches LLC	ISC	Joseph Edgar Mackey	4531242	Bressler Amery & Ross	NO	NO	1	G	Joseph Edgar Mackey	N/A	Patrick R. Sughroue, Esq.	1
20-03226	Boca Raton, FL	09/11/2020	06/21/2022	06/28/2022	Popular Securities LLC; Citigroup Global Markets Incorporated	ISC (PS); Kauff Laton Miller LLP (CGM)	Raquel Gonzalez Chavez	1146086	Haselkorn & Thibaut	NO/NN	NO	13	G/D/W	Raquel Gonzalez Chavez	N/A	Leslie L. Cooney, Esq.	1
20-03228	Tampa, FL	09/11/2020	09/16/2021	10/26/2021	Kovack Securities Incorporated	ISC	Gerald James O'Halloran	U	Farrar Law PLLC	OB/NO	NO	3	D	N/A	Gerald James O'Halloran	David M. Snyder, Esq.	1
20-03230	New York, NY	09/11/2020	04/02/2021	08/01/2022	Joseph Gunnar & Company LLC; LPL Financial LLC	ISC	Ryan Christopher Faley	2796674	Daley Law Group	NO	OB E	3	G	Ryan Christopher Faley	N/A	Serge Krimnus	2
20-03234	Tampa, FL	09/14/2020	11/10/2021	09/15/2022	J Gregory & Company Incorporated; Salomon Grey Financial Corporation	No-show	Raymond Walter Robert Borota II	1950804	Farrar Law PLLC	NN	NO	3	G	Raymond Walter Robert Borota II	N/A	Nicholas John Taldone, Esq.	3
20-03237	San Juan, PR	09/11/2020	06/18/2021	07/01/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Xavier A. Aguayo	2926408	Toro Colon Mullet PSC	NO	NO	6	G	Xavier A. Aguayo	N/A	Louis David Huss	1
20-03240	San Juan, PR	09/11/2020	05/13/2021	05/18/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Xavier A. Aguayo	2926408	Toro Colon Mullet PSC	NO	NO	4	G	Xavier A. Aguayo	N/A	Louis David Huss	1
20-03241	Dallas, TX	09/12/2020	03/16/2021	03/23/2021	MML Investors Services LLC	Stevens & Lee	Stephen Wayne Wingard	2746603	Louviere Law Firm PA	NO	NO	1	G	Stephen Wayne Wingard	N/A	C. Sumpter Logan	1

20-03242	San Francisco, CA	09/11/2020	12/11/2020	12/24/2020	UBS Financial Services Incorporated	ISC	Marcus Christian Fagersten	2358181	Bressler Amery & Ross	NO	NO	1	G	Marcus Christian Fagersten	N/A	Arocles Aguilar	1
20-03243	Dallas, TX	09/12/2020	03/01/2022	03/10/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Shaun Eugene Hayes	4963876	Dailey Law Group	NO	NO	7	G	Shaun Eugene Hayes	N/A	David A. Schuler	1
20-03244	New York, NY	09/12/2020	05/18/2021	05/25/2021	American Portfolios Financial Services Incorporated	No-show	Robert Thomas Crothers	1648677	RJM Counsel PLLC	NO	NO	2	G	Robert Thomas Crothers	N/A	Lise Gabrielle Hunter, Esq.	1
20-03247	Nashville, TN	09/13/2020	03/09/2021	03/24/2021	Edward D Jones & Company Limited Partnership	Quarles & Brady	Steven Lee Dick	4717606	Baker Donelson et al.	NO	NO	2	G	Steven Lee Dick	N/A	Brian G. Mooney, Esq.	1
20-03252	Atlanta, GA	09/14/2020	03/23/2021	04/01/2021	Wells Fargo Advisors LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	ISC (WFA); Bressler Amery & Ross (MLPFS)	Gregory Vincent Katulka	2955070	Kalberer LLP	NO	NO	2	G	Gregory Vincent Katulka	N/A	James C. Hoover, Esq.	1
20-03253	Boca Raton, FL	09/13/2020	03/09/2021	04/20/2021	Wallstreet+ E Financial Services Incorporated	No-show	Mario Marcio Saravia Garcia	4712501	Kalberer LLP	NN	NO	1	G	Mario Marcio Saravia Garcia	N/A	Will Murphy, Esq.	1
20-03285	Reno, NV	10/19/2020	04/08/2021	04/28/2021	Edward Jones	Keesal Young & Logan	William Francis Biddle	6527454	MOBO LAW LLP	OB	NO	1	G	William Francis Biddle	N/A	David J. Romanski, Esq. - Chair; Arocles Aguilar; Carlos Richard Mangum	1
20-03313	Washington, DC	10/28/2020	12/13/2021	12/17/2021	Pruco Securities LLC	Reyes Kurson Ltd.	Geoffrey L. Newman	U	None	OB	NO	1	D	N/A	Geoffrey L. Newman	Jane C. Carney, CPA - Chair; Stephen D. Altman; Ronald Kalungi	1
20-03367	Pittsburgh, PA	09/25/2020	05/18/2021	05/26/2021	Wells Fargo Clearing Services LLC	ISC	Stephen Mark Bender	3170962	FA Expungement	OB	NO	1	G	Stephen Mark Bender	N/A	Francis A. King	1

20-03369	San Francisco, CA	10/23/2020	05/04/2021	05/21/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Rey Dante Deborja Jr.	4543416	Kaufman Dolowich & Voluck LLP	UN	NO	1	D	N/A	Rey Dante Deborja Jr.	Thomas D. Reese, Esq. - Chair; Keara Kelly Roethke, Esq.; Gary A. Hooker	1
20-03440	Phoenix, AZ	10/05/2020	06/16/2021	07/06/2021	UBS Financial Services Incorporated	John Murphy & Associates	Andrew James Ruboyianes	4628859	Tiffany & Bosco	NO	NO	1	G	Andrew James Ruboyianes	N/A	Morris S. Getzels, Esq. - Chair; Walter Steven Schwartz; Stephanie P. Lebhar	1
20-03443	Houston, TX	10/06/2020	05/03/2021	05/06/2021	SAMCO Capital Markets Incorporated	Hedrick Kring PLLC	Roger James Engemoen Jr.	1506062	Akin Gump et al.	NO	NO	1	G	Roger James Engemoen Jr.	N/A	Lynne M. Gomez, Esq.	1
20-03458	Las Vegas, NV	10/07/2020	07/12/2021	07/23/2021	Waddell & Reed Incorporated; Wells Fargo Clearing Services LLC	Freeman Mathis & Gary (W&R); ISC (WFCS)	Sean Lewis Dobranich	4131182	Galvin Legal PLLC	NO	NO	3	G	Sean Lewis Dobranich	N/A	Robert E. Jenks - Chair; Ben Lehavi, Esq.; Barry A. Mainardi	1
20-03470	San Francisco, CA	10/08/2020	05/11/2021	07/09/2021	First Midwest Securities Incorporated	No-show	Clayton Kwok Shum.	4131182	HLBS Law	NN	NO	2	G	Clayton Kwok Shum.	N/A	Philip Aaron Tymon, JD	1
20-03546	Baltimore, MD	10/19/2020	08/03/2021	08/11/2021	Cambridge Investment Research Incorporated; LPL Financial LLC; Cambridge Investment Research Advisors	ISC	James Michael Segal	4758909	Niles Barton & Wilmer	NO	NO	1	G	James Michael Segal	N/A	David L. Ruderman, Esq. - Chair; C. Gregory Ellison	1
20-03657	San Juan, PR	10/27/2020	03/10/2021	03/12/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Jose E. Chaves	5827677	Toro Colon Mullet PSC	NO	NO	2	G	Jose E. Chaves	N/A	Louis David Huss	1
20-03676	San Francisco, CA	10/29/2020	07/20/2021	07/26/2021	Morgan Stanley	Greenberg Traurig LLP	Leslie Hull Miller	5215413	FA Expungement	NO	NO	1	G	Leslie Hull Miller	N/A	Peter H. Daly	1

20-03718	Chicago, IL	11/03/2020	06/22/2021	06/24/2021	National Securities Corporation	ISC	Trevor Joseph Wurtzebach	5215413	Lewitas Hyman PC	NO	NO	3	G	Trevor Joseph Wurtzebach	N/A	Susanne J. Hollander, Esq. - Chair; Theodore W. Wroblewski, Esq.; Scott Miller	1
20-03766	New York, NY	11/09/2020	09/13/2021	09/23/2021	National Securities Corporation	ISC	Christopher Edward Bond	4658534	Carmel Milazzo & Feil LLP	NO	NO	1	G	Christopher Edward Bond	N/A	Anna M. Fanelli, Esq. - Chair; Royce Russell, Esq.; Steven J. Petrie	1
20-03958	Atlanta, GA	12/03/2020	05/25/2021	06/01/2021	Purshe Kaplan Sterling Investments	ISC	Jonathan Sard	2330785	Galvin Legal PLLC	NO	NO	1	G	Jonathan Sard	N/A	Michael J. Ahlstrom, Esq. - Chair; Judith Stiliz Ogden, Esq.; Brian Francis Pocock	1
20-03989	Charlotte, NC	12/07/2020	06/02/2021	06/10/2021	RBC Capital Markets LLC	Dorsey & Whitney	Todd Douglas Calamita	3204341	AdvisorLaw LLC	NO	NO	1	G	Todd Douglas Calamita	N/A	Michael J. Ahlstrom, Esq.	1
20-04000	Seattle, WA	12/02/2020	02/24/2022	03/28/2022	MML Investors Services LLC	Stevens & Lee	Kevin Edward Stokesbary	4282283	McDougald Law Group	NO	NO	1	G	Kevin Edward Stokesbary	N/A	Jane Ann McKenzie - Chair; William J. Bender, Esq.; Steven Phillip Caplow, Esq.	1
20-04058	Albuquerque, NM	12/14/2020	08/16/2021	08/23/2021	LPL Financial LLC	ISC	Thomas Roney Chaney	1589355	Galvin Legal PLLC	NO-D	NO	1	G	Thomas Roney Chaney	N/A	Mary Margaret Bush, Esq. - Chair; John J. Fitzpatrick, Jr., Esq.; Gene R. Thornton, Esq.	1
20-04091	Chicago, IL	12/16/2020	06/28/2021	07/09/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Steven Scott LaPorta	2371154	FA Expungement	NO-D-NO	NO	2	G	Steven Scott LaPorta	N/A	James J. Stamos, Esq.	1
20-04117	Dallas, TX	12/18/2020	10/19/2021	11/02/2021	LPL Financial LLC	ISC	Kurt Joseph Kerrigan	4030488	AdvisorLaw LLC	OB	NO	1	G	Kurt Joseph Kerrigan	N/A	Andrea U. Calve, Esq.	1
20-04121	Louisville, KY	12/18/2020	10/11/2021	10/20/2021	Ameriprise Financial Services LLC	ISC	Shelby Gregory Fink	2769146	AdvisorLaw LLC	NO/NN	NO	5	G	Shelby Gregory Fink	N/A	Richard W. Dissen, Esq.	1
20-04128	Cleveland, OH	12/18/2020	06/09/2021	07/07/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	Jeffrey Philip Elman	1570914	Shumaker Loop & Kendrick	NO	OB	1	G	Jeffrey Philip Elman	N/A	Michael L. Fortney, Esq.	1
20-04154	Orlando, FL	12/23/2020	08/04/2021	08/20/2021	Edward Jones	Quarles & Brady	George Stefanou	5688493	HLBS Law	NO	NO	3	G	George Stefanou	N/A	Mitchel Weiss, Esq.	1

20-04155	New York, NY	12/23/2020	08/04/2021	08/18/2021	Raymond James & Associates Incorporated	ISC	Theodore William McDonagh; Christopher William McDonagh; Daniel Stephen Bauers	2668934	Bruce W. Barnes PA	NO	NO	3	G	Theodore William McDonagh; Christopher William McDonagh; Daniel Stephen Bauers	N/A	Richard W. Cutler, Esq.	1
20-04159	Boca Raton, FL	12/23/2020	10/05/2021	10/15/2021	Wells Fargo Clearing Services LLC	ISC	Glen Allen Simmonds	4794821	Stein & Stein	NO	NO	1	G	Glen Allen Simmonds	N/A	Paul J. Burkhart - Chair; Michael P. Schiff, Esq.; James Michael LaBonte	1
20-04181	Jersey City, NJ	12/28/2020	05/20/2021	06/02/2021	LPL Financial LLC; Santander Securities LLC	ISC	William James Williamson III	2391430	Ghabai Law Group LLC	NO	NO	1	G	William James Williamson III	N/A	Michael H. DuBoff, Esq.	1
20-04204	San Juan, PR	12/29/2020	07/14/2021	07/26/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Edgardo H. Ferrer	5638180	McConnell Valdes LLC	NO	NO	1	G	Edgardo H. Ferrer	N/A	Louis David Huss	1
20-04205	Nashville, TN	12/29/2020	07/27/2021	08/03/2021	Wells Fargo Advisors Financial Network	ISC	Alex B. Shore	2431627	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Alex B. Shore	N/A	Hon. A.J. Seier - Chair; James A. McIntosh; Joseph Charles Smolira, PhD	1
20-04207	Nashville, TN	12/29/2020	08/31/2021	09/22/2021	Wells Fargo Advisors Financial Network LLC	ISC	Alex B. Shore	2431627	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Alex B. Shore	N/A	Thomas Joseph Atkinson, Sr., JD - Chair; Douglas Charles Weinstein; Sara Francis Hoover	1
21-00001	Denver, CO	12/31/2020	06/23/2021	07/07/2021	UBS Financial Services Incorporated	John Murphy & Associates	Brian Patrick Rorick	4525184	HLBS Law	NO	NO	1	G	Brian Patrick Rorick	N/A	Michael Jeffrey Norton, Esq.	1
21-00022	Chicago, IL	01/07/2021	05/20/2021	06/01/2021	Equitable Advisors LLC	ISC	Norbert Helmut Filian	2998784	Ulmer & Berne	OB	NO	1	G	Norbert Helmut Filian	N/A	Leon Fox, JD - Chair; Michael R. Sherwin, JD; Stephen M. Parlier	2
21-00025	Phoenix, AZ	01/06/2021	06/22/2021	06/24/2021	Charles Schwab & Company Incorporated	ISC	Anthony Jose Calderon	6794612	Louviere Law Firm PA	NO	NO	1	G	Anthony Jose Calderon	N/A	Robert E. Jenks	1

21-00033	New York, NY	01/11/2021	08/11/2021	08/19/2021	Leumi Investment Services Incorporated	ISC	Neer Hodorov	5042144	Harry Sherman, Attorney-at-Law	NN	NO	1	G	Neer Hodorov	N/A	Michael H. DuBoff, Esq. - Chair; Edmund Timothy Donovan; Andrew Robert Kosloff	1
21-00039	Milwaukee, WI	01/08/2021	06/30/2021	07/07/2021	M Holdings Securities Incorporated	ISC	Richard Frederick Swider	842878	AdvisorLaw LLC	NO	NO	3	G/D	Richard Frederick Swider	N/A	Leon Fox, JD	3
21-00040	Chicago, IL	01/08/2021	06/24/2021	07/01/2021	None.	No-show	Howard Evan Sharfman	1753378	Schoenberg Finkel et al.	NO-D	NO	1	G	Howard Evan Sharfman	N/A	Theodore W. Wroblewski, Esq. - Chair; Marcia Bonita Gevers; Dennis Christensen	1
21-00041	Boca Raton, FL	01/08/2021	09/30/2021	10/07/2021	IDB Capital Corporation	ISC	Rony Porat	5840152	AdvisorLaw LLC	NO	NO	1	G	Rony Porat	N/A	Steven Gerard Goerke, Esq.	1
21-00043	New York, NY	01/08/2021	06/18/2021	06/23/2021	Morgan Stanley Smith Barney LLC	ISC	Richard L. Morse	2410788	Deutsch & Lipner	NO	NO	1	G	Richard L. Morse	N/A	Madelon M. Rosenfeld, Esq. - Chair; Gerald M. Levine; Steven Gargiulo	1
21-00057	Los Angeles, CA	01/15/2021	06/30/2021	08/03/2021	Morgan Stanley	ISC	Gary Jon Rosen	6644935	Gonser Law PC	NO	NO	1	G	Gary Jon Rosen	N/A	Barbara M. Zak, Esq.	1
21-00059	San Juan, PR	01/11/2021	08/17/2021	08/20/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Edgardo H. Ferrer	5638180	McConnell Valdes LLC	NO	NO	1	G	Edgardo H. Ferrer	N/A	Louis David Huss	1
21-00061	Atlanta, GA	01/11/2021	09/28/2021	10/06/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michael DeWayne Brown	3138638	AdvisorLaw LLC	NO	NO	1	G	Michael DeWayne Brown	N/A	Michael J. Ahlstrom, Esq.	1
21-00071	San Francisco, CA	01/12/2021	08/09/2021	08/10/2021	Pruco Securities LLC	Reyes Kurson Ltd.	Barbara Burke Heaton	1535445	HLBS Law	NO	NO	1	G	Barbara Burke Heaton	N/A	Daniel M. Yamshon, Esq.	1
21-00081	Washington, DC	01/13/2021	07/13/2021	07/19/2021	Prudential Equity Group LLC	Reyes Kurson Ltd.	John Harry Wolff	1846627	AdvisorLaw LLC	UN	NO	1	D	N/A	John Harry Wolff	Jane C. Carney, CPA	1
21-00082	Norfolk, VA	01/13/2021	12/07/2021	12/16/2021	Centaurus Financial Incorporated	ISC	James A. Bales	2542261	O'Hagan Meyer PLLC	NO	NO	1	G	James A. Bales	N/A	Lita S. Menkin, JD - Chair; Gordon M. Wase, Esq.; Edward R. Hipp, III	1
21-00095	Nashville, TN	01/14/2021	01/25/2022	04/27/2022	BB&T Investment Services Incorporated	Gray Robinson PA	Shaun Michael Rowles	4494803	AdvisorLaw LLC	NO	OB	2	G/W	Shaun Michael Rowles	N/A	Mauricio Arcadier, JD	2

21-00099	Dallas, TX	01/15/2021	05/13/2021	05/17/2021	TPEG Securities LLC	ISC	Sanjay Chandra	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Sanjay Chandra	Frances Johnson-Wright, Esq.	1
21-00100	New York, NY	01/21/2021	06/28/2021	08/18/2021	RBC Capital Markets LLC	Dorsey & Whitney	Robert Tansey	1222751	Murphy & McGonigle	OB/NO	NO	2	G	Robert Tansey	N/A	Robert E. Anderson, Esq.	2
21-00105	San Juan, PR	01/15/2021	08/19/2021	08/27/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	David L. Rojas	3139380	McConnell Valdes LLC	NO	NO	1	G	David L. Rojas	N/A	Martin A. Feigenbaum, Esq.	1
21-00117	Boca Raton, FL	01/18/2021	11/03/2021	11/11/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Baerbel O'Haire	1457604	HLBS Law	NO/NO	NO	3	G	Baerbel O'Haire	N/A	Elena G. Rodriguez	1
21-00133	Boston, MA	01/20/2021	09/28/2021	10/22/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	James Allen Atwood	1268625	AdvisorLaw LLC	NO/NN	NO	3	G	James Allen Atwood	N/A	David Wertz Ellis	1
21-00147	Detroit, MI	01/21/2021	02/03/2022	02/08/2022	UBS Financial Services Incorporated; Morgan Stanley; Wells Fargo Clearing Services LLC	John Murphy & Associates (UBS); Miller Canfield et al. (MSSB); Saretsky Hart et al. (WFCS)	Bradley Thomas Lott	2681624	AdvisorLaw LLC	OB/NO	NO	4	G/W	Bradley Thomas Lott	N/A	Jeffry Mark Bauer, Esq.	1
21-00156	Phoenix, AZ	01/21/2021	08/25/2021	09/16/2021	Charles Schwab & Company Incorporated	ISC	Payden Thomas Bullis; Rene Rojas	6409227; 6701802	Barr & Young Attorneys	NO	NO	2	G	Payden Thomas Bullis; Rene Rojas	N/A	Sandra L. Malek, Esq.	1
21-00160	Boston, MA	01/21/2021	09/09/2021	09/22/2021	Morgan Stanley	ISC	Aya Metwally	6529351	Shapiro Haber & Urmy	NO	NO	1	G	Aya Metwally	N/A	Gerard S. Marsan, Esq. - Chair; William A. Barrett; Frederick W. Keuthen, Esq.	1
21-00170	Tampa, FL	01/22/2021	09/09/2021	09/17/2021	LPL Financial LLC	ISC	Lisa R. Kulhavi	2544061	Ghabai Law Group LLC	OB	NO	2	G	Lisa R. Kulhavi	N/A	Karl A. Vogeler, III	2

21-00183	Dallas, TX	01/25/2021	11/15/2021	12/07/2021	None.	Customer	Philip Hearl Hamilton	2585773	Musgrove Law Firm P.C.	NO	NO	1	G	Philip Hearl Hamilton	N/A	Michael Wayne Johnston - Chair; John Gary Langford; Valarie Wright	1
21-00195	Tampa, FL	01/26/2021	12/09/2021	12/15/2021	Morgan Stanley	ISC	William Christopher Valenti	3252326	Bressler Amery & Ross	OB/NO	NO	2	G	William Christopher Valenti	N/A	Richard S. Zaifert, Esq.	1
21-00199	New York, NY	01/26/2021	08/03/2021	09/02/2021	Spartan Capital Securities LLC	ISC	John Dennis Lowry	3252326	Becker & Poliakoff	UN	NO	5	D	N/A	John Dennis Lowry	Elizabeth Gilbert, Esq. - Chair; Christine Meiers Schatz; Marc Adam Sherman	1
21-00220	Jersey City, NJ	01/28/2021	07/20/2021	08/06/2021	JP Turner & Company LLC; National Securities Corporation	ISC	Shaun Evan Stein	4873578	FA Expungement	NO	NO	3	G	Shaun Evan Stein	N/A	Robert E. Anderson, Esq.	1
21-00260	San Juan, PR	02/01/2021	08/10/2021	08/17/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Francisco Landivar	2784555	McConnell Valdes LLC	NO-D	NO	1	G	Francisco Landivar	N/A	Christopher J. Klein, Esq.	1
21-00299	St. Louis, MO	02/03/2021	10/12/2021	10/22/2021	Edward Jones	Quarles & Brady	Paul Michael Hulen	2237101	AdvisorLaw LLC	OB/NO NN	NO	8	G/D	Paul Michael Hulen	N/A	Julius Z. Frager	3
21-00306	New York, NY	02/04/2021	10/13/2021	10/25/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Sofia Michelle Ward	4773946	Louviere Law Firm PA	NO	NO	1	G	Sofia Michelle Ward	N/A	Ellyn S. Roth	1
21-00319	Houston, TX	02/05/2021	08/31/2021	09/08/2021	Legacy Asset Securities Incorporated	ISC	Richard E. Kaplan	2944041	AdvisorLaw LLC	NO	NO	2	G	Richard E. Kaplan	N/A	Sherry R. Wetsch, Esq.	1
21-00325	Houston, TX	02/08/2021	08/20/2021	08/24/2021	Morgan Stanley	Greenberg Traurig LLP	Kelly Davies Chimera	2820600	Berry Odom LLP	NO	NO	1	G	Kelly Davies Chimera	N/A	Lynne M. Gomez, Esq.	1
21-00335	Boca Raton, FL	02/06/2021	09/28/2021	10/01/2021	Oppenheimer & Company Incorporated	ISC	Logan W. Shalmi	6206579	Zadanosky & Associates PA	NO	NO	1	G	Logan W. Shalmi	N/A	Robert Lawrence Ostrov	1
21-00348	Dallas, TX	02/09/2021	09/14/2021	09/28/2021	IMS Securities Incorporated	No-show	Kristopher Forest Etter	4562123	AdvisorLaw LLC	NO	NO	1	G	Kristopher Forest Etter	N/A	Andrea U. Calve, Esq.	1

21-00356	Philadelphia, PA	02/09/2021	08/25/2021	09/15/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas A. Seiler	2088467	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Thomas A. Seiler	N/A	John J. Jordan, Esq. - Chair; Kathleen Jones Spilker; Thomas Naylor	1
21-00357	Philadelphia, PA	02/09/2021	11/10/2021	12/01/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas A. Seiler	U	Winget Spadafora & Schwartzberg LLP	OB	NO	1	D	N/A	Thomas A. Seiler	Lorrie E. Whitfield - Chair; Frank P. Santangelo; Robert C. Scanlan	1
21-00361	Philadelphia, PA	02/09/2021	12/02/2021	12/17/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas A. Seiler	2088467	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Thomas A. Seiler	N/A	John J. Jordan, Esq. - Chair; Kattina V. Barsik; Donald S. Bauman, Esq.	1
21-00363	New York, NY	02/09/2021	09/20/2021	10/04/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mihir Patel	4587238	McCormick & O'Brien LLP	NO	NO	1	G	Mihir Patel	N/A	Robert E. Anderson, Esq. - Chair; Richard W. Cutler, Esq.; Jonathan Ashley Pomeroy	1
21-00382	Las Vegas, NV	02/11/2021	11/30/2021	12/17/2021	Lucia Securities LLC	ISC	Scot Samuel Fairchild	2323211	AdvisorLaw LLC	NO	NO	2	G	Scot Samuel Fairchild	N/A	Milton N. Gross	1
21-00430	Los Angeles, CA	02/17/2021	11/15/2021	12/14/2021	JP Morgan Securities LLC	Keesal Young & Logan	Eric Daniel Silvestre	3171573	HLBS Law	NO	NO	1	G	Eric Daniel Silvestre	N/A	Thomas E. Shuck, Esq.	1
21-00439	Seattle, WA	02/18/2021	10/07/2021	10/20/2021	Prudential Equity Group LLC	Reyes Kurson Ltd.	Douglas J. Donnelly	1397094	HLBS Law	NO/NN	NO	3	G	Douglas J. Donnelly	N/A	Stephany Adriene Watson, Esq.	1
21-00449	Oklahoma City, OK	02/19/2021	11/05/2021	11/12/2021	Tandem Securities Incorporated; Woodbury Financial Services Incorporated	ISC	Jude E. Offiah	2231684	FA Expungement	NO	NO	3	G	Jude E. Offiah	N/A	Lynne M. Gomez, Esq.	1
21-00461	Boston, MA	02/19/2021	10/19/2021	11/11/2021	JP Morgan Securities LLC	Duane Morris LLP	Lloyd George Glazer	222904	AdvisorLaw LLC	NO/NN	OB	1	G	Lloyd George Glazer	N/A	Howard N. Gorney	1
21-00468	Los Angeles, CA	02/19/2021	09/02/2021	09/14/2021	MS Howells & Company	Law Offices of Robert L. Hill APC	Tim Chiung Chen	4719484	Reynolds & Partners	NO	NO	1	G	Tim Chiung Chen	N/A	Robert E. Jenks	1

21-00514	Syracuse, NY	02/25/2021	11/04/2021	11/23/2021	Pruco Securities LLC	Paduano & Weintraub	Matthew Thomas Champion	U	AdvisorLaw LLC	UN	OB	1	D	N/A	Matthew Thomas Champion	Thomas E. Webb, Jr., Esq. - Chair; James W. (Jim) Geiger; Francis Xavior Daumen	1
21-00516	Richmond, VA	02/24/2021	08/10/2021	08/12/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jennifer M. Duncan	2811850	Sullivan Collins Law Group	NO	NO	1	G	Jennifer M. Duncan	N/A	Richard James Igou	1
21-00530	San Francisco, CA	02/26/2021	09/14/2021	09/23/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Wen Shan Wu	4507512	FA Expungement	NO	NO	1	G	Wen Shan Wu	N/A	Daniel M. Yamshon, Esq.	1
21-00546	Wilmington, DE	03/01/2021	10/06/2021	10/15/2021	Grove Point Investments LLC	ISC	Kristina Frenier Connell	5402280	AdvisorLaw LLC	NO	NO	1	G	Kristina Frenier Connell	N/A	Linda J. Baer, Esq.	1
21-00557	San Juan, PR	03/01/2021	08/25/2021	09/01/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Angel Manuel Canabal Sr.	2180310	Toro Colon Mullet PSC	NO	NO	4	G	Angel Manuel Canabal Sr.	N/A	Martin A. Feigenbaum, Esq.	1
21-00559	Memphis, TN	03/01/2021	10/07/2021	10/20/2021	New England Securities Corporation	Harris & Affiliates Ltd.	William Joel Bell	4201209	AdvisorLaw LLC	NO	NO	1	G	William Joel Bell	N/A	Gayle B. Carlson, Esq.	1
21-00572	New York, NY	03/02/2021	08/02/2021	08/09/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Joel L. Konigsberg	2434311	Bressler Amery & Ross	NO	NO	1	G	Joel L. Konigsberg	N/A	Joan M. Traub, Esq.	1
21-00632	Pittsburgh, PA	03/09/2021	10/26/2021	03/24/2022	Prospera Financial Services Incorporated	ISC	Andrew James Pravlik	2360456	AdvisorLaw LLC	NO/OB	NO	2	G	Andrew James Pravlik	N/A	Mark Alexander Sipper	2
21-00653	Nashville, TN	03/10/2021	11/16/2021	11/23/2021	LPL Financial LLC	ISC	Lee Douglas Hooks	4905055	AdvisorLaw LLC	OB/NO	NO	2	G	Lee Douglas Hooks	N/A	Karl A. Vogeler, III	1
21-00665	Portland, OR	03/10/2021	05/10/2021	05/24/2021	UBS Financial Services Incorporated	ISC	Kimberly Chin Muska	4124515	Bressler Amery & Ross	NN	NO	1	G	Kimberly Chin Muska	N/A	Katherine Hendricks, Esq.	1
21-00666	Boston, MA	03/10/2021	07/07/2021	07/14/2021	Morgan Stanley	ISC	Ilan Avi Segev	4826899	Bressler Amery & Ross	NO	NO	1	G	Ilan Avi Segev	N/A	Robert E. Anderson, Esq.	1

21-00695	Boca Raton, FL	03/15/2021	12/16/2021	12/20/2021	Morgan Stanley & Company LLC	ISC	Ralph James Femminella	4191824	Stein & Stein	NO	NO	1	G	Ralph James Femminella	N/A	Will Murphy, Esq. - Chair; Isadora Velazquez-Rivas; Gary A. Klein	1
21-00702	Washington, DC	03/16/2021	10/20/2021	11/03/2021	Citigroup Global Markets Incorporated; Oppenheimer & Company Incorporated	Kauff Laton Miller LLP (CGM); ISC (O&C)	Anibal Drelichman	2916477	AdvisorLaw LLC	NO/NN	NO	3	G	Anibal Drelichman	N/A	Michael James Malone	1
21-00703	Los Angeles, CA	01/26/2021	12/08/2021	12/15/2021	Independent Financial Group LLC	ISC	Grant E. Blindbury	4697717	Markun Zusman et al.	NO	NO	1	G	Grant E. Blindbury	N/A	Joseph C. Watson, Esq.	1
21-00711	Columbus, OH	03/18/2021	11/30/2021	01/14/2022	FSC Securities Corporation	ISC	Adam T. Hill	2408234	AdvisorLaw LLC	OB	NO	1	G	Adam T. Hill	N/A	Jeffry Mark Bauer, Esq.	2
21-00720	New York, NY	03/18/2021	09/27/2021	10/07/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Tomoe Odahara	4809292	Law Offices of Jordan D. Becker	NN	NO	1	G	Tomoe Odahara	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Susan C. Lushing, Esq.; Mark Peter Haslinger	1
21-00722	Columbia, SC	03/18/2021	05/20/2021	05/28/2021	UBS Financial Services Incorporated	ISC	Brian Andrew Blackburn	4305052	Bressler Amery & Ross	NO/NN	NO	2	G	Brian Andrew Blackburn	N/A	John P. Cullem, Esq.	1
21-00736	San Juan, PR	03/19/2021	10/20/2021	10/26/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	David L. Rojas	3139380	McConnell Valdes LLC	NO	NO	1	G	David L. Rojas	N/A	Elena G. Rodriguez	1
21-00747	Los Angeles, CA	03/22/2021	10/21/2021	11/08/2021	Transamerica Financial Advisors Incorporated	ISC	Zheng Qu	U	HLBS Law	UN	NO	2	D	N/A	Zheng Qu	Robert D. Sussin, Esq.	1
21-00757	Boston, MA	03/23/2021	05/12/2021	05/28/2021	UBS Financial Services Incorporated	ISC	Lawrence H. Knowlton	1383052	Bressler Amery & Ross	NO/NN	NO	3	G	Lawrence H. Knowlton	N/A	Gerard S. Marsan, Esq.	1

21-00758	Denver, CO	03/22/2021	09/15/2021	09/22/2021	AG Edwards & Sons Incorporated	ISC	William Jason Stordahl	2245878	HLBS Law	NN	NO	1	G	William Jason Stordahl	N/A	Thaddeus J. Tecza, PhD	1
21-00761	San Juan, PR	03/23/2021	09/29/2021	10/15/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Angel Manuel Canabal	2180310	McConnell Valdes LLC	NO	NO	2	G	Angel Manuel Canabal	N/A	Martin A. Feigenbaum, Esq.	1
21-00779	Boca Raton, FL	03/24/2021	12/16/2021	12/23/2021	Prudential Equity Group LLC; UBS Financial Services Incorporated; Raymond James Financial Services Incorporated; Raymond James & Associates Incorporated	Reyes Kurson Ltd. (PEG); John Murphy & Associates (UBS); ISC (RJFS & RJA)	Jim King Mui	1007131	HLBS Law	NO/NN	NO	4	G	Jim King Mui	N/A	Steven N. Ainbinder, Esq.	1
21-00784	Atlanta, GA	03/24/2021	10/21/2021	12/07/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Archie Jay Morris III	1037933	AdvisorLaw LLC	NO/NN	NO	4	G	Archie Jay Morris III	N/A	Harvey R. Linder, Esq.	1
21-00834	Tampa, FL	03/29/2021	12/08/2021	12/20/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Evan Yahney	4038119	Gunster Yoakley & Stewart	NO	NO	4	G	Robert Evan Yahney	N/A	Thomas J. Patka, Esq.	1
21-00850	Denver, CO	03/30/2021	08/12/2021	08/30/2021	Equitable Advisors LLC	ISC	Rachel Elizabeth Comfort	5302766	HLBS Law	NO	NO	1	G	Rachel Elizabeth Comfort	N/A	Donald Neil Tolin	1

21-00863	Houston, TX	04/01/2021	08/09/2021	08/12/2021	Kestra Investment Services LLC, successor to NFP Securities Incorporated	ISC	Michael Gary Rudelson	721749	Moulton & Wilson LLP	NO	NO	1	G	Michael Gary Rudelson	N/A	Lynne M. Gomez, Esq.	1
21-00888	Boca Raton, FL	04/05/2021	11/03/2021	11/19/2021	Oppenheimer & Company Incorporated	ISC	Brian Christopher Kutsmeda	2371330	Zadanosky & Associates PA	NO	NO	1	G	Brian Christopher Kutsmeda	N/A	Robert G. Geeseman, Esq.	1
21-00897	Montpelier, VT	04/06/2021	10/12/2021	10/20/2021	UBS Financial Services Incorporated	John Murphy & Associates	Thomas Roe Cosinuke	704650	AdvisorLaw LLC	NO	NO	2	G	Thomas Roe Cosinuke	N/A	Robert E. Anderson, Esq.	1
21-00898	San Juan, PR	04/06/2021	10/06/2021	10/21/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	James Malcom Ugobono	4032530	McConnell Valdes LLC	NO	NO	2	G	James Malcom Ugobono	N/A	Martin A. Feigenbaum, Esq.	1
21-00899	Jersey City, NJ	04/06/2021	09/30/2021	10/12/2021	GF Investment Services LLC	ISC	Mark Scordato	4518684	Guerra King PA	NO	NO	1	G	Mark Scordato	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Louis H. Miron, Esq.; Linda T. Pellegrino, Esq.	1
21-00900	Houston, TX	04/06/2021	10/19/2021	10/22/2021	Proequities Incorporated	Maynard Cooper & Gale	Adam Randolph Lampe	4929585	Louviere Law Firm PA	NO	NO	2	G	Adam Randolph Lampe	N/A	Lynne M. Gomez, Esq.	1
21-00901	Jersey City, NJ	04/06/2021	11/17/2021	12/03/2021	Morgan Stanley	ISC	David Hugh Bindelglass	3201389	AdvisorLaw LLC	OB/NO	NO	4	G	David Hugh Bindelglass	N/A	Joan M. Traub, Esq.	1
21-00914	Boca Raton, FL	04/07/2021	12/17/2021	12/21/2021	Janney Montgomery Scott LLC	ISC	Virginia Frances Thompson	1834046	Galvin Legal PLLC	NO/NN	NO	3	G	Virginia Frances Thompson	N/A	Louis David Huss - Chair; Robert Lawrence Ostrov; Michael Lau	1
21-00917	Dallas, TX	04/08/2021	10/20/2021	10/29/2021	Goldman Sachs & Company LLC	Cohen & Gresser LLP	Lawrence Joseph Redell	2785977	AdvisorLaw LLC	NO	NO	1	G	Lawrence Joseph Redell	N/A	Frances Johnson-Wright, Esq.	1
21-00920	Jersey City, NJ	04/08/2021	11/16/2021	12/02/2021	Wells Fargo Clearing Services LLC	ISC	Chunyen Wang	4739040	AdvisorLaw LLC	NO/NN	NO	1	G	Chunyen Wang	N/A	Joan M. Traub, Esq.	1

21-00927	Tampa, FL	04/08/2021	12/07/2021	12/10/2021	JP Morgan Securities LLC	Ulmer & Berne	Eric Robert Abbott	4331367	HLBS Law	OB	NO	1	G	Eric Robert Abbott	N/A	Karimu F. Hill-Harvey, Esq.	1
21-00952	San Juan, PR	04/09/2021	01/20/2022	01/26/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Xavier A. Aguayo	2926408	Toro Colon Mullet PSC	NO	NO	6	G	Xavier A. Aguayo	N/A	Louis David Huss	2
21-00953	San Juan, PR	04/09/2021	10/20/2021	10/26/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Xavier A. Aguayo Diaz	2926408	Toro Colon Mullet PSC	NO	NO	4	G	Xavier A. Aguayo Diaz	N/A	Louis David Huss	1
21-00972	Oklahoma City, OK	04/13/2021	06/16/2021	06/29/2021	UBS Financial Services Incorporated	ISC	Donald Ray Jackson	2463376	Bressler Amery & Ross	OB	NO	1	G	Donald Ray Jackson	N/A	Jeffrey R. Jury	1
21-00999	Jersey City, NJ	04/15/2021	11/23/2021	12/21/2021	JP Turner & Company LLC	ISC	Rocco Guidici Pietro	2489732	Holcomb + Ward LLP	NO	NO	1	G	Rocco Guidici Pietro	N/A	Joan M. Traub, Esq. - Chair; Paul Allan Massaro; Martin Jay Siegel, Esq.	1
21-01006	Boca Raton, FL	04/15/2021	02/02/2022	02/08/2022	Janney Montgomery Scott LLC; Cetera Advisor Networks LLC; Stifel Nicolaus & Company Incorporated; UBS Financial Services Incorporated; JP Turner & Company LLC	ISC (JMS & SN&C); Winget Spadafora & Schwartzberg LLP (CAN & JPT&C); John Murphy & Associates (UBS)	Virginia Frances Thompson	1834046	Galvin Legal PLLC	OB/NO	NO	6	G	Virginia Frances Thompson	N/A	Jason Allen Rosner - Chair; Nanci Sondra Landy; Sheryl Sagel	1
21-01012	Omaha, NE	04/16/2021	10/20/2021	11/16/2021	Cetera Advisor Networks LLC	ISC	Ronald Lloyd Carson Jr.	1238219	Louviere Law Firm PA	NO	NO	1	G	Ronald Lloyd Carson Jr.	N/A	Mark L. Miller, Esq.	1
21-01019	Columbus, OH	04/16/2021	11/18/2021	11/24/2021	Pruco Securities LLC	Reyes Kurson Ltd.	John Calvin Barber Jr.	4883976	AdvisorLaw LLC	NO/NN	NO	2	G	John Calvin Barber Jr.	N/A	Julius Z. Frager	1
21-01025	Little Rock, AR	04/22/2021	08/05/2021	08/09/2021	Raymond James & Associates Incorporated	ISC	James Hydrick Garner	1497791	Holcomb + Ward LLP	NO	NO	1	G	James Hydrick Garner	N/A	Maryanne M. Esser, Esq. - Chair; Allan R. Lazor, Esq.; Paul M. Foster, Esq.	1

21-01041	Denver, CO	04/20/2021	12/14/2021	12/29/2021	Triad Advisors LLC	ISC	Brian E. O'Neil	2586624	Thomas Law LLC	NO	NO	1	G	Brian E. O'Neil	N/A	Steven A. Meyrich, Esq. - Chair; Mari C. Bush, Esq.; Richard M. Reider	1
21-01046	San Francisco, CA	04/21/2021	10/14/2021	10/27/2021	Fidelity Brokerage Services LLC	ISC	Tina Wang	5587352	Bressler Amery & Ross	NO	NO	1	G	Tina Wang	N/A	Philip Aaron Tymon, JD	1
21-01049	San Juan, PR	04/21/2021	10/04/2021	10/15/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Francisco Javier Landivar	2784555	McConnell Valdes LLC	NO	NO	1	G	Francisco Javier Landivar	N/A	Martin A. Feigenbaum, Esq.	1
21-01064	Providence, RI	04/22/2021	11/09/2021	11/22/2021	Waddell & Reed Incorporated	ISC	Molly Mount Hines Rambo	2103627	AdvisorLaw LLC	NO	NO	1	G	Molly Mount Hines Rambo	N/A	Robert E. Anderson, Esq.	1
21-01074	San Juan, PR	04/23/2021	10/07/2021	10/14/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Casto Miguel Coll Del Rio	2444524	Toro Colon Mullet PSC	NO	NO	3	G	Casto Miguel Coll Del Rio	N/A	Martin A. Feigenbaum, Esq.	1
21-01092	San Francisco, CA	04/26/2021	02/24/2022	03/09/2022	Banc of America Investment Services Incorporated; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (BAIS); ISC (WFCS)	Randall Larry Krenzin	2419349	HLBS Law	OB/NO NN	NO	7	G/D/W	Randall Larry Krenzin	N/A	Daniel M. Yamshon, Esq.	1
21-01100	Boca Raton, FL	04/27/2021	01/10/2022	01/13/2022	Oppenheimer & Company Incorporated	ISC	Timothy Roger Atyeo	1544728	Zadanosky & Associates PA	NO	NO	1	G	Timothy Roger Atyeo	N/A	Mark C. Perry, Esq.	1
21-01115	Los Angeles, CA	04/28/2021	12/07/2021	12/09/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Laura Hsin Chao	1544728	HLBS Law	NO	NO	1	G	Laura Hsin Chao	N/A	Andrew M. Mintzer, CPA	1
21-01116	Jersey City, NJ	04/28/2021	11/16/2021	12/10/2021	LPL Financial LLC	ISC	Andy Mark Schwartz	1317986	Baritz & Colman	NO	NO	1	G	Andy Mark Schwartz	N/A	Patricia Kathleen Costello	1

21-01120	Seattle, WA	05/28/2021	03/10/2022	04/04/2022	Pacific West Securities Incorporated; Prudential Equity Group LLC	No-show (PWS); Reyes Kurson Ltd. (PEG)	Brian James Decker	1317986	AdvisorLaw LLC; HLBS Law	OB UN E	NO	3	D	N/A	Brian James Decker	Stephany Adriene Watson, Esq. - Chair; Charles Scott McClellan; Joan M. Schroeder, Esq.	2
21-01123	New York, NY	04/29/2021	09/20/2021	10/08/2021	John Thomas Financial	No-show	Michele Ann Misiti	1931272	Holcomb + Ward LLP	NO	NO	1	G	Michele Ann Misiti	N/A	William E. Nuckel - Chair; Ann C. Northern, Esq.; Allan N. Taffet, Esq.	1
21-01124	New York, NY	04/29/2021	12/17/2021	12/30/2021	WMA Securities Incorporated	No-show	Dao Diem Phan	3111962	AdvisorLaw LLC	NO	NO	1	G	Dao Diem Phan	N/A	Susan C. Lushing, Esq.	1
21-01126	Los Angeles, CA	04/29/2021	01/18/2022	01/27/2022	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (MLPFS); John Murphy & Associates (UBS)	David James Trogan Jr.	2291468	HLBS Law	NN	NO	2	G	David James Trogan Jr.	N/A	George L. Tindall	1
21-01145	Indianapolis, IN	05/03/2021	10/15/2021	10/22/2021	The Huntington Investment Company	ISC	Tyler Jordan Maddox	5881720	Maddox Hargett & Caruso	NO	NO	1	G	Tyler Jordan Maddox	N/A	Sherrill William Colvin, Esq. - Chair; John L. Krauss, Esq.; David Joseph Remondini	1
21-01149	Chicago, IL	05/04/2021	11/29/2021	12/01/2021	NYLife Securities LLC	Lubarsky Law Firm PLLC	Breton Wayne Williams	1845977	AdvisorLaw LLC	NO	OB/NO	2	G	Breton Wayne Williams	N/A	Maya Steinitz	1
21-01152	Nashville, TN	05/03/2021	09/13/2021	09/17/2021	UBS Financial Services Incorporated	ISC	Kent Kirby	2322053	Bressler Amery & Ross	OB/NO	NO	5	G	Kent Kirby	N/A	Harvey R. Linder, Esq.	1
21-01154	Washington, DC	05/03/2021	11/30/2021	12/09/2021	Wells Fargo Clearing Services LLC	ISC	Michael Fillers Bolen	2334043	Galvin Legal PLLC	NO/NN	NO	2	G/D	Michael Fillers Bolen	N/A	Christopher M. McMurray, Esq. - Chair; Richard P. Regan, Esq.; Ezio E. Borchini, Esq.	1
21-01164	Boca Raton, FL	05/05/2021	01/14/2022	02/22/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Stephen Scott Brown	1799847	Stein & Stein	NO	NO	3	G	Stephen Scott Brown	N/A	Will Murphy, Esq. - Chair; William Kent Brown, Esq.; Tina Scott Polsky	1
21-01167	Los Angeles, CA	05/04/2021	10/14/2021	10/15/2021	JP Morgan Securities LLC	Keesal Young & Logan	Karl Austin Pettijohn	1453775	HLBS Law	UN	NO	1	D	N/A	Karl Austin Pettijohn	Andrew M. Mintzer, CPA	1

21-01170	Cleveland, OH	05/05/2021	11/22/2021	11/24/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Sanjay Rajiv Beach	2460337	Louviere Law Firm PA	NO	NO	1	G	Sanjay Rajiv Beach	N/A	Tracy L. Allen, Esq.	1
21-01191	Los Angeles, CA	05/06/2021	11/06/2021	11/23/2021	JP Morgan Securities LLC	Keesal Young & Logan	Garrett Quantz Bland	2116797	HLBS Law	UN	NO	1	D	N/A	Garrett Quantz Bland	Joyce L. Hurley	1
21-01195	San Francisco, CA	05/07/2021	11/30/2021	12/17/2021	Wells Fargo Investments LLC	ISC	Joseph Carlyle Frank	2339650	HLBS Law	NN	NO	3	G	Joseph Carlyle Frank	N/A	Arocles Aguilar	1
21-01202	Detroit, MI	05/10/2021	03/24/2022	04/26/2022	QA3 Financial Corporation	No-show	David Brent Fennema	3031864	HLBS Law	NO	NO	1	G	David Brent Fennema	N/A	Tracy L. Allen, Esq.	2
21-01204	Dallas, TX	05/10/2021	06/07/2022	06/16/2022	Morgan Stanley; UBS Financial Services Incorporated	Greenberg Traurig LLP (MSSB); ISC (UBS)	William Ernest Stockum	1509949	Bressler Amery & Ross	NO	NO	2	G	William Ernest Stockum	N/A	Louis J. Weber, Jr., Esq.	1
21-01216	San Francisco, CA	05/10/2021	12/02/2021	12/08/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Henry James Franscioni Jr.	1260726	HLBS Law	UN	NO	1	D	N/A	Henry James Franscioni Jr.	Mary Margaret Bush, Esq.	1
21-01233	Houston, TX	05/11/2021	02/08/2022	02/15/2022	UBS Financial Services Incorporated	ISC	Robert Cleveenger Jr.	2187523	Bressler Amery & Ross	NO	NO	1	G	Robert Cleveenger Jr.	N/A	G. Maynard Green, JD	1
21-01239	San Diego, CA	05/11/2021	07/12/2021	07/30/2021	UBS Financial Services Incorporated	ISC	Kalyn Ashley Walker; Perry A. Zeigler.	5385963; 2360617	Bressler Amery & Ross	NO	NO	2	G	Kalyn Ashley Walker; Perry A. Zeigler.	N/A	Erik R. Siering	1
21-01241	St. Louis, MO	05/12/2021	01/13/2022	02/04/2022	Legend Equities Corporation	Winget Spadafora & Schwartzberg LLP	Adam Patrick Clyne	4990574	AdvisorLaw LLC	NO/NN	NO	1	G	Adam Patrick Clyne	N/A	Tracy L. Allen, Esq.	1
21-01246	Los Angeles, CA	05/12/2021	01/05/2022	02/03/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Patrick Christopher Lowe; Charlotte M. Lowe	2745005; 2742540	Lax & Neville	NO	NO	6	G	Patrick Christopher Lowe; Charlotte M. Lowe	N/A	Kirtley M. Thiesmeyer, Esq.	1

21-01247	San Juan, PR	05/12/2021	12/16/2021	12/21/2021	UBS Financial Services Incorporated of Puerto Rico	ISC	Angel Manuel Canabal Sr.	2180310	Toro Colon Mullet PSC	NO	NO	8	G	Angel Manuel Canabal Sr.	N/A	Louis David Huss	2
21-01264	San Francisco, CA	07/01/2021	12/08/2021	12/22/2021	Equitable Advisors LLC	Gordon Rees et al.	Anthony Arch III	1362479	FA Expungement	OB/NO	NO	4	G	Anthony Arch III	N/A	Kenneth Paul Strongman	1
21-01267	San Diego, CA	05/14/2021	10/18/2021	11/03/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Christian Brad Risenmay	4534437	HLBS Law	NO	NO	2	G	Christian Brad Risenmay	N/A	Mark R. Lee	1
21-01283	Chicago, IL	05/17/2021	01/25/2022	03/17/2022	Pruco Securities LLC	Reyes Kurson Ltd.	Anthony J. Riscili	5659093	Galvin Legal PLLC	NO	NO	1	G	Anthony J. Riscili	N/A	Susanne J. Hollander, Esq. - Chair; Michael R. Sherwin, JD; Alfonso Cobb	2
21-01299	Dallas, TX	05/19/2021	07/19/2022	09/15/2022	Colorado Financial Service Corporation	Lewis Roca et al.	Mark C. Creason	6617847	Carr Butterfield LLP	NO	NO	1	G	Mark C. Creason	N/A	Thomas W. Allen - Chair; Ross B. Russell, Esq.; Jan Glenn Valecka (fka C. Jan Bohannon)	2
21-01300	Los Angeles, CA	05/18/2021	06/25/2021	07/01/2021	UBS Financial Services Incorporated	ISC	Drew Scott Freides	4262911	Bressler Amery & Ross	NO	NO	1	G	Drew Scott Freides	N/A	George L. Tindall	1
21-01307	San Diego, CA	05/19/2021	10/26/2021	11/02/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Stephen Ross Biesinger	4689955	HLBS Law	NO	NO	1	G	Stephen Ross Biesinger	N/A	Mark R. Lee	1
21-01308	Seattle, WA	05/19/2021	01/27/2022	02/10/2022	Equitable Advisors LLC; JP Morgan Securities LLC	ISC (EA); Keesal Young & Logan (JPMS)	Shannon McNairy Freeland	5576660	AdvisorLaw LLC	NO/NN	NO	2	G	Shannon McNairy Freeland	N/A	David William Hickman, JD	1
21-01316	Philadelphia, PA	05/19/2021	02/07/2022	02/10/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Damon K. Slepian	2404282	AdvisorLaw LLC	NO/NN	NO	2	G	Damon K. Slepian	N/A	Louis P. Wagman	1
21-01322	Los Angeles, CA	05/20/2021	12/01/2021	12/14/2021	Morgan Stanley	Greenberg Traurig LLP	Richard Anthony Downer	2761869	HLBS Law	OB/NO	NO	2	G	Richard Anthony Downer	N/A	Joyce L. Hurley	1

21-01323	New York, NY	05/20/2021	11/22/2021	12/14/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Daniel Timothy O'Connell	1283449	AdvisorLaw LLC	NO/NN	NO	3	G	Daniel Timothy O'Connell	N/A	William E. Nuckel	1
21-01329	Jersey City, NJ	05/21/2021	10/08/2021	11/24/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	Goran Bojovski	4565961	Bressler Amery & Ross	NO	NO	1	G	Goran Bojovski	N/A	Robert E. Anderson, Esq.	2
21-01334	New York, NY	05/21/2021	01/26/2022	02/10/2022	Allied Millennial Partners LLC	ISC	John Parmigiani	2800410	Weltz Kakos et al.	NO	NO	1	G	John Parmigiani	N/A	Josian Antoine, Esq.	1
21-01338	New York, NY	05/21/2021	09/17/2021	09/28/2021	Banc of America Investment Services Incorporated	Bressler Amery & Ross	David I. Bunin	4262781	Moulton & Wilson LLP	NO	NO	1	G	David I. Bunin	N/A	Peter E. Gillespie	1
21-01341	Jersey City, NJ	05/24/2021	07/14/2021	07/22/2021	UBS Financial Services Incorporated	ISC	John Robert Morris	1903657	Bressler Amery & Ross	NO	NO	1	G	John Robert Morris	N/A	Michael H. DuBoff, Esq.	1
21-01344	Indianapolis, IN	05/24/2021	01/05/2022	01/11/2022	Prudential Equity Group LLC; RBC Capital Markets LLC	Reyes Kurson Ltd. (PEG); Dorsey & Whitney (RBC)	Rhys A. Helt	2447099	AdvisorLaw LLC	NO/NN	NO	2	G	Rhys A. Helt	N/A	Carl E. Ver Beek, JD	1
21-01353	San Francisco, CA	05/18/2021	01/19/2022	02/03/2022	Cetera Investment Services LLC	ISC	Ivan Ji Cen	5474263	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Ivan Ji Cen	N/A	Laurel Littman Gothelf, MPH - Chair; Brian Kimball; Jeffrey Schubert	1
21-01358	New York, NY	05/25/2021	12/02/2021	12/08/2021	Equitable Advisors LLC	ISC	Douglas Jay Eaton	2780814	HLBS Law	NO	NO	1	G	Douglas Jay Eaton	N/A	Patricia Kathleen Costello	1
21-01362	New York, NY	05/26/2021	04/26/2022	05/05/2022	Morgan Stanley; Royal Alliance Associates Incorporated	ISC	Dolores B. Mitchell	2722419	Louis Tambaro, Attorney-at-Law	NO	NO	3	G	Dolores B. Mitchell	N/A	Brian John Gallagher - Chair; John Warner Lowe, Jr.; Robert J. Miller	1

21-01365	Jersey City, NJ	05/26/2021	05/04/2022	05/16/2022	JB Hanauer & Company; Wells Fargo Clearing Services LLC	Dorsey & Whitney (JBH); ISC (WFCS)	Allen H. Wilson	2420229	AdvisorLaw LLC	OB/NO	NO	4	G	Allen H. Wilson	N/A	Paul Allan Massaro	1
21-01370	New York, NY	05/26/2021	01/05/2022	02/02/2022	Aegis Capital Corporation	ISC	Nicholas George Tsikitas	2871712	Weltz Kakos et al.	NO	NO	1	G	Nicholas George Tsikitas	N/A	Madelon M. Rosenfeld, Esq.	1
21-01379	San Juan, PR	05/27/2021	11/17/2021	11/19/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Vicente Castillo	1163483	McConnell Valdes LLC	NO	NO	1	G	Vicente Castillo	N/A	Louis David Huss	1
21-01382	Los Angeles, CA	05/27/2021	01/18/2022	01/21/2022	Ameriprise Financial Services Incorporated	ISC	James Lowry McCoy; Joshua Lee McCoy	719830; 2555753	HLBS Law	NO	NO	2	G	James Lowry McCoy; Joshua Lee McCoy	N/A	Robert D. Sussin, Esq.	1
21-01386	San Juan, PR	05/27/2021	12/08/2021	12/10/2021	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Victor Miguel Tomassini	2896586	McConnell Valdes LLC	NO	NO	2	G	Victor Miguel Tomassini	N/A	Christopher J. Klein, Esq.	1
21-01389	New York, NY	05/28/2021	04/25/2022	06/17/2022	Investors Capital Corporation ; Royal Alliance Associates Incorporated	ISC	Nicholas Agnone	2664405	Offit Kurman LLP	NO	NO	1	G	Nicholas Agnone	N/A	Sam Antar, Esq. - Chair; Evan Powell; Paul M. Friedman	1
21-01401	Boca Raton, FL	06/01/2021	04/11/2022	04/21/2022	GunnAllen Financial Incorporated; Aegis Capital Corporation	ISC	Brian Joseph Lombardi	4227216	Sallah Astarita & Cox LLC	NO	NO	2	G	Brian Joseph Lombardi	N/A	Mark Allen Bilawsky - Chair; Howard Bernstein; Marc S. Dobin, Esq.	1

21-01402	Los Angeles, CA	06/01/2021	12/14/2021	12/17/2021	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Damon D. Johnson	2513849	HLBS Law	OB	NO	1	G	Damon D. Johnson	N/A	Erik R. Siering	1
21-01403	Los Angeles, CA	06/01/2021	12/15/2021	12/28/2021	Securities Services Network Incorporated	No-show	Nicholas Yrizarry	2075325	Winget Spadafora & Schwartzberg LLP	NO	NO	5	G	Nicholas Yrizarry	N/A	Erik R. Siering - Chair; Lawrence Craig Williams; Barton J. Brewer, MBA	1
21-01406	Detroit, MI	06/01/2021	02/04/2022	02/23/2022	Vestax Securities Corporation	No-show	Elinor Kit-Man Ho	2559997	HLBS Law	NO	NO	1	G	Elinor Kit-Man Ho	N/A	Patrick R. Sughroue, Esq.	1
21-01429	San Juan, PR	06/03/2021	12/02/2021	12/13/2021	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Carlos Arturo Pou	2096091	McConnell Valdes LLC	NO	NO	1	G	Carlos Arturo Pou	N/A	Louis David Huss	1
21-01431	San Diego, CA	06/03/2021	01/20/2022	02/04/2022	Securities America Incorporated	ISC	John Bernard Czajkowski	1360764	Winget Spadafora & Schwartzberg LLP	NO	NO	2	G	John Bernard Czajkowski	N/A	Kirtley M. Thiesmeyer, Esq. - Chair; Randy R. Maher, JD; Jo-Ann C. Little	1
21-01437	Indianapolis, IN	06/04/2021	02/14/2022	02/22/2022	Chase Investment Services Corporation; Fifth Third Securities Incorporated; Wells Fargo Advisors Financial Network LLC	Ulmer & Berne (CIS); Dinsmore & Shohl (FTS); ISC (WFA)	John Darrick Hutchens	4497161	AdvisorLaw LLC	NO	OB/NOE	3	G/D	John Darrick Hutchens	N/A	Tracy L. Allen, Esq.	1
21-01438	Houston, TX	06/07/2021	11/29/2021	12/02/2021	International Assets Advisory LLC	Myra Nicholson PA	Williams Keen Butcher	4497161	Rubinson Law	UN	NO	1	D	N/A	Williams Keen Butcher	Thomas A. Martin, Esq. - Chair; Jeffrey H. Kilgore, Esq.; Anita Lynne Wiggins (Dissents)	1
21-01440	Phoenix, AZ	06/03/2021	02/28/2022	03/23/2022	Chase Investment Services Corporation; Wells Fargo Clearing Services LLC	Keesal Young & Logan (CIS); ISC (WFCS)	Justin T. Hoyt	4690876	AdvisorLaw LLC	NO	NO	3	G	Justin T. Hoyt	N/A	Benjamin F. Breslauer	1

21-01465	Hartford, CT	06/08/2021	11/16/2021	11/22/2021	Silver Oak Securities Incorporated	No-show	Benjamin A. Fuchs	6146479	Bressler Amery & Ross	NO	NO	1	G	Benjamin A. Fuchs	N/A	Linda J. Baer, Esq.	1
21-01480	Dallas, TX	06/10/2021	02/07/2022	02/25/2022	Dominion Capital Corporation ; VSR Financial Services Incorporated	ISC	James R. Kennedy	1961588	AdvisorLaw LLC	OB/NO NN	NO	6	G	James R. Kennedy	N/A	David A. Schuler	1
21-01495	Tampa, FL	06/11/2021	05/02/2023	06/07/2023	NYLife Securities LLC	Lubarsky Law Firm PLLC	Mark Paul Haye	5904812	HLBS Law	NO/NN	NO	10	G/D	Mark Paul Haye	N/A	Kenneth R. Starr, Esq. - Chair; John Arthur Riherd; Steele Thomas Williams, Esq.	3
21-01499	Boca Raton, FL	06/11/2021	11/30/2021	12/06/2021	None.	Customer	Mark Marandino	2447987	Murphy & Anderson	NO	NO	1	G	Mark Marandino	N/A	Robert Steven Haught, Esq. - Chair; Joshua Byrne Spector, Esq.; Robert J. Mayer	1
21-01500	Columbia, SC	06/11/2021	01/11/2022	01/28/2022	The Investment Center Incorporated	ISC	James Leroy Charbonneau	2148576	AdvisorLaw LLC	NO	NO	3	G	James Leroy Charbonneau	N/A	John P. Cullem, Esq.	1
21-01519	New York, NY	06/29/2021	03/17/2022	03/25/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ian Fuller	5038163	Fowler White Burnett PA	NO	NO	1	G	Ian Fuller	N/A	James M. Rhodes	1
21-01524	Syracuse, NY	06/15/2021	01/19/2022	02/04/2022	Equitable Advisors LLC	ISC	Dennis Daniel Coughlin	2723938	Saretsky Hart et al.	NO	NO	2	G	Dennis Daniel Coughlin	N/A	Diane Ciccone, Esq.	1
21-01539	New York, NY	06/17/2021	08/03/2021	08/12/2021	UBS Financial Services Incorporated	ISC	Gregory A. Shanaphy	3127757	Bressler Amery & Ross	NO	NO	1	G	Gregory A. Shanaphy	N/A	Gerald M. Levine	1
21-01540	San Juan, PR	06/17/2021	03/16/2022	03/18/2022	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Jose David Mendez	2945273	McConnell Valdes LLC	NO	NO	9	G	Jose David Mendez	N/A	Christopher J. Klein, Esq.	1

21-01551	Houston, TX	06/18/2021	01/10/2022	01/18/2022	Merrill Lynch Pierce Fenner & Smith Incorporated; Stanford Group Company	Bressler Amery & Ross (MLPFS); No-show (SG)	Dwayne Mark Tidwell	2612587	Judex Law LLC	NO	NO	2	G	Dwayne Mark Tidwell	N/A	Lynne M. Gomez, Esq. - Chair; William James Smith; Maurice J. Fallas	1
21-01552	Tampa, FL	06/17/2021	02/22/2022	02/25/2022	Questar Capital Corporation	Johnson Cassidy et al.	Richard Paul Miller	2487987	HLBS Law	NO	NO	2	G	Richard Paul Miller	N/A	Maurice M. Feller, Esq.	1
21-01553	Portland, OR	06/17/2021	01/31/2022	02/07/2022	Raymond James Financial Services Incorporated	Bruce W. Barnes PA	Justin Louis Vaccaro	5434168	FA Expungement	OB/NO	NO	3	D	N/A	Justin Louis Vaccaro	Elwood C. Avery	1
21-01554	Boca Raton, FL	06/17/2021	01/04/2022	01/18/2022	1st Discount Brokerage Incorporated	ISC	Yulia Kalk	2612028	HLBS Law	NO	NO	3	G	Yulia Kalk	N/A	Edward R. Niederriter, Esq.	1
21-01557	Jersey City, NJ	06/18/2021	04/12/2022	04/20/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Charles Belluardo	2194815	AdvisorLaw LLC	NO-D	NO	1	G	Charles Belluardo	N/A	Robert E. Anderson, Esq.	1
21-01593	Boca Raton, FL	06/22/2021	12/01/2021	12/07/2021	Deutsche Bank Securities Incorporated	Paduano & Weintraub	Nicolas Gustavo Rueda	4437942	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Nicolas Gustavo Rueda	N/A	Robert G. Falbisaner	1
21-01595	New York, NY	06/22/2021	02/28/2022	03/08/2022	Windsor Street Capital Limited Partnership	No-show	Raymond E. Guarini	4699488	Sichenzia Ross Ference LLP	NO	NO	1	G	Raymond E. Guarini	N/A	Steven C. Kasarda	1
21-01598	Houston, TX	06/23/2021	04/05/2022	04/14/2022	USCA Securities LLC; USCA RIA LLC	Therese L. Surprenant, Attorney-at-Law	Patrick Michael Mendenhall; Christian Chance Bauman	1068809; 2731904	AdvisorLaw LLC	NO/NN	NO	2	G	Patrick Michael Mendenhall; Christian Chance Bauman	N/A	Brian James Tagtmeier	1

21-01621	Boca Raton, FL	06/24/2021	05/25/2022	06/06/2022	UBS Financial Services Incorporated; Janney Montgomery Scott LLC	John Murphy & Associates (UBS); ISC (JMS)	Rosario Cammarata Jr.	2510256	The Rosenfeld Law Office	NO	NO	4	G	Rosario Cammarata Jr.	N/A	Marie G. Peterson, CPA - Chair; Allen Robin; Carl Joseph Domino	1
21-01630	New York, NY	06/25/2021	12/20/2021	01/11/2022	Alexander Capital Limited Partnership	ISC	David Anthony Spratt	2555268	Holcomb + Ward LLP	NO	NO	3	G	David Anthony Spratt	N/A	Gerald M. Levine - Chair; Dora M. Lassinger, Esq.; Judith C. Aarons	1
21-01636	Jersey City, NJ	06/28/2021	02/15/2022	03/08/2022	LPL Financial LLC	ISC	James Edward Dy	2877282	AdvisorLaw LLC	NO	NO	1	G	James Edward Dy	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
21-01637	Boca Raton, FL	06/28/2021	02/25/2022	03/14/2022	Morgan Stanley	ISC	Charles Peter Wallace	2232489	Zadanosky & Associates PA	NO	NO	1	G	Charles Peter Wallace	N/A	Robert G. Geeseman, Esq.	1
21-01644	Albany, NY	06/28/2021	03/04/2022	03/30/2022	Prime Capital Services Incorporated	ISC	Jason Harry Kurchner	1173411	AdvisorLaw LLC	NO/NN NO-D	NO	3	G	Jason Harry Kurchner	N/A	Ted M. Rosen, Esq.	2
21-01661	New York, NY	07/01/2021	09/20/2022	10/13/2022	Santander Securities LLC	Bressler Amery & Ross	Joseph Pietrykowski	U	Todd A. Zuckerbrod PA	UN	OB	3	D	N/A	Joseph Pietrykowski	Richard W. Cutler, Esq. - Chair; Linda Ashley, Esq.; Jerome Francis Cangialosi	8
21-01685	Des Moines, IA	07/01/2021	01/21/2022	01/28/2022	FSC Securities Corporation	ISC	Paul Andrew Barr	1748415	AdvisorLaw LLC	NN	NO	1	G	Paul Andrew Barr	N/A	Robert J. Scafuri, Esq.	1
21-01708	Phoenix, AZ	07/02/2021	01/10/2022	02/03/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	Scott Alan Turcott	3123428	Shumaker Loop & Kendrick	NO	NO	2	G	Scott Alan Turcott	N/A	Benjamin F. Breslauer - Chair; Howard Gerber; John B. Kinsellagh, Esq.	1
21-01726	San Juan, PR	07/07/2021	02/24/2022	03/15/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Angel Manuel Canabal	2180310	Toro Colon Mullet PSC	NO	NO	10	G	Angel Manuel Canabal	N/A	Martin A. Feigenbaum, Esq.	2
21-01729	San Diego, CA	07/07/2021		12/17/2021	Fidelity Brokerage Services LLC	ISC	Benjamin C. Lau	U	HLBS Law	UN	NO E	1	D	N/A	Benjamin C. Lau	Kevin K. Forrester, Esq.	0
21-01738	Portland, OR	07/08/2021	01/27/2022	02/28/2022	MKG Financial Group Incorporated	ISC	Mark Kim Gaskill	848103	AdvisorLaw LLC	NO/NN	NO	5	G	Mark Kim Gaskill	N/A	James E. Bartels	1

21-01745	San Francisco, CA	07/09/2021	02/15/2022	02/28/2022	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Advisors Financial Network	Bressler Amery & Ross, MLPFS); ISC (WFA)	Dax Thomas Williamson	2736690	Louviere Law Firm PA	NO/NN	NO	3	G	Dax Thomas Williamson	N/A	Thomas D. Reese, Esq.	1
21-01746	Columbia, SC	07/09/2021	02/17/2022	02/25/2022	Edward Jones; AG Edwards & Sons Incorporated	Quarles & Brady LLP (EDJ); ISC (AGE)	William Paschal	2327724	AdvisorLaw LLC	NO	NO	2	G	William Paschal	N/A	Theodore Haynes	1
21-01747	San Francisco, CA	07/09/2021	03/29/2022	03/31/2022	Morgan Stanley	ISC	Michael Patrick Ross	1639250	HLBS Law	NO	NO	1	G	Michael Patrick Ross	N/A	Shawn Ridgell	1
21-01751	Pittsburgh, PA	07/12/2021	10/29/2021	11/12/2021	Cambridge Investment Research Incorporated	ISC	Bradley Darryl Tiche	2072348	AdvisorLaw LLC	OB	NO	1	G	Bradley Darryl Tiche	N/A	Robert E. Anderson, Esq.	1
21-01754	Chicago, IL	07/12/2021	06/07/2022	06/15/2022	Kestra Investment Services LLC	D'Amura & Zaidman	John Edward Freiburger	2163773	AdvisorLaw LLC	NO	NO	1	G	John Edward Freiburger	N/A	Steven H. Vogel, Esq.	1
21-01761	Chicago, IL	07/18/2021	07/19/2022	11/07/2022	Insight Securities Incorporated	ISC	Carlos Javier Legaspy	2148751	The Iavarone Law Firm	NO	NO	4	G	Carlos Javier Legaspy	N/A	Lawrence W. Arness, Esq. - Chair; Marilee Roberg, JD; Seymour Andrew Newman	3
21-01781	Jersey City, NJ	07/13/2021	02/03/2022	02/18/2022	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	Donald Michael Albach	1812200	Louviere Law Firm PA	NO	NO	3	G	Donald Michael Albach	N/A	Joan M. Traub, Esq.	1
21-01816	San Juan, PR	07/16/2021	02/17/2022	02/28/2022	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	David L. Rojas	3139380	McConnell Valdes LLC	NO	NO	1	G	David L. Rojas	N/A	Martin A. Feigenbaum, Esq.	1

21-01829	New York, NY	07/19/2021	09/27/2021	10/05/2021	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	Ranjesh Kumar Singh	4254820	Bressler Amery & Ross	NO	NO	1	G	Ranjesh Kumar Singh	N/A	Josian Antoine, Esq.	1
21-01843	San Juan, PR	07/20/2021	02/09/2022	02/14/2022	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Ricardo Eboli-Kodesh	4313868	McConnell Valdes LLC	NO	NO	20	G	Ricardo Eboli-Kodesh	N/A	Christopher J. Klein, Esq.	2
21-01848	Dallas, TX	07/21/2021	03/07/2022	04/08/2022	Mutual of Omaha Investor Services Incorporated	Cline Williams et al.	Michael Lee Escobar	5743023	Galvin Legal PLLC	NO	NO	1	G	Michael Lee Escobar	N/A	Robert J. Gregory - Chair; Jay M. Vogelsson; Kurt L. Smith	1
21-01881	New York, NY	07/23/2021	10/18/2021	11/05/2021	Belle Haven Investments Limited Partnership	Winget Spadafora & Schwartzberg LLP	Frank A. Delli Carpini	2156928	Bressler Amery & Ross	OB/NO	NO	4	G	Frank A. Delli Carpini	N/A	Susan A. Romano	1
21-01889	New York, NY	07/23/2021	03/16/2022	03/21/2022	National Securities Corporation	ISC	Christopher Bond	4658534	Carmel Milazzo & Feil LLP	NO	NO	1	G	Christopher Bond	N/A	Ira A. Auerbach	1
21-01895	Los Angeles, CA	07/26/2021	02/03/2022	03/02/2022	JRL Capital Corporation	ISC	Larry Richard Law	4658534	HLBS Law	NO/NN	NO	2	G	Larry Richard Law	N/A	Robert D. Sussin, Esq.	1
21-01898	New Orleans, LA	07/26/2021	02/22/2022	03/17/2022	UBS Financial Services Incorporated; AG Edwards & Sons Incorporated; FSC Securities Corporation	John Murphy & Associates (UBS); Park Sensenig et al. (AGE); ISC (FSCS)	William Luther Crull IV	2013409	AdvisorLaw LLC	NO/NN	NO	8	G/W	William Luther Crull IV	N/A	Brian James Tagtmeier	1
21-01904	New York, NY	07/26/2021	01/26/2022	02/04/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert George Funk	2488055	Galvin Legal PLLC	NO	NO	2	G	Robert George Funk	N/A	Robert E. Anderson, Esq. - Chair; Alexander B. Rubin; Abe I. Borenstein	1

21-01907	Albany, NY	07/26/2021	02/17/2022	02/23/2022	Key Investment Services LLC	Moran Karamouzis LLP	James Robert Boyer	4157163	Louviere Law Firm PA	NO	NO	2	G	James Robert Boyer	N/A	Stuart M. Schwartz, Esq.	1
21-01911	St. Louis, MO	07/27/2021	03/07/2022	03/10/2022	Berthel Fisher & Company Financial Services Incorporated	ISC	Joseph Robert Weinbauer	U	AdvisorLaw LLC	OB	NO	1	D	N/A	Joseph Robert Weinbauer	Gregory G. Gocek	2
21-01912	Denver, CO	07/29/2021	02/15/2022	03/28/2022	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated	Kauff Laton Miller LLP (CGM); John Murphy & Associates (UBS)	Julie Smith Johnson	2972794	Galvin Legal PLLC	NO	NO	2	G	Julie Smith Johnson	N/A	Philip J. Glick, Esq. - Chair; Michael Jeffrey Norton, Esq.; Gregory M. Scanlon, Esq.	1
21-01919	New York, NY	07/27/2021	03/15/2022	03/24/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Timothy Ray Hilton	4321144	Zinober Diana & Monteverde	NO	NO	2	G	Timothy Ray Hilton	N/A	Edmund Timothy Donovan	1
21-01929	Los Angeles, CA	07/28/2021	09/14/2022	11/02/2022	Banc of America Investment Services Incorporated; Morgan Stanley	Buchanan Ingersoll & Rooney (BAIS); Keesal Young & Logan (MSSB)	Richard L. Sholty Jr.	U	HLBS Law	UN	OB/NOE	3	D	N/A	Richard L. Sholty Jr.	Edith N. Dinneen, Esq. - Chair; David Harvey Failer; Jeffrey E. Skogsbergh, Esq.	1
21-01933	Washington, DC	07/28/2021	03/15/2022	03/16/2022	Northwestern Mutual Investment Services LLC	ISC	Aubrey Jones Rosser III	exe	AdvisorLaw LLC	NO	NO	1	G	Aubrey Jones Rosser III	N/A	Richard P. Regan, Esq.	1
21-01937	San Juan, PR	07/29/2021	02/03/2022	02/11/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Eduardo E. Caban Silva	4759706	McConnell Valdes LLC	NO	NO	3	G	Eduardo E. Caban Silva	N/A	Gerald Silverman, Esq.	1

21-01938	Portland, OR	07/29/2021		03/25/2022	US Bancorp Investments Incorporated	Dorsey & Whitney	Shawn Patrick Weidmann	U	AdvisorLaw LLC	UN	OB E	1	D	N/A	Shawn Patrick Weidmann	Mark Lee Haggard	0
21-01946	Dallas, TX	07/30/2021	02/08/2022	02/14/2022	Principal Financial Securities Incorporated	No-show	Travis Daniel Sullivan Jr.	U	AdvisorLaw LLC	NN	NO	1	D	N/A	Travis Daniel Sullivan Jr.	Robert J. Gregory	1
21-01959	New York, NY	07/30/2021	03/23/2022	04/13/2022	The Equitable Life Assurance Society of The United States	Gordon Rees et al.	Cynthia Mary Couyoumjian	1456630	HLBS Law	NO/NN	NO	3	G/D	Cynthia Mary Couyoumjian	N/A	Josian Antoine, Esq. - Chair; Denise L. Quarles, Esq.; Nadia Polack	1
21-01967	Cleveland, OH	08/02/2021	03/24/2022	03/29/2022	The ON Equity Sales Company	ISC	Karl David Schlabach; Andrew Stephen Miller	3050103; U	FA Expungement	OB	NO	2	G/D	Karl David Schlabach	Andrew Stephen Miller	Gary B. Deutsch	1
21-01972	Cleveland, OH	09/07/2021	10/19/2022	10/25/2022	Cetera Advisors LLC	ISC	Jess W. Hurst II	1742952	Reminger Co. LPA	NO	NO	2	G/D	Jess W. Hurst II	N/A	Lynn Hirschfeld Brahin, Esq. - Chair; David Arnold; Scott C. Matasar	1
21-01978	Boca Raton, FL	08/02/2021	04/28/2022	05/09/2022	Ameriprise Financial Services Incorporated	ISC	Anthony John Leopizzi	1697946	HLBS Law	NO	NO	2	G	Anthony John Leopizzi	N/A	Louis David Huss	1
21-01986	Hartford, CT	08/03/2021	03/28/2022	05/02/2022	LPL Financial LLC	ISC	Cynthia Ann Giovacchino	3274194	AdvisorLaw LLC	OB/NO	NO	3	G	Cynthia Ann Giovacchino	N/A	Linda J. Baer, Esq.	1
21-01990	Boca Raton, FL	08/03/2021	03/22/2022	03/25/2022	Rainmaker Securities LLC	ISC	Glen Wayne Anderson	5030000	HLBS Law	OB	NO	1	G	Glen Wayne Anderson	N/A	Louis David Huss	1
21-01993	New York, NY	08/03/2021	10/05/2021	10/06/2021	UBS Financial Services Incorporated	ISC	Kathleen M. Entwistle	2832985	Bressler Amery & Ross	NO	NO	1	G	Kathleen M. Entwistle	N/A	Michael H. DuBoff, Esq.	1
21-02004	New York, NY	08/04/2021	02/02/2022	02/08/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jared Philip Zufacht	4600260	Deutsch & Lipner	NO	NO	1	G	Jared Philip Zufacht	N/A	Robert E. Anderson, Esq.	1

21-02026	Los Angeles, CA	08/05/2021	02/16/2022	02/18/2022	Wells Fargo Clearing Services LLC	ISC	Dennis Michael Franklin	1584691	Keesal Young & Logan	NO	NO	1	G	Dennis Michael Franklin	N/A	Erik R. Siering	1
21-02027	Boca Raton, FL	08/05/2021	01/26/2022	01/27/2022	Investors Capital Corporation	Winget Spadafora & Schwartzberg LLP	Paul Robert DiPietro	4313454	Farrar Law PLLC	NO	NO	1	G	Paul Robert DiPietro	N/A	Kimberly A. Gilmour, Esq.	1
21-02031	Boca Raton, FL	08/06/2021	03/07/2022	04/05/2022	Dawson James Securities Incorporated	Kaufman Dolowich & Voluck LLP	Paul Robert DiPietro	4313454	Farrar Law PLLC	OB/NO	NO	7	G	Paul Robert DiPietro	N/A	Will Murphy, Esq.	5
21-02038	Las Vegas, NV	08/06/2021	10/08/2021	10/13/2021	UBS Financial Services Incorporated	ISC	Michael William Chudd	2531241	Bressler Amery & Ross	NO	NO	1	G	Michael William Chudd	N/A	Kirtley M. Thiesmeyer, Esq.	1
21-02043	San Francisco, CA	08/07/2021	03/15/2022	03/22/2022	Edward Jones	Keesal Young & Logan	David McFarland Amann	4665018	FA Expungement	NO	NO	2	G	David McFarland Amann	N/A	Alden Sharp Adkins	1
21-02046	Detroit, MI	08/09/2021	03/02/2022	03/03/2022	Foresters Financial Services Incorporated	Bressler Amery & Ross	Gurveer Singh Mann	4552860	HLBS Law	NN	NO	1	G	Gurveer Singh Mann	N/A	Patrick R. Sughroue, Esq.	1
21-02048	Houston, TX	08/09/2021	04/14/2022	04/21/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Guy Champion Clayton	2600744	AdvisorLaw LLC	NO	NO	1	G	Guy Champion Clayton	N/A	Lynne M. Gomez, Esq.	1
21-02049	Jersey City, NJ	08/09/2021	02/25/2022	03/02/2022	Wells Fargo Clearing Services LLC	ISC	Michael Piccolo	2614880	FA Expungement	OB/NO	NO	3	G	Michael Piccolo	N/A	Kenneth J. Horowitz	1
21-02059	Los Angeles, CA	08/10/2021	01/26/2022	01/31/2022	LPL Financial LLC	ISC	Michael Patrick Hatch	1968086	Ghabai Law Group LLC	NO	NO	1	G	Michael Patrick Hatch	N/A	Erik R. Siering	1
21-02060	Philadelphia, PA	08/18/2021	03/08/2022	03/23/2022	UBS Financial Services Incorporated	John Murphy & Associates	John Joseph Hanlon IV	1092690	AdvisorLaw LLC	NO	NO	4	G	John Joseph Hanlon IV	N/A	Louis P. Wagman	1
21-02061	Atlanta, GA	08/10/2021	09/08/2022	09/22/2022	AG Edwards & Sons Incorporated	ISC	Sandra Pope Edwards	1817103	AdvisorLaw LLC	OB	NO	2	G	Sandra Pope Edwards	N/A	James C. Hoover, Esq.	1
21-02062	Los Angeles, CA	08/10/2021	05/04/2022	05/05/2022	LPL Financial LLC	ISC	Jerry Sterling Blakely	1680680	HLBS Law	NO	NO	1	G	Jerry Sterling Blakely	N/A	Robert E. Jenks	1

21-02075	Philadelphia, PA	08/11/2021	03/03/2023	06/26/2023	New England Securities	Harris & Affiliates Ltd.	Bernard Joseph Audet	U	Wilson Elser et al.	NO	OB	6	D/W	N/A	Bernard Joseph Audet	John James McGovern, Jr., Esq. - Chair; Robin L. Lewis; Alan M. Schankel	5
21-02082	Philadelphia, PA	08/12/2021	03/15/2022	03/25/2022	Wells Fargo Clearing Services LLC	ISC	Manfred Kanther	3102721	Louviere Law Firm PA	NO	NO	4	G	Manfred Kanther	N/A	Guillermo L. Bosch, Esq.	1
21-02087	New York, NY	08/12/2021	09/23/2021	10/01/2021	UBS Financial Services Incorporated	ISC	Ronald Francis Giancristofaro	2531225	Bressler Amery & Ross	NO	NO	1	G	Ronald Francis Giancristofaro	N/A	Alice E. Winkler, Esq.	1
21-02088	New York, NY	08/12/2021	11/23/2021	11/24/2021	UBS Financial Services Incorporated	ISC	Holly Lee Hendrix	836958	Bressler Amery & Ross	NO	NO	1	G	Holly Lee Hendrix	N/A	Steven C. Kasarda	1
21-02092	New York, NY	08/12/2021	03/24/2022	04/14/2022	Ameriprise Financial Services LLC	ISC	Anthony J. Salerno	2910121	Saretsky Hart et al.	NO	NO	1	G	Anthony J. Salerno	N/A	Arthur Neil Tolciss, Esq.	1
21-02104	San Juan, PR	08/13/2021	03/10/2022	03/14/2022	UBS Financial Services Incorporated of Puerto Rico	McConnell Valdes LLC	Jose E. Chaves; Jose A. Chaves	5827677; 1854754	Toro Colon Mullet PSC	NO	NO	2	G	Jose E. Chaves; Jose A. Chaves	N/A	Nancy J. Cliff, Esq.	1
21-02117	Kansas City, MO	08/18/2021	03/14/2022	04/05/2022	None.	Customers	Phillip Adam Rademacher	2233448	Kean Miller LLP	OB	OB	1	G	Phillip Adam Rademacher	N/A	Lawrence R. Maxwell, Jr., Esq. - Chair; Brandon Gordon Kinney; Veronica Sellers	4
21-02124	San Francisco, CA	08/17/2021	04/20/2022	04/25/2022	Citicorp Investment Services; TD Ameritrade Incorporated; Wells Fargo Investments LLC	Kauff Laton Miller LLP (CIS); Keesal Young & Logan (TDA); ISC (WFI)	Mearu Takatsu	3141582	Louviere Law Firm PA	NO/NN	NO	3	G	Mearu Takatsu	N/A	Daniel M. Yamshon, Esq.	1
21-02138	San Francisco, CA	08/18/2021	02/22/2022	03/25/2022	TD Ameritrade Incorporated	Keesal Young & Logan	Ian Ashley Castille	5091378	HLBS Law	NO	NO	1	G	Ian Ashley Castille	N/A	William W. Haskell, Esq.	1
21-02148	Charlotte, NC	08/19/2021	02/17/2022	03/02/2022	Raymond James Financial Services Incorporated	ISC	Lisa L. Hanline	1893911	Bruce W. Barnes PA	NO	NO	1	G	Lisa L. Hanline	N/A	Michael J. Ahlstrom, Esq.	1

21-02156	New York, NY	08/19/2021	01/28/2022	02/07/2022	Alexander Capital Limited Partnership	ISC	Michele Ann Misiti	1931272	Holcomb + Ward LLP	NO	NO	3	G	Michele Ann Misiti	N/A	Madelon M. Rosenfeld, Esq. - Chair; Mary Julia O'Connell; Adam M. Kauff	1
21-02157	New York, NY	08/20/2021	02/25/2022	03/02/2022	Alexander Capital Limited Partnership	ISC	Rocco Gerard Guidici Pietro	U	Holcomb + Ward LLP	NO	NO	5	D	N/A	Rocco Gerard Guidici Pietro	Harvey Barrison, Esq. - Chair; Phillip Michael Brown; Joan Ellen Hoffman	1
21-02175	Houston, TX	08/26/2021	04/25/2022	04/29/2022	GF Investment Services LLC	No-show	Michael Allen Neuenschwander	4212297	AdvisorLaw LLC	OB	NO	1	G	Michael Allen Neuenschwander	N/A	Maryanne M. Esser, Esq.	1
21-02188	San Juan, PR	08/24/2021	03/23/2022	03/28/2022	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	David L. Rojas	3139380	McConnell Valdes LLC	NO	NO	1	G	David L. Rojas	N/A	Louis David Huss	1
21-02200	Denver, CO	08/26/2021	04/07/2022	04/14/2022	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	Keys Ericson Tinney	3031776	HLBS Law	NO	NO	3	G	Keys Ericson Tinney	N/A	Anita Rae Shapiro, Esq.	1
21-02211	Chicago, IL	08/30/2021	06/01/2022	06/02/2022	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley DW Incorporated	Bressler Amery & Ross (MLPFS); ISC (MSDW)	Timothy O'Connor	U	FA Expungement	UN	NO	1	D	N/A	Timothy O'Connor	Thomas P. Valenti	1
21-02214	San Diego, CA	08/25/2021	03/22/2022	03/23/2022	LPL Financial LLC	ISC	Danielle DeMarce Stanton	2416479	The Law Offices of Patrick R. Mahoney	NO	NO	1	G	Danielle DeMarce Stanton	N/A	Kirtley M. Thiesmeyer, Esq. - Chair; Thomas L. Marshall; Robert A. Lakosil	1
21-02239	Atlanta, GA	08/31/2021	10/03/2022	10/24/2022	M Holdings Securities Incorporated	Tadjedin Thomas & Engbloom Law Group LLP	Walter Lee Helms	4620202	AdvisorLaw LLC	UN	NO	1	D	N/A	Walter Lee Helms	Mollie Wagner Neal, Esq.	1
21-02257	New York, NY	09/02/2021	04/27/2022	05/04/2022	Alexander Capital Limited Partnership	ISC	Joseph Amato	2751635	Holcomb + Ward LLP	NO	NO	2	G	Joseph Amato	N/A	Harrison Johnson - Chair; Veronica Ann Williams; Stephen J. Patti, Esq.	1

21-02274	Boca Raton, FL	09/07/2021	01/20/2022	01/21/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	C. Todd Weissing	726414	Schwed Kahle & Kress	NO	NO	1	G	C. Todd Weissing	N/A	Mark C. Perry, Esq.	1
21-02277	Jersey City, NJ	09/07/2021	02/10/2022	02/14/2022	RBC Capital Markets LLC	Dorsey & Whitney	Jeffrey Stuart Rosenblum	2612975	Louviere Law Firm PA	NN	NO	1	G	Jeffrey Stuart Rosenblum	N/A	Jeffrey Alan Helewitz, Esq.	1
21-02292	Jersey City, NJ	09/09/2021	04/14/2022	04/21/2022	Citigroup Global Markets Incorporated; RBC Capital Markets LLC	Kauff Laton Miller LLP (CGM); Dorsey & Whitney (RBC)	David Hugh Bindelglass	3201389	HLBS Law	NO/NN	NO	2	G	David Hugh Bindelglass	N/A	Robert E. Anderson, Esq.	1
21-02303	Oklahoma City, OK	09/10/2021	04/19/2022	04/25/2022	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	Michelle R. Coble	5135075	AdvisorLaw LLC	NO	NO	1	G	Michelle R. Coble	N/A	Mark C. Watler, JD	1
21-02316	New York, NY	09/13/2021	05/03/2022	05/13/2022	Advest Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Wilson Moore	2526192	AdvisorLaw LLC	NO/NN	NO	5	G/W	Thomas Wilson Moore	N/A	Ronald Harris Kisner	1
21-02325	Phoenix, AZ	09/14/2021	06/01/2022	06/03/2022	Wells Fargo Clearing Services LLC	ISC	Travis J. McGann	5089368	AdvisorLaw LLC	NO/NN	NO	1	G	Travis J. McGann	N/A	Walter Steven Schwartz	1
21-02329	Louisville, KY	09/15/2021	04/21/2022	04/26/2022	Securities America Incorporated	ISC	Benjamin Hoehler	5159652	AdvisorLaw LLC	NO	NO	1	G	Benjamin Hoehler	N/A	Douglas M. Branson, LLM	1
21-02330	San Juan, PR	09/15/2021	05/18/2022	05/26/2022	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	David L. Rojas	3139380	McConnell Valdes LLC	NO	NO	1	G	David L. Rojas	N/A	Elena G. Rodriguez	1

21-02334	San Francisco, CA	09/20/2021	03/30/2022	04/08/2022	Ameriprise Financial Services Incorporated; Countrywide Investment Services Incorporated; Unionbank Investment Services LLC; Wells Fargo Investments LLC	ISC (AFS & WFI); Bressler Amery & Ross (CIS); Keesal Young & Logan (UIS)	Vu Hoang Nguyen	3046369	HLBS Law	OB/NO NN	NO	8	G/D	Vu Hoang Nguyen	N/A	Shawn Ridgell	2
21-02355	Houston, TX	09/17/2021	07/22/2022	07/25/2022	RBC Capital Markets LLC	Dorsey & Whitney	Randy Scott Nelson	841006	AdvisorLaw LLC	NO	NO	1	G	Randy Scott Nelson	N/A	Lynne M. Gomez, Esq.	1
21-02366	San Francisco, CA	09/20/2021	03/31/2022	04/01/2022	Centaurus Financial Incorporated; Securities America Incorporated	ISC	James Orth Davis	1530880	Louviere Law Firm PA	NO/NN	NO	2	G	James Orth Davis	N/A	William W. Haskell, Esq.	1
21-02378	Boston, MA	10/26/2021	06/16/2022	06/29/2022	Morgan Stanley; Morgan Stanley DW Incorporated; UBS Financial Services Incorporated	ISC (MSSB & MSDW); John Murphy & Associates (UBS)	Jonathan William Lonske	2594921	AdvisorLaw LLC	NO/NN	NO	5	G/D	Jonathan William Lonske	N/A	Linda J. Baer, Esq.	1
21-02381	New York, NY	09/20/2021	02/18/2022	03/09/2022	CIBC World Markets Corporation	ISC	Jason Paul Sardo	2157822	FA Expungement	NO	NO	1	G	Jason Paul Sardo	N/A	Wallace Anthony Showman, Esq.	1
21-02391	New York, NY	09/21/2021	05/06/2022	05/09/2022	DPEC Capital Incorporated; Westrock Advisors Incorporated	ISC	Steven William Rapoport	2688043	Sichenzia Ross Ference LLP	NO	NO	3	G	Steven William Rapoport	N/A	Sandra J. Mullings, Esq.	1
21-02393	Denver, CO	09/21/2021	10/20/2022	11/07/2022	JP Morgan Securities LLC	Keesal Young & Logan	Jerry Mathew	6217636	Henneman Raulet al.	NO	NO	1	G	Jerry Mathew	N/A	Gregory G. Gocek - Chair; Ronald G. Guida; Patricia M. Bottoms	1

21-02408	Los Angeles, CA	09/22/2021	06/28/2022	07/07/2022	Concorde Investment Services LLC	Holcomb + Ward LLP	Jim Andrew Lund	1713921	Winget Spadafora & Schwartzberg	NO	NO	1	G	Jim Andrew Lund	N/A	Sandra L. Malek, Esq.	1
21-02412	New York, NY	12/22/2021	07/18/2022	07/28/2022	Halcyon Cabot Partners Limited	No-show	Siddarth P. Reddy	1713921	The Rosenfeld Law Office	UN	NO	3	D	N/A	Siddarth P. Reddy	Dora M. Lassinger, Esq. - Chair; Howard D. Jacob, Esq.; Margarita Echevarria, Esq.	1
21-02413	San Juan, PR	09/23/2021	03/04/2022	03/16/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Sonia Pou Monagas	1813503	McConnell Valdes LLC	NO	NO	1	G	Sonia Pou Monagas	N/A	Elena G. Rodriguez	1
21-02415	New York, NY	09/29/2021	03/08/2022	04/20/2022	Aegis Capital Corporation ; Laidlaw & Company (UK) Limited	ISC	Stephen Giannantonio	2309181	Conway & Conway	NO	NO	4	G	Stephen Giannantonio	N/A	Clive I. Morrick	1
21-02432	San Juan, PR	09/24/2021	04/20/2022	04/26/2022	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC;	Orlando Javier Perez; Viviana Cristina Perez Cordero	1019547; 4116565	McConnell Valdes LLC	NO	NO	11	G	Orlando Javier Perez; Viviana Cristina Perez Cordero	N/A	Louis David Huss	1
21-02449	Wilmington, DE	09/27/2021	04/25/2022	05/04/2022	LPL Financial LLC	ISC	G. Ward Keever	1967086	Ghabai Law Group LLC	NO	NO	1	G	G. Ward Keever	N/A	Robert E. Anderson, Esq.	1
21-02456	Jersey City, NJ	09/28/2021	01/07/2022	02/02/2022	UBS Financial Services Incorporated	ISC	Robert A. Clear	48338	Bressler Amery & Ross	NO	NO	2	G	Robert A. Clear	N/A	Robert E. Anderson, Esq.	1
21-02457	Philadelphia, PA	09/28/2021	04/21/2022	04/26/2022	Lincoln Investment	Winget Spadafora & Schwartzberg	Joslyn Gail Ewart	2232801	Marshall Dennehey et al.	NN	NO	1	G	Joslyn Gail Ewart	N/A	Carol H. Gold, Esq. - Chair; Louis P. Wagman; Richard Frank Colello	1

21-02469	Pittsburgh, PA	09/29/2021	09/14/2022	09/21/2022	Stifel Nicolaus & Company Incorporated; Oppenheimer & Company Incorporated	ISC	Guy Deemer	U	FA Expungement	UN	NO	1	D	N/A	Guy Deemer	John Joseph Neely - Chair; Richard W. Dissen, Esq.; David Michael Stabile	1
21-02474	Los Angeles, CA	09/28/2021	11/18/2022	12/29/2022	Edward Jones	Keesal Young & Logan	Zhe Feng Zhang	6334674	Law Offices of Montgomery G. Griffin	NO	NO	1	G	Zhe Feng Zhang	N/A	Kirtley M. Thiesmeyer, Esq. - Chair; Jonathan D. Gereige; Steve S. Baghoomian, Esq.	1
21-02478	Chicago, IL	09/30/2021	04/06/2022	04/08/2022	LPL Financial LLC	ISC	Ranjit Bahadur	2968881	Louviere Law Firm PA	NO	NO	1	G	Ranjit Bahadur	N/A	Theodore W. Wroblecki, Esq.	1
21-02480	Houston, TX	09/30/2021	06/30/2022	07/12/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Hal Mitchell Finberg	1743294	AdvisorLaw LLC	NN	NO	1	G	Hal Mitchell Finberg	N/A	Thomas A. Martin, Esq.	1
21-02481	Birmingham, AL	09/29/2021	01/07/2022	01/13/2022	Wells Fargo Clearing Services LLC	ISC	Charles Henry Carson	6294611	Bressler Amery & Ross	NN	NO	1	G	Charles Henry Carson	N/A	David A. Schuler	1
21-02483	New York, NY	09/29/2021	03/01/2022	04/12/2022	Fidelity Brokerage Services LLC	ISC	George Alexander Milani	U	Bressler Amery & Ross	NO	NO	1	D	N/A	George Alexander Milani	David I. Goldblatt, Esq.	2
21-02511	New York, NY	10/04/2021	05/04/2022	05/20/2022	Alexander Capital Limited Partnership	ISC	Jeanpaul Charles Skovronck	6294611	Holcomb + Ward LLP	NO	NO	4	G	Jeanpaul Charles Skovronck	N/A	Alfreida B. Kenny, Esq. - Chair; William A. Rome, JD; Christopher C. Gorski, Esq.	1
21-02520	Philadelphia, PA	10/04/2021	11/29/2021	12/17/2021	Wells Fargo Clearing Services LLC	ISC	Michele L. Girgenti	4095670	Bressler Amery & Ross	NO	NO	1	G	Michele L. Girgenti	N/A	Louis P. Wagman	1
21-02526	Honolulu, HI	10/06/2021	05/17/2022	05/27/2022	LPL Financial LLC	ISC	David John Kimura	3159954	HLBS Law	OB	NO	2	G/D	David John Kimura	N/A	Laurel Littman Gothelf, MPH	1
21-02545	New York, NY	10/06/2021	06/30/2022	07/11/2022	Woodbury Financial Services Incorporated	ISC	Edward Paul Hadel	1017223	Winget Spadafora & Schwartzberg	NO	NO	1	G	Edward Paul Hadel	N/A	Joan Maxine Secofsky	1

21-02546	Birmingham, AL	10/07/2021	07/07/2022	07/14/2022	Morgan Keegan & Company LLC; Raymond James & Associates Incorporated	ISC	John Dwight Brewer; Jeannan Castleberry Brewer	1017982; 4053759	HLBS Law	NO/NN	NO	4	G	John Dwight Brewer; Jeannan Castleberry Brewer	N/A	Michael J. Ahlstrom, Esq.	1
21-02550	Dallas, TX	10/08/2021	05/18/2022	09/01/2022	FSC Securities Corporation ; KMS Financial Services Incorporated	ISC	Drew Alan Springer, Sr.	802035	AdvisorLaw LLC	NO/NN	NO	2	G	Drew Alan Springer, Sr.	N/A	Thomas W. Allen	2
21-02558	New Orleans, LA	10/08/2021	04/27/2022	05/11/2022	National Planning Corporation ; MML Investors Services LLC	Saretsky Hart et al. (NP); Stevens & Lee (MML)	Brian Daniel Parker	802035	AdvisorLaw LLC	NO	NO	2	D	N/A	Brian Daniel Parker	Jeffrey H. Kilgore, Esq.	1
21-02565	Phoenix, AZ	10/10/2021	06/27/2022	06/30/2022	Newbridge Securities Corporation	Kaufman Dolowich & Voluck LLP	Kerri Suzanne Jamison	4348584	FA Expungement	NO	NO	3	G	Kerri Suzanne Jamison	N/A	George W. Harding	1
21-02572	San Juan, PR	10/11/2021	03/14/2022	03/22/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Gabriel A. Matos	4575302	McConnell Valdes LLC	NO	NO	5	G	Gabriel A. Matos	N/A	Christopher J. Klein, Esq.	1
21-02619	Nashville, TN	10/15/2021	12/20/2021	12/28/2021	UBS Financial Services Incorporated	ISC	James L. Candella	4365560	Bressler Amery & Ross	NO	NO	3	G	James L. Candella	N/A	Karl A. Vogeler, III	1
21-02633	Tampa, FL	10/18/2021	05/05/2022	05/12/2022	Questar Capital Corporation	Johnson Cassidy et al.	Jason Michael Edwards	4182788	HLBS Law	NO/NN	NO	2	G	Jason Michael Edwards	N/A	Gayle B. Carlson, Esq.	1
21-02638	New York, NY	10/19/2021	11/07/2022	11/08/2022	Morgan Stanley	ISC	Jeffrey Filone	2651076	Ellenoff Grossman & Schole	NO	NO	1	G	Jeffrey Filone	N/A	Clive I. Morrisk - Chair; Pierre F. de Ravel d'Esclapon; Antoinette E. La Bella	1

21-02677	Los Angeles, CA	10/21/2021	04/13/2022	04/27/2022	Transamerica Financial Advisors Incorporated	ISC	Rusty Allen Hood	4890998	Louviere Law Firm PA	OB/NO	NO	3	G	Rusty Allen Hood	N/A	Neil S. Jasper	2
21-02682	Philadelphia, PA	10/22/2021	06/01/2022	06/24/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Gary Edward Karch	1773456	AdvisorLaw LLC	NO	NO	1	G	Gary Edward Karch	N/A	Carol H. Gold, Esq.	1
21-02693	Los Angeles, CA	10/22/2021	05/26/2022	05/27/2022	UBS Financial Services Incorporated	John Murphy & Associates	Eric Garcia Moreno	2135789	Keesal Young & Logan	OB	NO	1	G	Eric Garcia Moreno	N/A	Robert E. Jenks	1
21-02703	Seattle, WA	10/26/2021	05/03/2022	05/13/2022	Banc of America Securities LLC	Bressler Amery & Ross	Peter Dierks Joers III	2169200	AdvisorLaw LLC	NO/NN	NO	1	G	Peter Dierks Joers III	N/A	Stephany Adriene Watson, Esq.	1
21-02705	Boca Raton, FL	10/26/2021	03/30/2022	04/04/2022	Morgan Stanley Smith Barney LLC	ISC	Sean Fetterman; Adam Fetterman; David Raphan	1918944; 2053684; 4552866	Greenberg Traurig LLP	NO	NO	3	G	Sean Fetterman; Adam Fetterman; David Raphan	N/A	Christopher J. Klein, Esq. - Chair; Thomas Mead Santoro, Esq.; George D. Davidson	1
21-02711	Boca Raton, FL	10/27/2021	07/12/2022	07/19/2022	Avantax Investment Services Incorporated	ISC	Charles Andrew Fischer	2164405	HLBS Law	NO	NO	1	G	Charles Andrew Fischer	N/A	Mark Allen Bilawsky	1
21-02716	New Orleans, LA	10/27/2021	07/06/2022	07/20/2022	Wells Fargo Clearing Services LLC	ISC	Keith Alva Fontenot	2296303	AdvisorLaw LLC	NO	NO	1	G	Keith Alva Fontenot	N/A	Simeon B. Reimonenq, Jr., Esq.	1
21-02723	Las Vegas, NV	10/27/2021	04/26/2022	05/04/2022	Wells Fargo Investments LLC	ISC	Marc Steven Kreisberger	2727114	FA Expungement	OB/NO	NO	3	G	Marc Steven Kreisberger	N/A	Milton N. Gross	1
21-02760	Boston, MA	01/11/2022	11/10/2022	02/10/2023	Signator Investors Incorporated	ISC	James Edmond Moniz	852438	AdvisorLaw LLC	NO	NO	5	G	James Edmond Moniz	N/A	Howard N. Gorney	3
21-02762	Jersey City, NJ	11/03/2021	08/23/2022	08/26/2022	Janney Montgomery Scott LLC	ISC	Stephen G. Powers	1339668	Donovan & Rainie	NO	NO	1	G	Stephen G. Powers	N/A	Martin R. Cramer	1
21-02763	Cincinnati, OH	11/03/2022	08/04/2022	08/09/2022	Fifth Third Securities Incorporated	Dinsmore & Shohl	Lisa Ann Murray	4652408	AdvisorLaw LLC	OB	NO E	1	G	Lisa Ann Murray	N/A	Mark Alexander Sipper	1

21-02773	Albuquerque, NM	11/03/2021	08/16/2022	08/26/2022	Investors Capital Corporation ; NYLife Securities LLC	ISC (IC); Emry Murdoch LLC (NYLS)	Roberto Alexandro Blanco	2762071	AdvisorLaw LLC	NO	NO	2	G	Roberto Alexandro Blanco	N/A	Michael Lancaster Garcia	1
21-02774	Hartford, CT	11/03/2021	04/29/2022	05/03/2022	Silver Oak Securities Incorporated	ISC	Heath G. Grossman	4018002	McGonigle PC	OB	NO	1	G	Heath G. Grossman	N/A	Thomas Matthew Madden	1
21-02776	San Francisco, CA	11/04/2021	06/21/2022	06/22/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ting Xie O'Connor	3154358	HLBS Law	NO	NO	2	G	Ting Xie O'Connor	N/A	Arocles Aguilar	1
21-02785	Jacksonville, FL	11/04/2021	05/25/2022	06/10/2022	Wells Fargo Clearing Services LLC	ISC	Christopher Howard Sivley	3070468	FA Expungement	NO	NO	5	G	Christopher Howard Sivley	N/A	Mitchel Weiss, Esq.	1
21-02790	New York, NY	11/05/2021	07/26/2022	08/31/2022	RBC Capital Markets LLC; The Jeffrey Matthews Financial Group LLC	Greenberg Traurig LLC (RBC); ISC (TJMFG)	Anthony DeMaio	1542177	Jardim Meisner & Susser	NO	NO	1	G	Anthony DeMaio	N/A	Brian John Gallagher	1
21-02807	San Juan, PR	11/09/2021	07/28/2022	08/02/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Angel M. Canabal	2180310	McConnell Valdes LLC	NO	NO	1	G	Angel M. Canabal	N/A	Martin A. Feigenbaum, Esq.	1
21-02811	Hartford, CT	11/09/2021	04/15/2022	04/29/2022	Silver Oak Securities Incorporated	Doug Baxley, Attorney-at-Law	Eric Hogarth	4799191	McGonigle PC	NO	NO	1	G	Eric Hogarth	N/A	Robert E. Anderson, Esq.	1
21-02813	Milwaukee, WI	11/10/2021	08/09/2022	08/15/2022	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Shawn Longley	2685281	AdvisorLaw LLC	OB/NO	NO	2	G	Shawn Longley	N/A	Michael F. Jordan, Esq.	1
21-02826	New York, NY	11/11/2021	05/10/2022	05/19/2022	UBS Financial Services Incorporated	John Murphy & Associates	David H. Howard Savetz	2425341	The Rosenfeld Law Office	NO	NO	2	G	David H. Howard Savetz	N/A	Julian F. Santos, Esq. - Chair; Roy Lukins Rowsell; Gregg Lance Zeoli	1

21-02827	New Orleans, LA	11/11/2021	06/23/2022	06/28/2022	VALIC Financial Advisors Incorporated	Shook Hardy & Bacon	Daniel M. Abraham Jr.	4945227	Louviere Law Firm PA	NO	NO	2	G	Daniel M. Abraham Jr.	N/A	Robert J. Gregory	1
21-02828	New York, NY	11/11/2021	07/06/2022	07/27/2022	Lincoln Financial Advisors Incorporated	ISC	Eric Stephen Schmidt	1550332	AdvisorLaw LLC	NO	NO	1	G	Eric Stephen Schmidt	N/A	Ira A. Auerbach	2
21-02832	Pittsburgh, PA	11/12/2021	07/06/2022	07/15/2022	Stifel Nicolaus & Company Incorporated; Ryan Beck and Company; Oppenheimer & Company Incorporated	ISC	Guy B. Deemer	2504584	FA Expungement	NO	NO	4	G/D	Guy B. Deemer	N/A	Louis Charles Schmitt, Jr.	1
21-02834	San Juan, PR	11/12/2021	06/17/2022	06/28/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Francisco Javier Landivar	2784555	McConnell Valdes LLC	NO	NO	5	G	Francisco Javier Landivar	N/A	Martin A. Feigenbaum, Esq.	1
21-02836	San Juan, PR	11/12/2021	04/27/2022	04/29/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Angel M. Canabal	2180310	Toro Colon Mullet PSC	NO	NO	9	G	Angel M. Canabal	N/A	Louis David Huss	2
21-02840	New York, NY	11/14/2021	06/29/2022	07/01/2022	National Securities Corporation	ISC	Stephen Brian Barry	4684851	Judex Law LLC	NO	NO	1	G	Stephen Brian Barry	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Peter Whittingham; David Stein	1
21-02845	New York, NY	11/15/2021	07/07/2022	07/22/2022	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Seth D. Marcus	2539153	Kalberer LLP	NN	NO	5	G	Seth D. Marcus	N/A	Howard L. Sobel	1
21-02864	Boca Raton, FL	11/18/2021	06/22/2022	06/28/2022	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Anthony Javarone	1721569	Gonzalez Shenkman & Buckstein	NO/NN	NO	2	G/D	Anthony Javarone	N/A	Leslie L. Cooney, Esq. - Chair; Stephenie Dorris; Robert C. Harris	1

21-02875	Chicago, IL	11/19/2021	02/15/2022	02/23/2022	Oppenheimer & Company Incorporated	ISC	John David Jacobs	872707	Bressler Amery & Ross	NO	NO	2	G	John David Jacobs	N/A	Leon Fox, JD	1
21-02877	Little Rock, AR	11/19/2021	08/02/2022	08/10/2022	Walnut Street Securities Incorporated	ISC	Christopher Charles Fess	U	Law Office of Charles M. O'Rourke	UN	NO	4	D	N/A	Christopher Charles Fess	Mary Elizabeth Skelnik - Chair; Robert L. Chisolm; William Stephen Lee	1
21-02881	Birmingham, AL	11/19/2021	05/31/2022	06/08/2022	CUSO Financial Services Limited Partnership	ISC	John David Holt	5921205	Bressler Amery & Ross	OB/NO	NO	2	G	John David Holt	N/A	Earle J. Schwarz, Esq.	1
21-02881	Los Angeles, CA	11/19/2021	07/26/2022	08/09/2022	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Aric Jonathan Zamel	3175815	Judex Law LLC	NO	NO	2	G	Aric Jonathan Zamel	N/A	Constance Ellen Boukidis - Chair; Gecole L. Harley; Lorraine Woodwark	1
21-02909	Raleigh, NC	11/23/2021	05/17/2022	05/20/2022	Cetera Advisors LLC	ISC	Kenneth Nelson	1780923	FA Expungement	OB	NO	1	G	Kenneth Nelson	N/A	John Winslow Griesser	1
21-02916	Des Moines, IA	11/29/2021	08/02/2022	08/04/2022	NRP Financial Incorporated	No-show	Keith James Gredys	4578790	AdvisorLaw LLC	NO	NO	1	G	Keith James Gredys	N/A	William M. Azkoul, JD; David J. Hase (Withdraw)	1
21-02919	Jacksonville, FL	11/24/2021	07/19/2022	08/01/2022	First Allied Securities Incorporated	ISC	William Shane Hunt	2956880	HLBS Law	NO	NO	1	G	William Shane Hunt	N/A	John P. Cullem, Esq.	1
21-02923	Tampa, FL	11/24/2021	01/31/2022	02/07/2022	UBS Financial Services Incorporated	ISC	Gregory R. Kadet	2523660	Bressler Amery & Ross	OB/NO	NO	2	G	Gregory R. Kadet	N/A	Thomas J. Patka, Esq.	1
21-02938	Cleveland, OH	12/01/2021	06/02/2022	06/09/2022	UBS Financial Services Incorporated	ISC	Kenneth James Wise	U	Riker Danzig et al.	OB	NO	1	D	N/A	Kenneth James Wise	William M. Azkoul, JD - Chair; John C. Aten; Joseph Edelstein	2
21-02945	Boston, MA	11/30/2021	06/06/2022	06/17/2022	GW & Wade Asset Management Company LLC	ISC	Eric Herd Rosenberg	2937604	Murphy & McGonigle	NO	NO	1	G	Eric Herd Rosenberg	N/A	Howard N. Gorney - Chair; Gerard S. Marsan, Esq.; John R. Snyder, Esq.	1
21-02947	New York, NY	12/01/2021	12/02/2022	12/05/2022	Morgan Stanley	ISC	Joseph Andrew Scotto	1198456	Winget Spadafora & Schwartzberg	NO	NO	1	G	Joseph Andrew Scotto	N/A	Harvey Barrison, Esq. - Chair; John Warner Lowe, Jr.; Jeffrey P. Bachmann	1

21-02952	Boca Raton, FL	12/01/2021	02/22/2022	02/25/2022	UBS Financial Services Incorporated	ISC	Alejandro Gonzalez	6961543	Bressler Amery & Ross	NO	NO	1	G	Alejandro Gonzalez	N/A	Mark Allen Bilawsky	1
21-02962	Cleveland, OH	12/03/2021	08/03/2022	08/05/2022	Pruco Securities LLC	Reyes Kurson Ltd.	Jeffrey Jay Gollehon	1212338	AdvisorLaw LLC	NN	NO	1	G	Jeffrey Jay Gollehon	N/A	Carl E. Ver Beek, JD	1
21-02982	Boca Raton, FL	12/07/2021	03/02/2022	03/04/2022	Wells Fargo Clearing Services LLC	ISC	Carlos Alberto Vargas	5606327	Bressler Amery & Ross	NO	NO	1	G	Carlos Alberto Vargas	N/A	Gerald Silverman, Esq.	1
21-02992	San Juan, PR	12/09/2021	04/26/2022	05/02/2022	UBS Financial Services Incorporated	ISC	Ivan R. Pelegrina	4886487	McConnell Valdes LLC	NO	NO	1	G	Ivan R. Pelegrina	N/A	Martin A. Feigenbaum, Esq.	1
21-02994	San Juan, PR	12/09/2021	07/21/2022	07/25/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Jaime M. Musa	5606224	McConnell Valdes LLC	NO	NO	1	G	Jaime M. Musa	N/A	Martin A. Feigenbaum, Esq.	1
21-03002	Wilmington, DE	12/09/2021	08/24/2022	09/01/2022	LPL Financial LLC	ISC	Wayne David Wagner Jr.	2736605	AdvisorLaw LLC	OB	NO	1	G	Wayne David Wagner Jr.	N/A	Linda J. Baer, Esq.	1
21-03023	New York, NY	12/13/2021	03/31/2022	04/18/2022	Hightower Securities LLC	ISC	Mark Kravietz	1538649	Bressler Amery & Ross	NO	NO	1	G	Mark Kravietz	N/A	James M. Rhodes	1
21-03037	Boca Raton, FL	12/15/2021	08/05/2022	08/18/2022	National Securities Corporation	ISC	Barbara Robin Shaffer	1700153	Shumaker Loop & Kendrick	NO	NO	3	G	Barbara Robin Shaffer	N/A	Kimberly A. Gilmour, Esq. - Chair; Rosemarie Ann Jannuzzi, Esq.; John S. Leech	1
21-03050	San Juan, PR	12/16/2021	06/07/2022	06/15/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Maria Teresa Torruella	4492331	McConnell Valdes LLC	NO	NO	2	G	Maria Teresa Torruella	N/A	Louis David Huss	1

21-03052	Phoenix, AZ	12/16/2021	06/23/2022	06/30/2022	Banc of America Investment Services Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Craig R. Bottolfson	5366466	AdvisorLaw LLC	NO	NO	2	G	Craig R. Bottolfson	N/A	Erik R. Siering	1
21-03058	San Juan, PR	12/17/2021	04/19/2022	04/27/2022	UBS Financial Services Incorporated	ISC	Jorge L. Rodriguez	4529782	McConnell Valdes LLC	NO	NO	1	G	Jorge L. Rodriguez	N/A	Martin A. Feigenbaum, Esq.	1
21-03059	Boca Raton, FL	12/17/2021	07/19/2022	08/05/2022	Cetera Advisor Networks LLC	Winget Spadafora & Schwartzberg	Robert Brian Wolfe	2268259	AdvisorLaw LLC	OB/NO	NO	2	G	Robert Brian Wolfe	N/A	Diane M. Perry, Esq.	1
21-03068	San Juan, PR	12/20/2021	05/27/2022	06/02/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Ernest Eugene Musgrave	5057939	McConnell Valdes LLC	NO	NO	1	G	Ernest Eugene Musgrave	N/A	Louis David Huss	1
21-03071	San Juan, PR	12/21/2021	04/13/2022	04/14/2022	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Gabriel Angel Matos	4575302	McConnell Valdes LLC	NO	NO	1	G	Gabriel Angel Matos	N/A	Christopher J. Klein, Esq.	1
21-03077	Indianapolis, IN	12/22/2021	07/07/2022	07/12/2022	Pruco Securities LLC	Reyes Kurson Ltd.	James Jeffrey McAtee	1849847	AdvisorLaw LLC	NO	NO	3	G	James Jeffrey McAtee	N/A	Gregory G. Gocek	1
21-03078	San Diego, CA	12/21/2021	08/10/2022	08/23/2022	Financial West Group; Madison Avenue Securities LLC	No-show (FW); Kob Law (MAS)	Tod Leighton Lenhoff	3255143	Louviere Law Firm PA	NO	NO	3	G	Tod Leighton Lenhoff	N/A	Mark R. Lee	1
21-03097	New York, NY	12/24/2021	07/19/2022	09/06/2022	Silver Oak Securities Incorporated	ISC	Joel Johnson	1941908	Stradley Ronon et al.	NO	NO	1	G	Joel Johnson	N/A	Keely D. Parr, Esq.	2

21-03114	Seattle, WA	12/28/2021	08/31/2022	09/01/2022	Cetera Advisor Networks LLC	ISC	Gary Lee Meagher	U	AdvisorLaw LLC	OB	NO	1	D	N/A	Gary Lee Meagher	Katherine Hendricks, Esq.	1
21-03116	Des Moines, IA	12/29/2021	08/02/2022	08/19/2022	Ameriprise Financial Services LLC	ISC	Brian Jacob Nikulski	2630600	HLBS Law	OB/NO D NN	NO	3	G/D	Brian Jacob Nikulski	N/A	Tracy L. Allen, Esq.	1
22-00004	Omaha, NE	01/03/2022	08/16/2022	08/26/2022	Edward Jones	Quarles & Brady	Paula K. Deitering	4071401	AdvisorLaw LLC	OB	NO	1	G	Paula K. Deitering	N/A	Philip J. Glick, Esq.	1
22-00021	Los Angeles, CA	01/05/2022	07/07/2022	07/11/2022	Gold Coast Securities Incorporated	ISC	John Thomas Bowers	2954486	HLBS Law	NO	NO	1	G	John Thomas Bowers	N/A	Andrew M. Mintzer, CPA	1
22-00022	Houston, TX	01/06/2022	07/07/2022	07/11/2022	Royal Alliance Associates Incorporated	ISC	Amanda Lauren Dunlap	3185639	D'Amura & Zaidman	NO	NO	1	G	Amanda Lauren Dunlap	N/A	Daniel J. Pagnano, Esq.	1
22-00023	Los Angeles, CA	01/05/2022	09/20/2022	09/22/2022	Sandlapper Securities LLC	No-show	Trawnegan Gall	6266415	HLBS Law	NO	NO	2	G	Trawnegan Gall	N/A	Benjamin F. Breslauer - Chair; Noel Harvey Applebaum; Nicholas J. Caputo	2
22-00031	Denver, CO	01/06/2022	08/11/2022	09/08/2022	Geneos Wealth Management Incorporated	Kutak Rock LLP	Joseph Sylvester Sturniolo	1094557	HLBS Law	OB	NO	1	G	Joseph Sylvester Sturniolo	N/A	Anita Rae Shapiro, Esq.	1
22-00051	Chicago, IL	01/10/2022	07/27/2022	08/03/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Steven Scott LaPorta	2371154	FA Expungement	NO	NO	1	G	Steven Scott LaPorta	N/A	Philip J. Glick, Esq.	1
22-00054	New York, NY	01/10/2022	08/09/2022	08/17/2022	National Securities Corporation	ISC	Robert Nicholas Rotunno	U	Warren Law Group	NO	NO	1	D	N/A	Robert Nicholas Rotunno	Ellyn S. Roth - Chair; Evdokia Sofos, Esq.; Seth T. Taube, Esq.	1
22-00058	Los Angeles, CA	01/13/2022	10/20/2022	11/17/2022	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (MLPFS); John Murphy & Associates (UBS)	Bhadresh Shah	1636264	The Rosenfeld Law Office	NO	NO	2	G	Bhadresh Shah	N/A	Adam Michael Porter - Chair; Robert Rosen; Yvonne YingFan Yiu	1

22-00063	Chicago, IL	01/11/2022	08/09/2022	08/16/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Steven Scott LaPorta	2371154	FA Expungement	NO-D	NO	1	G	Steven Scott LaPorta	N/A	Lawrence W. Arness, Esq.	1
22-00072	Chicago, IL	01/12/2022	06/15/2022	06/17/2022	LPL Financial LLC	ISC	Annette Erika Findling	2293189	AdvisorLaw LLC	OB	NO	1	G	Annette Erika Findling	N/A	Leon Fox, JD	1
22-00082	Helena, MT	01/12/2022	09/22/2022	09/26/2022	LPL Financial LLC	ISC	Daniel Walter Pinkerton	2128422	AdvisorLaw LLC	NO	NO	1	G	Daniel Walter Pinkerton	N/A	John J. Fitzpatrick, Jr., Esq.	1
22-00088	Los Angeles, CA	01/13/2022	12/06/2022	01/03/2023	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Bernard Gustavo Reina	2636180	Gonser Law PC	NO	NO	3	G	Bernard Gustavo Reina	N/A	Steven H. Gourley, Esq. - Chair; Robert E. Jenks; Zygmunt Jacob Boxer	1
22-00089	Hartford, CT	01/13/2022	07/11/2022	07/18/2022	Silver Oak Securities Incorporated	ISC	Heath G. Grossman	4018002	Stradley Ronon et al.	NO	NO	1	G	Heath G. Grossman	N/A	Robert B. Titus	1
22-00100	Wilmington, DE	01/14/2022	07/14/2022	07/22/2022	Raymond James Financial Services Incorporated	ISC	Frederick Jack Dawson	1024576	FA Expungement	NO	NO	1	G	Frederick Jack Dawson	N/A	William Stephen Mailander	1
22-00101	New York, NY	01/14/2022	08/25/2022	09/06/2022	First Republic Securities Company LLC	ISC	Joseph Luis Duarte	1024576	Lax & Neville	NO	NO	3	G	Joseph Luis Duarte	N/A	Mary Julia O'Connell	1
22-00105	New York, NY	01/14/2022	08/23/2022	09/07/2022	Sanford C Bernstein & Company LLC	Davis Wright Tremaine LLP	Kenneth A. Mayer	2230596	AdvisorLaw LLC	NO	NO	2	G	Kenneth A. Mayer	N/A	Susan A. Romano	1
22-00109	New York, NY	01/17/2022	08/30/2022	11/15/2022	Newbridge Securities Corporation	Kaufman Dolowich & Voluck LLP	Frank Louis Avallone	4814368	Judex Law LLC	NO/NN	NO	2	G	Frank Louis Avallone	N/A	Roger M. Deitz, Esq. - Chair; Mary-Jo Marchisello, Esq.; Jennifer Lupo, JD	1
22-00112	Hartford, CT	01/17/2022	10/05/2022	11/01/2022	Securities Service Network LLC	ISC	Thomas Joseph Hine	2000926	AdvisorLaw LLC	NO/NN	NO	3	G/D	Thomas Joseph Hine	N/A	Catherine Stewart, Esq.	1
22-00114	Birmingham, AL	01/17/2022	09/09/2022	09/23/2022	Principal Securities Incorporated; OneAmerica Securities Incorporated	Maynard Cooper & Gale	Gregory Hampton Crance	736820	AdvisorLaw LLC	NO	NO	3	G/D	Gregory Hampton Crance	N/A	Mollie Wagner Neal, Esq.	1

22-00124	Portland, OR	01/19/2022	11/01/2022	11/21/2022	Lion Street Financial LLC; Woodbury Financial Services Incorporated	ISC	Tim Daniel Clairmont	2847591	The Rosenfeld Law Office	NO	NO	3	G/D	Tim Daniel Clairmont	N/A	James E. Bartels - Chair; Reuel Kenneth Fish; Lisa Vioni	1
22-00135	Hartford, CT	01/20/2022	09/06/2022	09/09/2022	Morgan Stanley	ISC	Charles B. Crilly	3130116	Judex Law LLC	NO	NO	1	G	Charles B. Crilly	N/A	Steven R. Rolnick, Esq. - Chair; Samuel Harrison Chorchos, Esq.; John B. Dew	1
22-00143	Baltimore, MD	01/21/2022	09/20/2022	09/28/2022	Merrill Lynch Pierce Fenner & Smith Incorporated; Glen Eagle Wealth LLC	Bressler Amery & Ross (MLPFS); Rubin Fortunato & Harbison (GEW)	Nilos Theodore Sakellariou	2108146	AdvisorLaw LLC	NO	NO	2	G	Nilos Theodore Sakellariou	N/A	Thomas B. Corey, Esq.	1
22-00144	Dallas, TX	01/24/2022	10/11/2022	10/14/2022	MML Investors Services LLC	Stevens & Lee	Holly Brown Carroccio; Elaine Roumillat	1691581; 6749793	Bell Nunnally & Martin	NO	NO	2	G	Holly Brown Carroccio; Elaine Roumillat	N/A	Andrea U. Calve, Esq. - Chair; Scott F. Stains, Esq.; Jeffrey Richard Chiappetta	1
22-00155	Phoenix, AZ	01/24/2022	12/08/2022	12/14/2022	Piper Sandler & Company; Prudential Equity Group LLC	ISC (PS); Reyes Kurson Ltd. (PEG)	Michael Kenneth Self	U	The Rosenfeld Law Office	UN	NO	8	D	N/A	Michael Kenneth Self	Richard Kent Mahrle - Chair; Deana S. Peck; Matthew G. McGinnis	1
22-00159	Boca Raton, FL	01/25/2022	02/21/2023	03/29/2023	Morgan Stanley; Citigroup Global Markets Incorporated	ISC (MSSB); Kauff Laton Miller LLP (CGM)	Andrew George Sukhin	2102283	The Rosenfeld Law Office	OB/NO NN	NO	8	G/D/W	Andrew George Sukhin	N/A	Nanci Sondra Landy - Chair; Annelise Sander, Esq.; Steven Barry Paskal	1
22-00165	Hartford, CT	01/25/2022	12/08/2022	01/25/2023	Kovack Securities Incorporated; Harvest Capital LLC	ISC	Jeffrey Paul Davis	2501354	The Rosenfeld Law Office	NO	NO	10	G/D	Jeffrey Paul Davis	N/A	Steven R. Rolnick, Esq. - Chair; Andrea Joan Harman; Dale S. Cronnell, CFP	1
22-00171	New York, NY	01/26/2022	09/27/2022	10/06/2022	National Securities Corporation; Eastbrook Capital Group LLC	ISC	Stuart Leighton Updegrave	2273334	Judex Law LLC	NO	NO	2	G	Stuart Leighton Updegrave	N/A	Richard W. Cutler, Esq. - Chair; John Franklin Udochi; Adam J. Ciffone	1

22-00173	New York, NY	01/26/2022	09/28/2022	10/31/2022	National Securities Corporation ; Eastbrook Capital Group LLC	ISC	Stuart Leighton Updegrove	2273334	Judex Law LLC	NO	NO	2	G	Stuart Leighton Updegrove	N/A	Eugene G.P. Byrne, Esq. - Chair; Mark Joseph Hyland	2
22-00174	New York, NY	01/26/2022	11/17/2022	11/28/2022	National Securities Corporation ; Eastbrook Capital Group LLC	ISC	Eric Robert Hilderbrand	2672274	Judex Law LLC	NO	NO	1	G	Eric Robert Hilderbrand	N/A	Elynn S. Roth - Chair; Lynne M. Reid-McQueen, Esq.; Raymond Xerri	1
22-00176	Philadelphia, PA	01/26/2022	11/04/2022	02/17/2023	Citigroup Global Markets Incorporated; Coastal Equities Incorporated	Kauff Laton Miller LLP (CGM); ISC (CE)	Douglas Louis Kobak	1395715	The Rosenfeld Law Office	NO	NO	3	G	Douglas Louis Kobak	N/A	Fred W. Miller, Esq. - Chair; Kathleen Jones Spilker; Buzz Adelman	1
22-00181	San Juan, PR	01/27/2022	06/28/2022	07/15/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Casto Miguel Coll Del Rio	2444524	Toro Colon Mullet PSC	NO	NO	7	G	Casto Miguel Coll Del Rio	N/A	Steven N. Ainbinder, Esq.	3
22-00189	Los Angeles, CA	01/28/2022	08/10/2022	08/22/2022	LPL Financial LLC	ISC	Martin Jeffrey Lombrano	2216040	Ghabai Law Group LLC	NO	NO	3	G	Martin Jeffrey Lombrano	N/A	Erik R. Siering	1
22-00209	Los Angeles, CA	02/01/2022	02/13/2023	02/17/2023	None.	Customer	Harry Michael Barth; Richard W. Jackman	13891; 2501641	Jones Bell et al.	NO	NO	2	G	Harry Michael Barth; Richard W. Jackman	N/A	Robert E. Jenks - Chair; Norman Michael Garland; Roberta Lynn Haft	1
22-00224	Charlotte, NC	02/01/2022	09/20/2022	11/01/2022	Raymond James Financial Services Incorporated	ISC	Peter Harry Shanahan	1386092	Lax & Neville	NO	NO	3	G	Peter Harry Shanahan	N/A	Richard James Igou	1
22-00239	Minneapolis, MN	02/03/2022	09/27/2022	09/29/2022	Raymond James Financial Services Incorporated	ISC	Kevin Michael Mann	2005805	AdvisorLaw LLC	NO	NO	2	G	Kevin Michael Mann	N/A	Carl E. Ver Beek, JD	1
22-00242	Syracuse, NY	02/08/2022	11/10/2022	12/19/2022	Royal Alliance Associates Incorporated	ISC	Gregory B. McLean	722787	Finer & Fanelli	NO	NO	2	G	Gregory B. McLean	N/A	Ira A. Auerbach	1

22-00249	Portland, OR	02/03/2022	11/04/2022	11/07/2022	Dain Rauscher Incorporated	Dorsey & Whitney	Kyle Lynn Dunning	1133893	AdvisorLaw LLC	NO	NO	1	G	Kyle Lynn Dunning	N/A	Katherine Hendricks, Esq.	1
22-00256	Portland, OR	02/04/2022	09/20/2022	10/28/2022	Ameriprise Financial Services LLC; Voya Financial Advisors Incorporated	ISC (AFS); Winget Spadafora & Schwartzberg (VFA)	Douglas Karl Everett	1295057	AdvisorLaw LLC	NO/NN	NO	4	G/D	Douglas Karl Everett	N/A	Katherine Hendricks, Esq.	1
22-00279	Indianapolis, IN	02/08/2022	09/07/2022	09/15/2022	Parkland Securities LLC	Tadjedin Thomas & Engbloom Law Group LLP	David Earl McGill	2491757	Gonser Law PC	NN	NO	1	G	David Earl McGill	N/A	Carl E. Ver Beek, JD - Chair; Robert David Epstein; David Joseph Remondini	1
22-00281	Los Angeles, CA	02/07/2022	09/07/2022	09/09/2022	AGP/Alliance Global Partners	ISC	Gerald Lee Mars	4056506	HLBS Law	NO	NO	1	G	Gerald Lee Mars	N/A	Joyce L. Hurley	1
22-00283	New York, NY	02/07/2022	11/30/2022	02/10/2023	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Steven Nicholas Jaenichen	2209252	The Rosenfeld Law Office	NO	NO	4	G	Steven Nicholas Jaenichen	N/A	Ira A. Auerbach - Chair; Qiana Martin; Daniel D'Costa, Esq.	1
22-00284	Portland, OR	02/07/2022	11/07/2022	12/13/2022	Independent Financial Group LLC; Thrivent Investment Management Incorporated	ISC (IFG); Bryan Cave et al. (TIM)	Gerhard Frederick Heuer	1868447	The Rosenfeld Law Office	NO/NN	NO	6	G/D	Gerhard Frederick Heuer	N/A	David William Hickman, JD - Chair; Eric A. LaBrant; Joseph L. Mangan	1
22-00285	Dallas, TX	02/08/2022	08/24/2022	09/21/2022	Cuna Brokerage Services Incorporated	Faegre Drinker et al.	John Christopher Husby	U	The Rosenfeld Law Office	UN	OB	1	D	N/A	John Christopher Husby	William M. Lamoreaux, Esq. - Chair; Michael Wayne Johnston; Linda B. Kelly	1
22-00289	Phoenix, AZ	02/08/2022	09/27/2022	10/04/2022	Wells Fargo Clearing Services LLC	ISC	Juan Ley	2971543	Snell & Wilmer	NO-D	NO	1	G	Juan Ley	N/A	Louis M. Parker, Esq. - Chair; Carrie Lynette Thompson Jones, Esq.; Adam Dylan Wick	1
22-00291	Los Angeles, CA	02/08/2022	12/08/2022	12/19/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kerry M. Moy	1295255	HLBS Law	NO/NN	NO	4	G/D	Kerry M. Moy	N/A	Joyce L. Hurley	1
22-00297	Los Angeles, CA	02/02/2022	11/21/2022	12/14/2022	None.	Customers	Justin Charles Lowy	5935993	Jones Bell et al.	NO	NO	1	G	Justin Charles Lowy	N/A	Robert D. Sussin, Esq. - Chair; Joyce L. Hurley; Karen J. Burneff	1

22-00298	New York, NY	02/09/2022	08/18/2022	08/24/2022	Gould Ambrosion & Associates Limited	ISC	Jay Allan Ambrosion	859012	AdvisorLaw LLC	NO	NO	2	G	Jay Allan Ambrosion	N/A	Linda J. Baer, Esq.	1
22-00299	Washington, DC	02/09/2022	10/27/2022	11/30/2022	Truist Investment Services Incorporated fka SunTrust Investment Services Incorporated	Gray Robinson PA	Tyrone A. Chaplin	4276472	Louviere Law Firm PA	UN	NO	1	D	N/A	Tyrone A. Chaplin	Kelli J. Jareaux, Esq.	1
22-00321	Memphis, TN	02/11/2022	10/27/2022	11/09/2022	FSC Securities Corporation ; MSI Financial Services Incorporated; Sagepoint Financial Incorporated	ISC (FSCS); Martin Harris, Harris & Affiliates Ltd. (MSIFS)	Larry Jefferson Tolbert	1054714	AdvisorLaw LLC	NO	NO	1	G	Larry Jefferson Tolbert	N/A	Michael J. Ahlstrom, Esq.	1
22-00322	Baltimore, MD	02/11/2022	10/06/2022	10/18/2022	Wells Fargo Advisors Financial Network LLC	ISC	Marat Kushner	2516352	AdvisorLaw LLC	NO	NO	1	G	Marat Kushner	N/A	Laura A. Kaster	1
22-00327	New York, NY	02/11/2022	09/27/2022	10/18/2022	UBS Financial Services Incorporated	ISC	Scott M. Rosenberg	2754292	Riker Danzig et al.	NO	NO	1	G	Scott M. Rosenberg	N/A	Mary P. Bass - Chair; Gerry E. Feinberg, Esq.; Kathleen Cawley	1
22-00331	Philadelphia, PA	02/11/2022	09/07/2022	09/13/2022	BCG Securities Incorporated	Winget Spadafora & Schwartzberg	Gerald Lee Preschutti	5613533	Louviere Law Firm PA	OB/NO	NO	1	G	Gerald Lee Preschutti	N/A	Louis P. Wagman	1
22-00342	Dallas, TX	02/21/2022	11/09/2022	12/16/2022	Rushmore Securities Corporation ; EDI Financial Incorporated; VSR Financial Services Incorporated	ISC	Bobby Glenn James	U	AdvisorLaw LLC	NO	NO	2	D	N/A	Bobby Glenn James	Frances Johnson-Wright, Esq. - Chair; Franklin Lewis Broyles	1

22-00356	Boca Raton, FL	02/16/2022	10/04/2022	10/14/2022	Morgan Stanley DW Incorporated	ISC	Adrian Lorenzo; David Louis Burg	2495441; 2314120	Louviere Law Firm PA	NO	NO	2	G	Adrian Lorenzo; David Louis Burg	N/A	Edward R. Niederriter, Esq.	1
22-00359	Washington, DC	02/16/2022	05/10/2022	05/13/2022	UBS Financial Services Incorporated	ISC	Roderick Von Lipsey	4270444	Bressler Amery & Ross	OB	NO	1	D	N/A	Roderick Von Lipsey	Patricia Horan Latham, Esq.	1
22-00365	Houston, TX	02/18/2022	08/03/2022	08/10/2022	UBS Financial Services Incorporated	ISC	Alexander Charles Ladage	4452169	UBS AG	NO	NO	1	G	Alexander Charles Ladage	N/A	Robert C. Rice	1
22-00386	Orlando, FL	02/22/2022	09/13/2022	09/29/2022	Summit Brokerage Services Incorporated	Winget Spadafora & Schwartzberg	Thomas Clyde Massebeau Jr.	2525309	HLBS Law	OB/NO	NO	3	G	Thomas Clyde Massebeau Jr.	N/A	Stuart K. Furman	1
22-00388	Orlando, FL	02/22/2022	10/11/2022	01/05/2023	First Allied Securities Incorporated	ISC	Andrew Raymond Scheirer	4256666	HLBS Law	NO	NO	4	G/D	Andrew Raymond Scheirer	N/A	Gerald Thomas Harper	1
22-00398	Los Angeles, CA	02/23/2022	09/29/2022	10/14/2022	World Group Securities Incorporated	ISC	Michael Anthony Valiente	4817521	HLBS Law	NO	NO	1	G	Michael Anthony Valiente	N/A	Joyce L. Hurley	1
22-00403	New York, NY	03/28/2022	09/07/2022	09/12/2022	VectorGlobal WMG Incorporated	ISC	Monica Cleves	4668953	Robert M. Bursky, Attorney-at-Law	NO	NO	1	G	Monica Cleves	N/A	Karen Isabel Bedrosian-Richardson - Chair; Miriam Goode; Brian S. Hamburger, Esq.	1
22-00407	Phoenix, AZ	02/24/2022	12/12/2022	12/20/2022	Equitable Advisors LLC	ISC	Shannon Nicole Larson	5904492	Tiffany & Bosco	NO	NO	1	G	Shannon Nicole Larson	N/A	W. Michael Kelley, Esq. - Chair; Virginia H. Wertz, RHU; Patricia Diane Muse (fka Diane Muse)	1
22-00410	Los Angeles, CA	02/24/2022	01/13/2023	02/01/2023	Oppenheimer & Company Incorporated	ISC	Kenneth H. South	1387390	The Law Offices of Patrick R. Mahoney	OB	NO	1	G	Kenneth H. South	N/A	Benjamin F. Breslauer - Chair; Richard Maurice Robinson; A. Joel Klein, Esq.	1
22-00411	Los Angeles, CA	02/24/2022	08/08/2022	08/23/2022	Oppenheimer & Company Incorporated	ISC	Kenneth H. South	1387390	The Law Offices of Patrick R. Mahoney	OB	NO	1	G	Kenneth H. South	N/A	Steven H. Gourley, Esq. - Chair; Howard Clark Posner; Andrea Luise Halperin	1
22-00412	Los Angeles, CA	02/24/2022	12/19/2022	01/10/2023	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Kenneth H. South	1387390	The Law Offices of Patrick R. Mahoney	NO	NO	1	G	Kenneth H. South	N/A	Anita Rae Shapiro, Esq. - Chair; Ronald L. Cameron; Blaine Smith	1

22-00414	Los Angeles, CA	02/24/2022	11/03/2022	11/07/2022	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Kenneth H. South	1387390	The Law Offices of Patrick R. Mahoney	NO	NO	1	G	Kenneth H. South	N/A	Anita Rae Shapiro, Esq. - Chair; Michael D. Harrison, Esq.; Mario H. Metzger	1
22-00415	Los Angeles, CA	02/24/2022	08/30/2022	09/13/2022	Oppenheimer & Company Incorporated	ISC	Kenneth H. South	1387390	The Law Offices of Patrick R. Mahoney	NO	NO	1	G	Kenneth H. South	N/A	Neil S. Jasper - Chair; Sean Anthony Richardson	1
22-00416	Los Angeles, CA	02/24/2022	09/13/2022	09/15/2022	Oppenheimer & Company Incorporated	ISC	Kenneth H. South	1387390	The Law Offices of Patrick R. Mahoney	NO	NO	1	G	Kenneth H. South	N/A	Erik R. Siering - Chair; Noel Harvey Applebaum; Daniel Farid Yasharel	1
22-00418	Tampa, FL	02/24/2022	11/17/2022	12/05/2022	Invest Financial Corporation ; JW Cole Financial Incorporated	Saretsky Hart et al. (IF); Sichenzia Ross Ference LLP (IWCF)	Jeffrey Brian Golubeff	4230825	HLBS Law	NO	NO	2	G	Jeffrey Brian Golubeff	N/A	John P. Cullem Esq.	1
22-00426	Jersey City, NJ	02/28/2022	09/22/2022	09/28/2022	Triad Advisors LLC	ISC	Gregory Thomas Giardino	5524262	Ghabai Law Group LLC	NO	NO	1	G	Gregory Thomas Giardino	N/A	Michael H. DuBoff, Esq.	1
22-00427	New York, NY	02/28/2022	10/20/2022	10/26/2022	Gilder Gagnon Howe & Company LLC	Schulte Roth & Zabel	Brian Joseph Gagnon	1809872	AdvisorLaw LLC	NO	NO	1	G	Brian Joseph Gagnon	N/A	Howard D. Jacob, Esq.	1
22-00444	San Juan, PR	03/01/2022	10/26/2022	11/04/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Doel Rafael Garcia Romero	1301785	O'Neill & Borges	NO	NO	5	G	Doel Rafael Garcia Romero	N/A	Martin A. Feigenbaum, Esq.	1
22-00445	New York, NY	03/01/2022	08/24/2022	09/02/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Christopher Thomas Farrell	2955430	FA Expungement	NO	NO	2	G/D	Christopher Thomas Farrell	N/A	Harrison Johnson	1
22-00454	San Juan, PR	03/03/2022	10/18/2022	10/28/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Carlos Verner Ubinas Taylor	1985568	O'Neill & Borges	NO	NO	5	G	Carlos Verner Ubinas Taylor	N/A	Martin A. Feigenbaum, Esq.	1
22-00456	Hartford, CT	03/03/2022	09/19/2022	10/06/2022	Silver Oaks Securities Incorporated	ISC	Eric Hogarth	4799191	Stradley Ronon et al.	NO	NO	1	G	Eric Hogarth	N/A	David Adams Reif	1

22-00481	New York, NY	03/08/2022	11/01/2022	11/03/2022	Gilder Gagnon Howe & Company LLC	Schulte Roth & Zabel	Neil Joseph Gagnon	216440	AdvisorLaw LLC	NO	NO	1	G	Neil Joseph Gagnon	N/A	Gerald M. Levine	1
22-00502	Raleigh, NC	03/10/2022	10/04/2022	10/24/2022	Ameriprise Financial Services LLC	ISC	Carman Theodore Hicks II	3156997	Judex Law LLC	OB/NO	NO	1	G	Carman Theodore Hicks II	N/A	Richard James Igou - Chair; S.M. Kernodle-Hodges; Charles Robert Moore	1
22-00505	Louisville, KY	03/11/2022	10/18/2022	12/16/2022	Transamerica Financial Advisors Incorporated; USA Financial Securities Corporation	ISC	Bradley Scott Ford	1649604	AdvisorLaw LLC	NO/NN	NO	7	G/D	Bradley Scott Ford	N/A	Amelia Franklin Adams, Esq.	1
22-00507	Philadelphia, PA	03/11/2022	08/16/2022	08/24/2022	TIAA-CREF Individual & Institutional Services LLC	ISC	Ayad Amary	1649604	Galvin Legal PLLC	NO	NO	1	G	Ayad Amary	N/A	Louis P. Wagman - Chair; Hiren B. Patel	1
22-00514	Boca Raton, FL	03/11/2022	01/04/2023	01/09/2023	JWGenesis Securities Incorporated; Wells Fargo Advisors Financial Network LLC; National Securities Corporation	ISC	Eric Lee Lyon	2213888	HLBS Law	NO/NN	NO	9	G	Eric Lee Lyon	N/A	Louis David Huss	1
22-00516	Tampa, FL	03/12/2022	10/10/2022	10/17/2022	Ameriprise Financial Services LLC	ISC	David Ross Thompson	2504328	Galvin Legal PLLC	UN	NO	2	D	N/A	David Ross Thompson	John P. Cullem, Esq. - Chair; Philip L. Manczak; Stuart Sinai, Esq.	1
22-00529	Chicago, IL	03/15/2022	09/16/2022	09/26/2022	Northwestern Mutual Investment Services LLC	ISC	Nathan R. Kinzinger	4554745	Tomlinson & Shapiro	NO	NO	1	G	Nathan R. Kinzinger	N/A	Lynn Hirschfeld Brahin, Esq. - Chair; Leonard Arthur Nelson, Esq.; Mitchell Lee Marinello, Esq.	1
22-00531	Reno, NV	03/14/2022	12/20/2022	12/22/2022	LPL Financial LLC	ISC	Derrick Smith Andrews	1852661	HLBS Law	NO	NO	2	G	Derrick Smith Andrews	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
22-00534	Washington, DC	03/14/2022	07/11/2022	07/14/2022	Santander Securities LLC	Pietrantonio Mendez & Alvarez	Beatriz Luna Vida	3129454	Bressler Amery & Ross	NO	NO	7	G	Beatriz Luna Vida	N/A	Patricia Horan Latham, Esq.	1
22-00543	Louisville, KY	03/16/2022	10/06/2022	10/14/2022	LPL Financial LLC	ISC	Joseph Gary Smith	3025608	AdvisorLaw LLC	NO	NO	1	G	Joseph Gary Smith	N/A	James W. (Jim) Geiger	1

22-00556	Raleigh, NC	03/16/2022	10/28/2022	11/07/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael Patti	4636537	AdvisorLaw LLC	NO	NO	2	G	Michael Patti	N/A	Michael J. Ahlstrom, Esq.	1
22-00560	Phoenix, AZ	03/16/2022	11/10/2022	12/19/2022	BMO Harris Financial Advisors Incorporated	Godfrey & Kahn	Erin A. Daniels	5183259	AdvisorLaw LLC	NO	NO	1	G	Erin A. Daniels	N/A	Floyd Gerry Hoffman	1
22-00562	San Juan, PR	03/16/2022	09/08/2022	09/15/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	William John Serralles	2121621	McConnell Valdes LLC	NO	NO	7	G	William John Serralles	N/A	Louis David Huss	1
22-00585	Jersey City, NJ	03/18/2022		09/26/2022	National Planning Corporation ; Northwestern Mutual Investment Services LLC	Saretsky Hart et al. (NP); ISC (NMIS)	Keith Joseph Steidle	U	AdvisorLaw LLC	UN	OB E	1	D	N/A	Keith Joseph Steidle	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	0
22-00616	San Juan, PR	03/22/2022	01/31/2023	02/07/2023	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Anita M. Brennan	858500	McConnell Valdes LLC	NO	NO	1	G	Anita M. Brennan	N/A	Christopher J. Klein, Esq.	1
22-00627	Boca Raton, FL	03/23/2022	09/27/2022	10/06/2022	Wells Fargo Clearing Services LLC	ISC	Angelo Thomas Kafkes	1785738	Stein & Stein	NO	NO	1	G	Angelo Thomas Kafkes	N/A	Edward R. Niederriter, Esq. - Chair; Robert G. Falbisaner; Stephen Kahane, CPA	1
22-00631	Baltimore, MD	03/23/2022	09/26/2022	09/30/2022	BT Alex Brown Incorporated aka BD Alex Brown LLC	No-show	Kevin Nolan	1026793	Winget Spadafora & Schwartzberg	NN	NO	1	G	Kevin Nolan	N/A	Richard E. Lauziere, CPA - Chair; Jay B. Bachar; Patricia M. Maher, JD	1

22-00642	San Juan, PR	03/24/2022	09/13/2022	09/20/2022	Santander Securities LLC	Pietrantonio Mendez Alvarez LLC	James Malcolm Ugobono	4032530	McConnell Valdes LLC	NO	NO	4	G	James Malcolm Ugobono	N/A	Martin A. Feigenbaum, Esq.	1
22-00648	New York, NY	03/24/2022	10/04/2022	10/11/2022	JP Morgan Securities LLC	Duane Morris LLP	David Loeb	2534260	HLBS Law	NO	NO	1	G	David Loeb	N/A	Howard D. Jacob, Esq.	1
22-00654	Houston, TX	03/24/2022	04/05/2023	04/28/2023	NEXT Financial Group Incorporated; Cetera Advisor Networks LLC; AG Edwards & Sons Incorporated d nka Wells Fargo Clearing Services LLC	ISC	Troy Lane Stine	U	The Rosenfeld Law Office	UN	OB/NOE	7	D	N/A	Troy Lane Stine	Maryanne M. Esser, Esq. - Chair; Stuart M. Diamond; Irving Sylvester Moses, Jr., CFP	1
22-00657	Las Vegas, NV	03/25/2022	09/28/2022	11/17/2022	Ameriprise Financial Services Incorporated	ISC	Brent Walter Ure	6244760	Galvin Legal PLLC	NO	NO	1	G	Brent Walter Ure	N/A	Louis M. Parker, Esq. - Chair; Ann H. Nevers; Nancy Lynn Boyd	2
22-00659	Charlotte, NC	03/25/2022	01/09/2023	01/17/2023	LPL Financial LLC; BB&T Investment Services Incorporated	ISC (LPL); Davis Wright Tremaine LLP (BB&T)	James Joseph Kinsey	6244760	The Rosenfeld Law Office	NO	NO	3	G	James Joseph Kinsey	N/A	Richard James Igou - Chair; Jay Jordan; Robert T. Allen, Jr.	1
22-00672	Pittsburgh, PA	03/29/2022	11/03/2022	11/16/2022	Pruco Securities LLC	Reyes Kurson Ltd.	Julian Adam Marturano	U	FA Expungement	UN	NO	1	D	N/A	Julian Adam Marturano	John W. Eichleay, Jr., Esq.	1
22-00679	Dallas, TX	03/30/2022	06/06/2022	06/09/2022	UBS Financial Services Incorporated	ISC	Brant Christopher Ferguson; Andrew Charles O'Connell; Cory Alan Durham	2230893; 4589554; 5130512	Bressler Amery & Ross	OB	NO	3	G	Brant Christopher Ferguson; Andrew Charles O'Connell; Cory Alan Durham	N/A	David A. Schuler	1
22-00686	Boca Raton, FL	03/30/2022	01/10/2023	01/24/2023	Equitable Advisors LLC	ISC	Kevin Thomas Dooley; Gloria Barbier	2513153; 5719709	HLBS Law	UN	NO	2	D	N/A	Kevin Thomas Dooley; Gloria Barbier	Seth L. Finkel, Esq.	1

22-00708	Jacksonville, FL	03/31/2022	10/07/2022	10/12/2022	LPL Financial LLC	ISC	Travis Stanley Barnes Jr.	2158191	Ghabai Law Group LLC	NO	NO	1	G	Travis Stanley Barnes Jr.	N/A	Richard S. Zaifert, Esq.	1	
22-00721	San Diego, CA	04/01/2022	05/18/2023	06/01/2023	Independent Financial Group LLC; Titan/Value Equities Group Incorporated; Value Equities Corporation	ISC	William Aubrey Morrow	836500	HLBS Law	NO	UN	NO	10	G	William Aubrey Morrow	N/A	Morris S. Getzels, Esq.	2
22-00723	Pittsburgh, PA	04/04/2022	12/13/2022	12/22/2022	AXA Advisors LLC real party in interest Equitable Advisors LLC; Woodbury Financial Services Incorporated	ISC	Julian Adam Marturano	2181208	FA Expungement	NO	NO	E	4	G/D	Julian Adam Marturano	N/A	Douglas M. Branson, LLM	1
22-00738	Omaha, NE	04/05/2022	11/29/2022	12/08/2022	PFS Investments Incorporated	No-show	Anthony Arthur Kayser	1350071	AdvisorLaw LLC	NO	NO	2	G	Anthony Arthur Kayser	N/A	Philip J. Glick, Esq.	1	
22-00740	Cheyenne, WY	04/04/2022	01/04/2023	01/09/2023	RBC Capital Markets LLC	Dorsey & Whitney	Edwin Clifton Hodder	1768838	AdvisorLaw LLC	NN	NO	1	G	Edwin Clifton Hodder	N/A	Daniel M. Yamshon, Esq.	1	
22-00755	St. Louis, MO	04/05/2022	01/17/2023	01/26/2023	Securities Service Network LLC	ISC	David Scott Brooks	1920936	AdvisorLaw LLC	NO	NN	NO	4	G	David Scott Brooks	N/A	Philip J. Glick, Esq.	1
22-00760	San Juan, PR	04/06/2022	09/30/2022	10/06/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Frank Julio Carrasco	2006959	McConnell Valdes LLC	NO	NO	1	G	Frank Julio Carrasco	N/A	Martin A. Feigenbaum, Esq.	1	
22-00764	Hartford, CT	04/06/2022	11/07/2022	11/16/2022	Harvest Capital LLC	ISC	Ralph A. Giansanti Jr.	1728073	Cohen & Wolf	NO	NO	3	G	Ralph A. Giansanti Jr.	N/A	John J. Mager, Esq. - Chair; Jud Perkins; Richard Hallett Nichol	1	

22-00768	Boca Raton, FL	04/07/2022	11/22/2022	12/02/2022	Wells Fargo Clearing Services LLC	ISC	Fernando Panizzutti	4950691	Law Offices of Jonathan E. Neuman	NO	NO	1	G	Fernando Panizzutti	N/A	Christopher J. Klein, Esq. - Chair; Richard William Barry; Ronald David Katz	1
22-00780	Boca Raton, FL	04/08/2022	12/13/2022	12/15/2022	National Securities Corporation	ISC	Matthew Scott Harris	4581807	HLBS Law	NO	NO	1	G	Matthew Scott Harris	N/A	Edward R. Niederriter, Esq.	1
22-00786	New York, NY	04/08/2022	09/07/2022	10/31/2022	RBC Capital Markets LLC	Dorsey & Whitney	Robert Francis Tansey	U	Davis Wright Tremaine LLP	OB	NO	1	D	N/A	Robert Francis Tansey	Michele S. Riley	2
22-00796	Manchester, NH	04/11/2022	12/08/2022	12/13/2022	MML Investors Services LLC; NYLife Securities LLC	Stevens & Lee (MMLIS); Emry Murdoch LLC (NYLS)	Daniel Muskat	U	Louviere Law Firm PA	NO	NO	3	D	N/A	Daniel Muskat	Edward W. Morris, Jr., Esq.	1
22-00798	Los Angeles, CA	04/12/2022	10/11/2022	10/17/2022	Kestra Investment Services LLC	ISC	Kurt Charles Jackson	2913769	D'Amura & Zaidman	OB	NO	1	G	Kurt Charles Jackson	N/A	Milton N. Gross	1
22-00803	Manchester, NH	04/12/2022	05/02/2023	05/04/2023	PFS Investments Incorporated	ISC	Norman D'Silva	2420634	AdvisorLaw LLC	NO	NO	2	G	Norman D'Silva	N/A	John James McGovern, Jr., Esq.	1
22-00804	Indianapolis, IN	04/12/2022	02/08/2023	02/10/2023	David A Noyes & Company aka Sanctuary Securities Incorporated	DeLaney & DeLaney	Scott Lindsay Reed	U	Farrar Law PLLC	UN	NO	9	D	N/A	Scott Lindsay Reed	Barry Goldman, Esq. - Chair; David E. Bailey; Robert L. Smith	1
22-00818	New York, NY	04/14/2022	11/15/2022	11/21/2022	Sagepoint Financial Incorporated	ISC	Christopher R. Bice	32224349	Winget Spadafora & Schwartzberg	OB/NO	NO	2	G	Christopher R. Bice	N/A	Linda J. Baer, Esq. - Chair; Denise Campbell Sagua, Esq.; Judith E. Gross, Esq.	1
22-00821	Boca Raton, FL	04/15/2022	05/23/2023	06/08/2023	National Securities Corporation	ISC	William John Braun	1271500	HLBS Law	NO	NO	7	G	William John Braun	N/A	Louis David Huss	1

22-00822	Boca Raton, FL	04/15/2022	04/12/2023	05/11/2023	Fin-Atlantic Securities Incorporated; Monroe Parker Securities Incorporated; NewBridge Securities Corporation; National Securities Corporation	ISC (FAS & NS); Kaufman Dolowich & Voluck LLP (NBS)	Troy Jason Goldberg	2342989	HLBS Law	NO/NN	NO	13	G	Troy Jason Goldberg	N/A	Steven N. Ainbinder, Esq.	4
22-00823	Nashville, TN	04/15/2022	12/07/2022	12/14/2022	American General Equity Services Corporation; Securities Service Network LLC; Silver Oak Securities Incorporated	Shook Hardy & Bacon (AGE); ISC (SNN & SOS)	Anthony Eugene Cosey	4032305	AdvisorLaw LLC	NO	NO	2	G	Anthony Eugene Cosey	N/A	Harvey R. Linder, Esq.	1
22-00824	Los Angeles, CA	04/15/2022	12/13/2022	12/19/2022	Pension Planners Securities Incorporated; Voya Financial Advisors Incorporated	No-show (PPS); Winget Spadafora & Schwartzberg (VFA)	William Lester Krebs	2448364	HLBS Law	NO UN	NO	4	G/D	William Lester Krebs	N/A	Milton N. Gross - Chair; Cherie S. Lewis; Michael W. Burnett, PhD, CFA	1
22-00827	Los Angeles, CA	04/18/2022	12/06/2022	12/09/2022	Wells Fargo Clearing Services LLC	ISC	Sydney Walker IV	2977095	FA Expungement	NO	NO	1	G	Sydney Walker IV	N/A	Erik R. Siering	1

22-00830	Wichita, KS	04/18/2022	06/06/2023	06/22/2023	Primeline Securities Corporation ; FFP Securities Incorporated nka First Allied Securities Incorporated; SII Investments Incorporated	No-show (PS); ISC (FFPS); Saretsky Hart et al. (SIII)	Donald Eugene Baxter	828637	AdvisorLaw LLC	OB/NO NN	NO	4	G/D	Donald Eugene Baxter	N/A	Joseph Neal Richardson	1
22-00840	Jersey City, NJ	04/19/2022	12/12/2022	02/14/2023	Wells Fargo Clearing Services LLC	ISC	Christopher George Falconer	1674702	The Rosenfeld Law Office	NO/NN	NO	4	G/D	Christopher George Falconer	N/A	Jack Friedman, Esq. - Chair; Sandra Holtzman; Marc B. Adelman	2
22-00857	Birmingham, AL	04/20/2022	05/09/2023	06/08/2023	Concourse Financial Group Securities Incorporated; GF Investment Services LLC	Maynard Cooper & Gale (CFGS); No-show (GIFS)	Michael Bingham Ballard	1014024	HLBS Law	OB/NO	NO	4	G	Michael Bingham Ballard	N/A	Michael J. Ahlstrom, Esq.	1
22-00868	Birmingham, AL	04/21/2022	12/01/2022	12/06/2022	NEXT Financial Group Incorporated	ISC	Stephen Joe Williams	2395948	The Rosenfeld Law Office	NO	NO	7	G	Stephen Joe Williams	N/A	Harvey R. Linder, Esq. - Chair; Cynthianther Lashon May, Esq.; Nathan Allen Collins	1
22-00888	Hartford, CT	04/22/2022	10/26/2022	11/08/2022	LPL Financial LLC	ISC	Josh W. Oliver	4148333	Cohen & Wolf	NO	NO	1	G	Josh W. Oliver	N/A	David Adams Reif	1
22-00889	Albuquerque, NM	04/22/2022	03/23/2023	04/11/2023	Royal Alliance Associates Incorporated	ISC	Michael Edward Kiefer; Mark Jay Napolin	4124115; 824546	AdvisorLaw LLC	NO	NO	2	G	Michael Edward Kiefer; Mark Jay Napolin	N/A	Roger A. Geddes	1
22-00892	Providence, RI	04/22/2022	03/15/2023	04/13/2023	Advest Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Joseph Crespi	1110919	HLBS Law	OB/NO	NO	3	G/D	Joseph Crespi	N/A	Howard N. Gorney	2

22-00894	Seattle, WA	04/22/2022	03/22/2023	03/24/2023	NYLife Securities LLC	Emy Murdoch LLC	Shane Ryan VanDalen	2765863	AdvisorLaw LLC	OB/NO	OB	3	D	N/A	Shane Ryan VanDalen	Katherine Hendricks, Esq.	1
22-00912	New York, NY	04/26/2022	10/11/2022	01/23/2023	JP Morgan Securities LLC	Duane Morris LLP	John B. Hess	1843712	AdvisorLaw LLC	OB	NO	1	G	John B. Hess	N/A	Roger M. Deitz, Esq.	2
22-00917	Boca Raton, FL	04/27/2022	11/22/2022	11/28/2022	Wells Fargo Advisors Financial Network	ISC	Yan Binder	2932226	Shumaker Loop & Kendrick	NO	NO	1	G	Yan Binder	N/A	Robert Lawrence Ostrov - Chair; Stuart Bruce Klein, Esq.; Robert G. Geeseman, Esq.	1
22-00921	Boca Raton, FL	04/27/2022	05/09/2023	05/15/2023	Wells Fargo Advisors Financial Network	ISC	John Thomas Holly Sr.	1713313	HLBS Law	NO/NN	NO	4	G	John Thomas Holly Sr.	N/A	Gerald Silverman, Esq.	1
22-00937	San Juan, PR	04/28/2022	12/15/2022	12/22/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Carlos Arturo Pou	2096091	McConnell Valdes LLC	NO	NO	1	G	Carlos Arturo Pou	N/A	Elena G. Rodriguez	1
22-00938	New York, NY	04/28/2022	12/14/2022	12/27/2022	Josephthal & Company Incorporated; Nichols Safina Lerner & Company Incorporated	No-show	Steven Jay Maurer	2102285	AdvisorLaw LLC	NO	NO	2	G	Steven Jay Maurer	N/A	Veronica Ann Williams	1
22-00940	Chicago, IL	04/29/2022	11/08/2022	11/15/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Anthony V. Vito	5341073	FA Expungement	NO	NO	1	G	Anthony V. Vito	N/A	Arne R. Rode, Esq.	1
22-00945	Kansas City, MO	04/29/2022	02/07/2023	02/09/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Henry Freeman	1992187	AdvisorLaw LLC	NO/NN	NO	1	G	Thomas Henry Freeman	N/A	David A. Schuler	1

22-00947	Kansas City, MO	04/29/2022	12/06/2022	12/07/2022	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Henry Freeman	1992187	AdvisorLaw LLC	NO	NO	1	G	Thomas Henry Freeman	N/A	David A. Schuler	1
22-00980	New York, NY	05/05/2022	06/01/2023	06/05/2023	Citigroup Global Markets Incorporated; Morgan Stanley	Kauff Laton Miller LLP (CGM); ISC (MSSB)	Jeffrey Stuart Gerson	1663752	AdvisorLaw LLC	NO/NN	NO	3	G	Jeffrey Stuart Gerson	N/A	Sandra J. Mullings, Esq.	1
22-00981	San Juan, PR	06/02/2022	11/10/2022	11/16/2022	UBS Financial Services Incorporated	ISC	Manuel Francisco Melendez	4648278	McConnell Valdes LLC	NO	NO	1	G	Manuel Francisco Melendez	N/A	Martin A. Feigenbaum, Esq.	1
22-00987	Boca Raton, FL	05/06/2022	07/28/2022	08/02/2022	Morgan Stanley	ISC	Trevor Alexander Fried	5709772	Bressler Amery & Ross	NO	NO	1	G	Trevor Alexander Fried	N/A	Kimberly A. Gilmour, Esq.	1
22-01013	Philadelphia, PA	05/10/2022	12/01/2022	12/07/2022	Summit Financial Services Group Incorporated	No-show	James Leo	1911418	AdvisorLaw LLC	NO/NN	NO	2	G	James Leo	N/A	Louis P. Wagman - Chair; Joseph J. Dougherty, JD; John T. Hausladen	1
22-01035	Dallas, TX	05/12/2022	01/10/2023	01/13/2023	Morgan Stanley Smith Barney LLC; Prudential Equity Group LLC	ISC (MSSB); Reyes Kurson Ltd. (PEG)	William Joseph Sammons	1087513	Berry Odom LLP	NO	NO	2	G	William Joseph Sammons	N/A	Andrea U. Calve, Esq.	1
22-01045	Reno, NV	05/13/2022	12/09/2022	12/12/2022	Allstate Financial Services LLC	Reyes Kurson Ltd.	Robert Elias Sorensen	5910732	FA Expungement	NO	NO	1	G	Robert Elias Sorensen	N/A	William Michael Samsel	1
22-01046	New York, NY	05/13/2022	04/27/2023	05/04/2023	Morgan Stanley; National Securities Corporation	ISC	Ronan David Cox	2693480	Carmel Milazzo & Feil LLP	NO	NO	1	G	Ronan David Cox	N/A	Julian F. Santos, Esq. - Chair; Veera V. Konka, Esq.; Thomas Hansen Boast	1
22-01047	New York, NY	05/16/2022	03/17/2023	05/03/2023	Ladenburg Capital Management Incorporated	No-show	Michael Christopher Lastihenos	2693480	Carmel Milazzo & Feil LLP	NN	NO	1	G	Michael Christopher Lastihenos	N/A	Howard L. Sobel - Chair; Peter A. Goldman, Esq.; Anthony J. Casino	1

22-01067	Los Angeles, CA	06/09/2022	01/12/2023	01/18/2022	Edward Jones; UBS Financial Services Incorporated	Keesal Young & Logan (EDJ); John Murphy & Associates (UBS)	Arlo Bryan Sullivan	2209899	HLBS Law	NO	OB/NOE	3	G/D	Arlo Bryan Sullivan	N/A	Mary M. O'Neil	1
22-01069	Detroit, MI	05/18/2022	11/14/2022	12/09/2022	UBS Financial Services Incorporated	John Murphy & Associates	Karl Eric Schwartz	2470163	Saretsky Hart et al.	NO	NO	1	G	Karl Eric Schwartz	N/A	Tracy L. Allen, Esq.	1
22-01071	San Francisco, CA	05/17/2022	11/07/2022	11/08/2022	Wells Fargo Clearing Services LLC	ISC	Frank Antonio Gavidia	2360057	HLBS Law	NN	NO	1	G	Frank Antonio Gavidia	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
22-01072	Milwaukee, WI	05/18/2022	01/19/2023	01/20/2023	Morgan Stanley & Company LLC	ISC	Jan Christian Dyke	2749040	AdvisorLaw LLC	NO	NO	1	G	Jan Christian Dyke	N/A	Michael F. Jordan, Esq.	1
22-01073	New York, NY	05/17/2022	12/16/2022	12/20/2022	National Securities Corporation	ISC	Kunal Arora	5280293	Carmel Milazzo & Feil LLP	NO	NO	1	G	Kunal Arora	N/A	Thomas Matthew Madden - Chair; Eva H. Posman, Esq.; Herbert N. Fishman	1
22-01078	Cheyenne, WY	05/18/2022	02/09/2023	02/17/2023	UBS Financial Services Incorporated	John Murphy & Associates	Jason P. Burkett	4788149	HLBS Law	NN	NO	1	G	Jason P. Burkett	N/A	Frederick Ramos, Esq.	1
22-01105	Dallas, TX	05/19/2022	05/16/2023	06/07/2023	Cantella & Company Incorporated	ISC	Bryan M. Rigg	5117040	The Rosenfeld Law Office	NO	OB	2	G	Bryan M. Rigg	N/A	Douglas Wade Carvell - Chair; Nicole T. LeBoeuf, Esq.; Russell Phillips Gandy	1
22-01139	Boca Raton, FL	05/24/2022	10/05/2022	10/10/2022	Raymond James & Associates Incorporated	ISC	Peter Leslie Bermont	19753	Guerra King PA	NO	NO	1	G	Peter Leslie Bermont	N/A	Mark C. Perry, Esq. - Chair; David P. Slater, Esq.; Steven M. Greenbaum, Esq.	1
22-01169	Boca Raton, FL	05/26/2022	12/09/2022	12/15/2022	Wells Fargo Clearing Services LLC	ISC	Justin R. Apakian	4578025	HLBS Law	NO-D	NO	1	G	Justin R. Apakian	N/A	Monica I. Salis, Esq.	1
22-01244	Los Angeles, CA	06/02/2022	02/23/2023	03/09/2023	Centaurus Financial Incorporated	ISC	Kelley Susan Slaught	1126586	Gordon Rees et al.	OB/NO	NO	2	G	Kelley Susan Slaught	N/A	Neil S. Jasper	2
22-01249	Philadelphia, PA	06/03/2022	12/12/2022	12/20/2022	Cetera Advisor Networks LLC	ISC	Stanley Ira Cooper	731732	Winget Spadafora & Schwartzberg	NO	NO	1	G	Stanley Ira Cooper	N/A	James W. (Jim) Geiger - Chair; Thomas R. Nathan; Alan J. Blocher	1
22-01250	Boca Raton, FL	06/03/2022	12/05/2022	12/08/2022	Commonwealth Financial Network	No-show	Richard Stephen Grund	2284738	FA Expungement	NO	NO	2	G	Richard Stephen Grund	N/A	Layne Verebay, Esq. - Chair; Eric Mealus	1

22-01255	New York, NY	06/10/2022	03/01/2023	03/02/2023	PHX Financial Incorporated; Aegis Capital Corporation	ISC	Serge Parakhnevich	5493064	Warren Law Group	NO	NO	3	G/D	Serge Parakhnevich	N/A	Lise Gabrielle Hunter, Esq. - Chair; April D. Bowie, Esq. (fka April D. Bowie Mena, Esq.); Rena E. Grossfield	1
22-01269	San Juan, PR	06/07/2022	11/08/2022	11/08/2022	UBS Financial Services Incorporated of Puerto Rico	ISC	Ramon E. Domenech	4552348	McConnell Valdes LLC	NO	NO	1	G	Ramon E. Domenech	N/A	Christopher J. Klein, Esq.	1
22-01284	Portland, OR	06/09/2022	03/29/2023	04/14/2023	Cetera Advisors LLC	ISC	Nicholas Foulger Taggart	4353676	AdvisorLaw LLC	NO	NO	2	G	Nicholas Foulger Taggart	N/A	David William Hickman, JD	1
22-01286	San Juan, PR	06/09/2022	12/20/2022	12/27/2022	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Ricardo Eboli-Kodesh	4353676	McConnell Valdes LLC	NO	NO	22	G/W	Ricardo Eboli-Kodesh	N/A	Gerald Silverman, Esq.	1
22-01296	San Francisco, CA	06/09/2022	11/15/2022	11/21/2022	UBS Financial Services Incorporated	ISC	Kevin Michael Sanchez	2524067	RikerDanzig LLP	NO	NO	1	G	Kevin Michael Sanchez	N/A	Daniel M. Yamshon, Esq.	1
22-01303	San Francisco, CA	06/10/2022	01/31/2023	05/19/2023	First Allied Securities Incorporated; NPB Financial Group LLC	ISC	Kimberly Ann Barentsen	2092280	Markun Zusman et al.	OB	NO	1	G	Kimberly Ann Barentsen	N/A	Philip Aaron Tymon, JD - Chair; Nancy Lynne Williamson; Wendy L. Schmidt	2
22-01316	Houston, TX	06/14/2022	01/11/2023	01/13/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David Andrew Smith	6507487	AdvisorLaw LLC	NO	NO	1	G	David Andrew Smith	N/A	Lynne M. Gomez, Esq.	1
22-01326	Omaha, NE	06/13/2022	02/17/2023	02/28/2023	VSR Financial Services Incorporated	ISC	Scott Vincent Kaup	U	Winget Spadafora & Schwartzberg	UN	NO	4	D	N/A	Scott Vincent Kaup	Steven A. Meyrich, Esq. - Chair; Richard Djokic, Esq.; William H. O'Donnell	1
22-01364	New York, NY	06/17/2022	11/09/2022	11/11/2022	JP Morgan Securities LLC	ISC	Frank David Metzke	4229150	Duane Morris LLP	NO	NO	1	G	Frank David Metzke	N/A	Morton S. Bunis, Esq.	1

22-01368	Houston, TX	06/17/2022	11/07/2022	11/25/2022	Royal Alliance Associates Incorporated	ISC	Jennifer Lynn Scroggins	2343868	D'Amura & Zaidman	OB	NO	1	G	Jennifer Lynn Scroggins	N/A	G. Maynard Green, JD	2
22-01390	New York, NY	06/21/2022	01/24/2023	02/09/2023	JP Morgan Securities LLC	ISC	Michael Craig Briese	5456332	Duane Morris LLP	NO	NO	1	G	Michael Craig Briese	N/A	Michael S. Lazan, Esq.	1
22-01395	Columbia, SC	06/22/2022	11/30/2022	12/02/2022	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	Samuel Ray Head	5456332	Murphy & Anderson	NO	NO	3	G/D	Samuel Ray Head	N/A	Harvey R. Linder, Esq. - Chair; Larry Kenneth Lott; Christopher Cecil Lamb	1
22-01397	Albany, NY	06/22/2022	12/21/2022	12/29/2022	Purshe Kaplan Sterling Investments Incorporated	ISC	Lawrence Michael Natale	2379172	Lax & Neville	NO	NO	2	G	Lawrence Michael Natale	N/A	Stuart M. Schwartz, Esq.	1
22-01400	Denver, CO	06/22/2022	01/12/2023	01/24/2023	Raymond James Financial Services Incorporated	ISC	Harold Reed Madison	1284978	Galvin Legal PLLC	NO	NO	1	G	Harold Reed Madison	N/A	Michael Jeffrey Norton, Esq. - Chair; Sophia C. Hassman; Amani Amir Ali	1
22-01402	Tampa, FL	06/22/2022	12/15/2022	12/20/2022	Raymond James & Associates Incorporated	ISC	Damien F. Bertucelli	4417516	Guerra King PA	OB	NO	2	G	Damien F. Bertucelli	N/A	Karimu F. Hill-Harvey, Esq. - Chair; Richard R. Logsdon, Esq.; Roger G. Young	1
22-01428	New York, NY	07/12/2022	03/16/2023	05/26/2023	NYLife Securities LLC; New York Life Insurance Company	Emy Murdoch LLC	Carolina Tanjutco	5565044	None	NO	OB	1	G	Carolina Tanjutco	N/A	Carol Maria Lutatti - Chair; Abigail R. Levy	4
22-01435	Orlando, FL	06/24/2022	11/30/2022	12/08/2022	SII Investments Incorporated	Saretsky Hart et al.	Steven David Kurland	5078232	Winget Spadafora & Schwartzberg	NO	NO	1	G	Steven David Kurland	N/A	Stuart K. Furman - Chair; Catherine Harper; Gregory Scott Knight	1
22-01450	New York, NY	06/28/2022	05/08/2023	05/10/2023	Joseph Gunnar & Company LLC	ISC	Stephan A. Stein	3238494	John E. Lawlor, Attorney-at-Law	NO	NO	1	G	Stephan A. Stein	N/A	Vincent C. Pangia - Chair; John Warner Lowe, Jr.; James Carlone	1
22-01452	New York, NY	06/28/2022	04/04/2023	04/27/2023	Joseph Gunnar & Company LLC	ISC	Joseph Anthony Alagna	1840339	John E. Lawlor, Attorney-at-Law	NO	NO	3	G	Joseph Anthony Alagna	N/A	Brian John Gallagher - Chair; Lynne M. Reid-McQueen, Esq.; Leslie Ruth Nydick	1

22-01454	Jersey City, NJ	06/28/2022	03/23/2023	03/24/2023	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Todd Adam Sacks	2219243	AdvisorLaw LLC	NO	NO	2	G	Todd Adam Sacks	N/A	Michael H. DuBoff, Esq.	1
22-01469	Detroit, MI	06/29/2022	01/25/2023	03/03/2023	UBS Financial Services Incorporated	John Murphy & Associates	Bradley Thomas Lott	U	HLBS Law	OB	NO	1	D	N/A	Bradley Thomas Lott	Charles A. Palmer, JD	1
22-01470	San Diego, CA	08/10/2022	04/14/2023	05/10/2023	Wells Fargo Advisors Financial Network	ISC	Jordan Valdez Varela	4157644	Donovan & Rainie	OB	NO	1	G	Jordan Valdez Varela	N/A	Constance Ellen Boukidis	1
22-01504	Minneapolis, MN	09/12/2022	07/19/2023	08/24/2023	None.	Customer	Terrence Scott Ransom	5170055	Robert D. Loventhal Law Offices	NO	NO	1	G	Terrence Scott Ransom	N/A	Phyllis Karasov, Esq. - Chair; Martin D. Munic; Emily B. Boote	2
22-01505	New York, NY	07/04/2022	01/17/2023	01/25/2023	Morgan Stanley DW Incorporated; Morgan Stanley & Company Incorporated; Morgan Stanley Smith Barney LLC	ISC	David P. Calderon	3236220	Judex Law LLC	NO	NO	3	G	David P. Calderon	N/A	Arthur Neil Tolciss, Esq. - Chair; Cheryl Catherine McLarin; Alan Steven Mittleman	1
22-01520	Detroit, MI	07/06/2022	05/18/2023	06/16/2023	CFD Investments Incorporated; Founders Financial Securities LLC	No-show (CFDI); Donovan & Rainie (FFS)	Richard Allen Barnett	2347495	HLBS Law	NO NO D	NO	2	G	Richard Allen Barnett	N/A	Susanne L. Ulicny	1
22-01549	Washington, DC	07/12/2022	04/04/2023	04/07/2023	Equitable Advisors LLC; LPL Financial LLC	ISC	Kelly Peter Campbell	2284105	AdvisorLaw LLC	NO/NN	NO	2	G	Kelly Peter Campbell	N/A	Patricia Horan Latham, Esq.	1
22-01555	New York, NY	07/12/2022	03/07/2023	03/16/2023	MML Investors Services LLC	Stevens & Lee	Jeffrey Paul Weiner	2476604	Law Office of Brian Kennedy	UN	NO	10	D	N/A	Jeffrey Paul Weiner	David Sorokoff, Esq. - Chair; Clive I. Morrisk; Andrew Robert Kosloff	2
22-01558	Pittsburgh, PA	07/13/2022	05/16/2023	06/20/2023	None.	Customers	Amy Beth Seltzer; James Edward Ellis; David Robert Neumann	4497457; 3211966; 6290456	Ratner Law	NO	NO	5	G	Amy Beth Seltzer; James Edward Ellis; David Robert Neumann	N/A	Gregory Hunter Mathews - Chair; Kenneth Alan Eisner; Peter Glasser	3

22-01560	Chicago, IL	07/13/2022	02/13/2023	02/14/2023	UBS Financial Services Incorporated	ISC	David Alan Hirsch	1341777	Riker Danzig et al.,	NO	NO	3	G	David Alan Hirsch	N/A	James J. Stamos, Esq.	1
22-01567	San Francisco, CA	07/13/2022	07/24/2023	08/04/2023	Foothill Securities Incorporated; Securities America Incorporated	ISC	Paul Louis Knoblich	1447147	HLBS Law	NO/NN	NO	5	G/D	Paul Louis Knoblich	N/A	Daniel M. Yamshon, Esq. - Chair; Mary Margaret Bush, Esq.; Carlos Richard Mangum	1
22-01576	New Orleans, LA	07/14/2022	01/31/2023	02/09/2023	AG Edwards & Sons Incorporated; FSC Securities Corporation	ISC	William Luther Crull IV	2013409	AdvisorLaw LLC	NO	NO	3	G	William Luther Crull IV	N/A	Simeon B. Reimonenq, Jr., Esq.	1
22-01579	San Juan, PR	07/14/2022	06/09/2023	06/22/2023	UBS Financial Services Incorporated	ISC	Carlos Arturo Pou	2096091	McConnell Valdes LLC	NO	NO	1	G	Carlos Arturo Pou	N/A	Louis David Huss	1
22-01599	Minneapolis, MN	07/18/2022	05/31/2023	06/09/2023	LPL Financial LLC	ISC	Jamie Michael Grupe	3106745	AdvisorLaw LLC	NO	NO	1	G	Jamie Michael Grupe	N/A	Tracy L. Allen, Esq.	1
22-01600	San Juan, PR	07/18/2022	04/25/2023	05/19/2023	UBS Financial Services Incorporated	ISC	Carlos Arturo Pou	2096091	McConnell Valdes LLC	NO	NO	1	G	Carlos Arturo Pou	N/A	Barth Satuloff, CPA	1
22-01608	Philadelphia, PA	07/19/2022	03/21/2023	03/30/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael Joseph Cifelli	1276418	AdvisorLaw LLC	OB/NO NN	NO	10	G/D	Michael Joseph Cifelli	N/A	Louis P. Wagman	1
22-01630	New York, NY	07/21/2022	01/17/2023	01/20/2023	Sanford C Bernstein & Company LLC; UBS Financial Services Incorporated	Davis Wright Tremaine LLP (SCB); ISC (UBS)	Adam F. Epstein	4043653	Bressler Amery & Ross	OB/NO	NO	3	G	Adam F. Epstein	N/A	Madelon M. Rosenfeld, Esq.	1
22-01648	Boca Raton, FL	07/25/2022	02/21/2023	02/28/2023	Shearson Financial Services LLC	ISC	Jed Philip Kaplan	1622929	HLBS Law	NO/NN	NO	3	G	Jed Philip Kaplan	N/A	Martin A. Feigenbaum, Esq.	1

22-01650	Cleveland, OH	07/25/2022	02/08/2023	02/09/2023	LPL Financial LLC; MML Investors Services LLC	ISC (LPL); Stevens & Lee (MMLIS)	Russell T. McAlonie	2229603	Ghabai Law Group LLC	NO/NN	NO	2	G	Russell T. McAlonie	N/A	Gregory G. Gocek	1
22-01659	Norfolk, VA	07/25/2022	01/05/2023	01/11/2023	Raymond James Financial Services Incorporated	ISC	Margaret Newell Wiley	5681782	Holcomb + Ward LLP	UN	NO	1	D	N/A	Margaret Newell Wiley	Michael J. Ahlstrom, Esq. - Chair; John D. Mattingly, JD; Edward R. Hipp, III	1
22-01660	Bismarck, ND	07/25/2022	04/05/2023	04/24/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Matthew Howard Engen	2205477	AdvisorLaw LLC	NN	NO	1	G	Matthew Howard Engen	N/A	Mark L. Miller, Esq.	1
22-01665	Albuquerque, NM	07/26/2022	03/13/2023	03/16/2023	Investors Capital Corporation ; Securian Financial Services Incorporated	ISC	Henry Gallardo	1848968	AdvisorLaw LLC	NO	NO	2	G	Henry Gallardo	N/A	Walter Steven Schwartz	1
22-01675	Boca Raton, FL	07/27/2022	04/06/2023	05/04/2023	National Securities Corporation	ISC	Willard Louis Pugh	1757428	HLBS Law	NO	NO	2	G	Willard Louis Pugh	N/A	Seth L. Finkel, Esq.	1
22-01678	Omaha, NE	07/27/2022	03/14/2023	03/31/2023	First Allied Securities Incorporated	ISC	Dennis Patrick Thurman	2342398	AdvisorLaw LLC	NO/NN	NO	2	G	Dennis Patrick Thurman	N/A	Gregory G. Gocek	1
22-01682	Houston, TX	07/27/2022	06/14/2023	06/30/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Stephen Francis Caton	1199559	AdvisorLaw LLC	NO	NO	1	G	Stephen Francis Caton	N/A	Maryanne M. Esser, Esq.	1
22-01685	Boca Raton, FL	07/27/2022	04/24/2023	05/12/2023	National Securities Corporation ; Joseph Stone Capital LLC	ISC	Allan Daniel Babaian	4155504	The Rosenfeld Law Office	NO	NO	2	G	Allan Daniel Babaian	N/A	George G. Kurschner, Esq. - Chair; David I. Stern; Philip Lindsay Bullen	1

22-01704	Tampa, FL	07/29/2022	04/20/2023	05/08/2023	Raymond James Financial Services Incorporated; Raymond James & Associates Incorporated	ISC	Cary Robert Kleinfeld	1040176	HLBS Law	NO/NN	NO	3	G	Cary Robert Kleinfeld	N/A	Karl A. Vogeler, III	1
22-01721	Tampa, FL	08/01/2022	02/16/2023	02/22/2023	Morgan Stanley Smith Barney LLC; Morgan Stanley & Company LLC; Morgan Stanley DW Incorporated	ISC	John Anthony Posey	2150733	Louviere Law Firm PA	NO/NN	NO	9	G	John Anthony Posey	N/A	Maurice M. Feller, Esq.	1
22-01726	Atlanta, GA	08/01/2022	11/02/2022	11/08/2022	UBS Financial Services Incorporated	ISC	Brent Lane	4858405	Bressler Amery & Ross	NO	NO	1	G	Brent Lane	N/A	Michael J. Ahlstrom, Esq.	1
22-01742	Detroit, MI	08/03/2022	03/28/2023	04/03/2023	Robert W Baird & Company Incorporated; First Allied Securities Incorporated	Todd Holleman Law (RWB); ISC (FAS)	David Lee Wilson	2582912	HLBS Law	OB/NO NN	NO	3	G	David Lee Wilson	N/A	Carl E. Ver Beek, JD	1
22-01746	Portland, OR	08/03/2022	03/22/2023	03/27/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Patrick M. Cummings	4858761	Lax & Neville	NO	NO	1	G	Patrick M. Cummings	N/A	Daniel M. Yamshon, Esq.	1
22-01753	Raleigh, NC	08/04/2022	01/24/2023	01/27/2023	LPL Financial LLC	ISC	Don Michael Rudolph	1743602	Galvin Legal PLLC	NO	NO	1	G	Don Michael Rudolph	N/A	Michael J. Ahlstrom, Esq. - Chair; Michael J. Pasquale; Paul Nicholas Inserra	1
22-01754	Houston, TX	08/04/2022	06/01/2023	06/05/2023	Wells Fargo Clearing Services LLC	ISC	Kimberly Ripoli	2557442	AdvisorLaw LLC	NO	NO	2	G	Kimberly Ripoli	N/A	Allan R. Lazor, Esq.	1

22-01788	Richmond, VA	08/09/2022	03/01/2023	03/03/2023	TIAA-CREF Individual & Institutional Services LLC	ISC	Loizos Sergios Kapnisi	5817380	Galvin Legal PLLC	NO	NO	1	G	Loizos Sergios Kapnisi	N/A	James W. (Jim) Geiger	1
22-01812	Boca Raton, FL	08/11/2022	01/05/2023	01/13/2023	Wells Fargo Advisors Financial Network LLC	ISC	Stuart Craig Chamberlin	1549351	None	UN	NO	1	D	N/A	Stuart Craig Chamberlin	John B. Sochacki - Chair; Edward Alexander Jaffe; Bart Samuel Cohodas	1
22-01816	Denver, CO	09/08/2022	03/06/2023	03/17/2023	Geneos Wealth Management Incorporated; Piper Jaffray & Company	Kutak Rock LLP (GWM); ISC (PS)	Robert Earl Stanlick	2411358	The Rosenfeld Law Office	UN	NO	3	D	N/A	Robert Earl Stanlick	Tina Allison Davis - Chair; Fernando Lugo; Douglas Lou Dombey	1
22-01819	Los Angeles, CA	08/12/2022	05/02/2023	05/11/2023	Morgan Stanley Smith Barney LLC	ISC	Patrick Christopher Lowe	2745005	Lax & Neville	NO	NO	3	G	Patrick Christopher Lowe	N/A	Anita Rae Shapiro, Esq.	1
22-01839	Honolulu, HI	08/15/2022	04/03/2023	05/09/2023	VSR Financial Services Incorporated	ISC	Ronald Craig Kuhn	4800472	Winget Spadafora & Schwartzberg	NO	NO	1	G	Ronald Craig Kuhn	N/A	Arcles Aguilar - Chair; Peter N. Daly; Bruce Swartout	1
22-01843	Albany, NY	08/15/2022	02/15/2023	03/01/2023	LPL Financial LLC; Voya Financial Advisors Incorporated	ISC (LPL); Winget Spadafora & Schwartzberg (VFA)	Todd Arthur Slingerland	1924692	Ghabai Law Group LLC	NO	NO	2	G	Todd Arthur Slingerland	N/A	Steven R. Rolnick, Esq.	1
22-01865	New Orleans, LA	08/17/2022	03/29/2023	04/10/2023	Edward Jones	Quarles & Brady	Toby Lafont	2907104	Louviere Law Firm PA	NO	NO	1	G	Toby Lafont	N/A	Ashley Lucile Belleau, Esq.	1
22-01867	Omaha, NE	08/18/2022	11/22/2022	11/29/2022	UBS Financial Services Incorporated	ISC	Jason Matthew Dworak	2434370	Bressler Amery & Ross	NO/NN	NO	2	G	Jason Matthew Dworak	N/A	Gregory G. Gocek	1
22-01870	Chicago, IL	08/18/2022	04/26/2023	05/01/2023	Advanced Equities Incorporated	No-show	Byron Keith Crowe	1586181	AdvisorLaw LLC	NO	NO	1	G	Byron Keith Crowe	N/A	Theodore W. Wroblewski, Esq.	1

22-01878	San Diego, CA	08/18/2022	04/20/2023	04/26/2023	QA3 Financial Corporation ; SunAmerica Securities Incorporated	ISC	John Logan Jenkins	1163851	HLBS Law	NO/NN	NO	2	G	John Logan Jenkins	N/A	Erik R. Siering	1
22-01896	Denver, CO	08/22/2022	08/01/2023	08/10/2023	Capwest Securities Incorporated; First Allied Securities Incorporated; International Asset Advisory LLC; JW Cole Financial Incorporated; QA3 Financial Corporation ; Securities America Incorporated	ISC (FAS & SA); Myra Nicholson PA (IAA); Sichenzia Ross Ference LLP (JWCF); No-show (CS & QA3)	Terry Morris Anderson	2374045	The Rosenfeld Law Office	NO UN	NO	11	G/D	Terry Morris Anderson	N/A	Leonard M. Goldstein - Chair; Steven A. Meyrich, Esq.; Aaron J. Haley, Esq.	1
22-01905	New York, NY	08/22/2022	06/06/2023	07/14/2023	JP Turner & Company LLC; Sands Brothers & Company Limited; Felix Investments LLC	ISC	Emilio Disanluciano	2755224	Sallah Astarita & Cox LLC	NO/NN	NO	7	G/D	Emilio Disanluciano	N/A	Brian John Gallagher	1
22-01909	San Juan, PR	08/23/2022	04/26/2023	05/11/2023	UBS Financial Services Incorporated	ISC	Jose A. Chaves	1854754	Toro Colon Mullet PSC	NO	NO	7	G	Jose A. Chaves	N/A	Martin A. Feigenbaum, Esq.	2
22-01920	New York, NY	08/24/2022	05/02/2023	05/12/2023	National Securities Corporation Incorporated	ISC	Andrew Massaro	6551913	Judex Law LLC	NO	NO	1	G	Andrew Massaro	N/A	Susan A. Romano - Chair; Glenn Ravenell; Anthony Marchese	1
22-01926	Chicago, IL	08/25/2022	05/02/2023	05/08/2023	Sanford C Bernstein & Company LLC	ISC	Robert Anthony Westropp Jr.	814048	Davis Wright Tremaine LLP	NO	NO	1	G	Robert Anthony Westropp Jr.	N/A	Leon Fox, JD	1

22-01938	Boca Raton, FL	08/26/2022	05/08/2023	05/23/2023	Wells Fargo Clearing Services LLC	ISC	Henry Krich	4044044	Stein & Stein	NO	NO	1	G	Henry Krich	N/A	Will Murphy, Esq. - Chair; Steven N. Ainbinder, Esq.; Carl Joseph Domino	1
22-01955	New York, NY	08/30/2022	05/16/2023	05/22/2023	National Securities Corporation	ISC	Frank Louis Avallone	4814368	Judex Law LLC	NO	NO	2	G	Frank Louis Avallone	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Jay Alan Kranis; Jonathan Ashley Pomeroy	1
22-01958	New York, NY	08/30/2022	01/30/2023	02/14/2023	Sanford C Bernstein & Company LLC	ISC	Daniel Joseph Pacella	5069689	Davis Wright Tremaine LLP	NO	NO	1	G	Daniel Joseph Pacella	N/A	Andrew M. Schmertz	1
22-01962	San Juan, PR	08/30/2022	02/02/2023	02/06/2023	UBS Financial Services Incorporated	ISC	Isabel C. Haigler	2965940	McConnell Valdes LLC	NO	NO	1	G	Isabel C. Haigler	N/A	Louis David Huss	1
22-01976	Seattle, WA	09/01/2022	04/12/2023	06/05/2023	VSR Financial Services Incorporated	ISC	Meris Arel Collier	U	AdvisorLaw LLC	UN	NO	1	D	N/A	Meris Arel Collier	Daniel B. MacLeod, Esq.	1
22-01980	Salt Lake City, UT	09/01/2022	06/12/2023	06/26/2023	Royal Alliance Associates Incorporated	ISC	Christopher J. Dame	4326978	AdvisorLaw LLC	OB	NO	1	G	Christopher J. Dame	N/A	Steven A. Meyrich, Esq.	1
22-01991	San Juan, PR	09/01/2022	04/13/2023	04/19/2023	UBS Financial Services Incorporated	ISC	Magda Teresa Broco Rodriguez	3191394	McConnell Valdes LLC	NO	NO	14	G	Magda Teresa Broco Rodriguez	N/A	Nancy J. Cliff, Esq.	1
22-01993	Orlando, FL	09/01/2022	03/29/2023	05/22/2023	First Midwest Securities Incorporated; JP Turner & Company LLC; Joseph Stone Capital LLC; North American Clearing Incorporated	No-show (FMS, JSCL & NAC); Winget Spadafora & Schwartzberg (JPT&C)	Peter Joseph Mirenda	4397656	The Rosenfeld Law Office	NO	NO	6	G	Peter Joseph Mirenda	N/A	Mauricio Arcadier, JD - Chair; Shameeka E. Quallo; Warren A. Forest	2
22-02007	Jersey City, NJ	10/03/2022	04/25/2023	06/14/2023	Wells Fargo Advisors Financial Network LLC	ISC	David Andrew Hammer	2373042	The Rosenfeld Law Office	NO	NO	3	G	David Andrew Hammer	N/A	Jeffrey Alan Helewitz, Esq. - Chair; Kevin K. Walsh; William J. Travis, Esq.	1

22-02016	New York, NY	09/05/2022	04/27/2023	05/08/2023	Joseph Stone Capital LLC; Worden Capital Management LLC	No-show	Joseph C. Fallarino	U	The Rosenfeld Law Office	NO	NO	2	D	Joseph C. Fallarino	N/A	Eric Goldman - Chair; Mary Julia O'Connell; Thomas M. Amadio	1
22-02027	New York, NY	09/06/2022	04/24/2023	06/02/2023	Sanford C Bernstein & Company LLC	ISC	Richard Lindsay Newton Weaver	874075	Davis Wright Tremaine LLP	NO	NO	1	G	Richard Lindsay Newton Weaver	N/A	Edmund Timothy Donovan	1
22-02034	San Juan, PR	09/07/2022	06/27/2023	07/06/2023	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	Anita M. Brennan; Marina Sonya Tudela	858500; 2269112	McConnell Valdes LLC	NO	NO	4	G	Anita M. Brennan; Marina Sonya Tudela	N/A	Christopher J. Klein, Esq.	1
22-02039	New York, NY	09/07/2022	04/25/2023	05/05/2023	UBS Financial Services Incorporated	John Murphy & Associates	Steven Michael Lewine	2741489	AdvisorLaw LLC	NO-D	NO	1	G	Steven Michael Lewine	N/A	Veronica Ann Williams	1
22-02044	San Francisco, CA	09/08/2022	06/20/2023	07/27/2023	Lincoln Financial Advisors Corporation; Wells Fargo Clearing Services LLC	ISC	Matthew Edward Roberson	3090052	HLBS Law	NO	NO	3	G	Matthew Edward Roberson	N/A	Kevin C. Coleman, JD	1
22-02050	Cleveland, OH	09/08/2022	04/25/2023	05/03/2023	Wells Fargo Clearing Services LLC	ISC	Shawn M. Burke	2615449	Shumaker Loop & Kendrick	OB/NO NN	NO	3	G	Shawn M. Burke	N/A	Michael L. Fortney, Esq. - Chair; David Arnold; Stephen M. Bales	2
22-02052	San Juan, PR	09/08/2022	03/09/2023	03/15/2023	UBS Financial Services Incorporated	ISC	William John Serralles	2121621	McConnell Valdes LLC	NO	NO	6	G	William John Serralles	N/A	Martin A. Feigenbaum, Esq.	1
22-02054	Tampa, FL	09/08/2022	04/03/2023	04/06/2023	Charles Schwab & Company Incorporated	ISC	John Michael Redhead	6969748	Winget Spadafora & Schwartzberg	NO	NO	1	G	John Michael Redhead	N/A	Karl A. Vogeler, III - Chair; Maurice M. Feller, Esq.; Howard B. Scherer	1

22-02074	Boise, ID	09/10/2022	03/01/2023	05/23/2023	JP Turner & Company LLC; LPL Financial LLC	ISC	Jason Steven Hawke	4177415	Farrar Law PLLC	NO	UN	NO	7	G/D	Jason Steven Hawke	N/A	Daniel M. Yamshon, Esq.	1
22-02079	San Juan, PR	09/12/2022	04/25/2023	05/05/2023	Popular Securities LLC	ISC	Roberto Luis Rivera Vazquez	4205969	Kaufman Dolowich Voluck LLP	NO	NN	NO	3	G/D	Roberto Luis Rivera Vazquez	N/A	Robert G. Falbisaner	1
22-02082	Atlanta, GA	09/12/2022	08/01/2023	08/10/2023	SA Stone Wealth Management Incorporated; Southeast Investments NC Incorporated	ISC	David Kent Prewette	1233778	AdvisorLaw LLC	UN	NO	NO	1	D	N/A	David Kent Prewette	Barbara Black, Esq.	1
22-02103	San Juan, PR	09/14/2022	03/07/2023	03/13/2023	UBS Financial Services Incorporated	ISC	Ernest E. Musgrave	5057939	McConnell Valdes LLC	NO	NO	NO	1	G	Ernest E. Musgrave	N/A	Christopher J. Klein, Esq.	1
22-02117	Boca Raton, FL	09/15/2022	07/13/2023	07/21/2023	JP Morgan Securities LLC	Ulmer & Berne	Meryll Biala Bangsil	4596205	HLBS Law	OB	NN	NO	1	G	Meryll Biala Bangsil	N/A	Robert G. Geeseman, Esq.	1
22-02135	Jersey City, NJ	09/19/2022	11/29/2022	12/05/2022	UBS Financial Services Incorporated	ISC	Harrison C. Hoyes	5348427	Bressler Amery & Ross	NO	NO	NO	1	G	Harrison C. Hoyes	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
22-02149	Birmingham, AL	09/20/2022	03/20/2023	03/24/2023	Edward Jones	Quarles & Brady	James William Roberson III	5472003	Jenks & Harvey	NO	NO	NO	1	G	James William Roberson III	N/A	Earle J. Schwarz, Esq.	1
22-02151	Hartford, CT	09/20/2022	04/13/2023	05/02/2023	National Securities Corporation	ISC	Dennis Karjanis	5280862	Carmel Milazzo & Feil LLP	NO	NO	NO	1	G	Dennis Karjanis	N/A	Peter E. Gillespie - Chair; David Adams Reif; Philip S. Wellman	1
22-02163	San Francisco, CA	09/21/2022	04/06/2023	04/10/2023	LPL Financial LLC	ISC	Bradley Christopher Towers	1652015	Ghabai Law Group LLC	NO	NO	NO	1	G	Bradley Christopher Towers	N/A	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
22-02170	San Juan, PR	09/22/2022	03/08/2023	03/13/2023	UBS Financial Services Incorporated	ISC	Francisco Javier Landivar	2784555	McConnell Valdes LLC	NO	NO	NO	1	G	Francisco Javier Landivar	N/A	Martin A. Feigenbaum, Esq.	1

22-02171	San Juan, PR	09/22/2022	05/01/2023	05/11/2023	UBS Financial Services Incorporated	ISC	Francisco Javier Landivar	2784555	McConnell Valdes LLC	NO	NO	11	G	Francisco Javier Landivar	N/A	Gerald Silverman, Esq.	1
22-02175	Dallas, TX	09/22/2022	03/02/2023	03/09/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Andrew R. Johnsen	6404842	Louviere Law Firm PA	NO	NO	1	G	Andrew R. Johnsen	N/A	David A. Schuler	1
22-02203	Los Angeles, CA	09/26/2022	06/27/2023	07/03/2023	Sagepoint Financial Incorporated	ISC	Brett Edward Weichbrod	4595377	Winget Spadafora & Schwartzberg	NO	NO	1	G	Brett Edward Weichbrod	N/A	Anita Rae Shapiro, Esq.	1
22-02205	San Juan, PR	09/27/2022	05/11/2023	05/22/2023	UBS Financial Services Incorporated	ISC	Sonia Pou Monagas	1813503	McConnell Valdes LLC	NO	NO	1	G	Sonia Pou Monagas	N/A	Louis David Huss	1
22-02206	New York, NY	09/27/2022	03/23/2023	03/30/2023	Family Management Securities LLC	ISC	Andrea Leslie Tessler; Seymour William Zises	1407430; 816096	Bressler Amery & Ross	NO	NO	19	G	Andrea Leslie Tessler; Seymour William Zises	N/A	Amy Jill Baranoff	1
22-02209	San Juan, PR	09/27/2022	04/18/2023	05/02/2023	UBS Financial Services Incorporated	ISC	Angel Manuel Canabal SR.	2180310	McConnell Valdes LLC	NO	NO	2	G	Angel Manuel Canabal SR.	N/A	Martin A. Feigenbaum, Esq.	1
22-02220	San Juan, PR	09/28/2022	07/12/2023	07/18/2023	UBS Financial Services Incorporated	ISC	Sonia Pou Monagas	1813503	McConnell Valdes LLC	NO	NO	1	G	Sonia Pou Monagas	N/A	Christopher J. Klein, Esq.	1
22-02226	San Juan, PR	09/29/2022	03/27/2023	03/31/2023	UBS Financial Services Incorporated	ISC	Angel Manuel Canabal Sr.	2180310	McConnell Valdes LLC	NO	NO	1	G	Angel Manuel Canabal Sr.	N/A	Nancy J. Cliff, Esq.	1
22-02232	San Juan, PR	09/29/2022	06/20/2023	06/27/2023	UBS Financial Services Incorporated	ISC	Sonia Pou Monagas	1813503	McConnell Valdes LLC	NO	NO	1	G	Sonia Pou Monagas	N/A	Louis David Huss	1
22-02235	Los Angeles, CA	09/29/2022	06/21/2023	07/07/2023	Western International Securities Incorporated	ISC	Bradley Clifford Kaiser; Andrew C. Kuo	2523397; 4415637	Markun Zusman & Compton	OB	NO	4	G	Bradley Clifford Kaiser; Andrew C. Kuo	N/A	Kirtley M. Thiesmeyer, Esq. - Chair; Mary M. O'Neil; Sidney Kinji Kanazawa, Esq.	1

22-02238	Boca Raton, FL	09/30/2022	03/24/2023	03/31/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Joseph C. Bowden	5326755	Galvin Legal PLLC	OB	NO	1	G	Joseph C. Bowden	N/A	Donna Greenspan Solomon	1
22-02257	San Francisco, CA	10/04/2022	06/01/2023	06/06/2023	Metlife Securities Incorporated; Waddell & Reed Incorporated	Proskauer Rose LLP (MS); ISC (W&R)	Gale Ann Brodie	1318619	The Rosenfeld Law Office	NO	NO	2	G	Gale Ann Brodie	N/A	Philip Aaron Tymon, JD - Chair; Bruce J. Highman; Gary A. Hooker	1
22-02258	New Orleans, LA	10/04/2022	07/11/2023	07/26/2023	Securities America Incorporated	ISC	Ronald Joseph Carazo	2176088	The Rosenfeld Law Office	UN	NO	8	D	N/A	Ronald Joseph Carazo	Robert H. Putnam, Jr., Esq. - Chair; Ralph Hamilton Schofield, Jr.; Eric M. Schorr	1
22-02260	Omaha, NE	10/04/2022	12/16/2022	12/22/2022	UBS Financial Services Incorporated	ISC	William Burton Shreve	852878	Bressler Amery & Ross	NO	NO	2	G/D	William Burton Shreve	N/A	Susan L. Walker, Esq.	1
22-02279	San Juan, PR	10/06/2022	02/14/2023	02/17/2023	UBS Financial Services Incorporated	ISC	David L. Rojas	3139380	McConnell Valdes LLC	NO	NO	2	G	David L. Rojas	N/A	Louis David Huss	1
22-02282	Boca Raton, FL	10/06/2022	07/10/2023	07/25/2023	UBS Financial Services Incorporated	John Murphy & Associates	Christian D. Searcy Jr.	4578138	Stein & Stein	NN	NO	1	G	Christian D. Searcy Jr.	N/A	Nanci Sondra Landy - Chair; David P. Slater, Esq.; Marc S. Dobin, Esq.	1
22-02286	Jersey City, NJ	10/06/2022	11/16/2022	11/18/2022	Hennion & Walsh Incorporated	ISC	William Hennion	U	Hennion & Walsh Incorporated	NO	NO	1	D	N/A	William Hennion	Sam Antar, Esq.	1
22-02288	Jersey City, NJ	10/06/2022	11/17/2022	11/21/2022	Hennion & Walsh Incorporated	ISC	Joseph Ismael Rodriguez	3093506	Hennion & Walsh Incorporated	NO	NO	1	G	Joseph Ismael Rodriguez	N/A	Linda J. Baer, Esq.	1
22-02294	Jersey City, NJ	10/07/2022	11/30/2022	12/09/2022	Hennion & Walsh Incorporated	ISC	John Tsoukalas	4428102	Hennion & Walsh Incorporated	NO	NO	1	G	John Tsoukalas	N/A	Linda J. Baer, Esq.	1
22-02295	Milwaukee, WI	10/07/2022	03/27/2023	07/18/2023	UBS Financial Services Incorporated	John Murphy & Associates	Cynthia G. Farnsworth	5389825	Stowell & Friedman Limited	NO	NO	1	G	Cynthia G. Farnsworth	N/A	Sal Presti, CPA	2

22-02296	Chicago, IL	10/07/2022	06/13/2023	06/15/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark W. Thorndyke	1487294	AdvisorLaw LLC	NO	NO	1	G	Mark W. Thorndyke	N/A	Michael F. Jordan, Esq.	1
22-02297	New York, NY	10/07/2022	05/24/2023	06/01/2023	Raymond James Financial Services Incorporated; Raymond James & Associates Incorporated; RD White & Company Incorporated	ISC	Charles L. Failla	2628097	AdvisorLaw LLC	OB/NO	NO	2	G/D	Charles L. Failla	N/A	Michael H. DuBoff, Esq. - Chair; Jay Alan Kranis; Joanne Basso Mack	2
22-02308	Salt Lake City, UT	10/10/2022	03/15/2023	03/29/2023	Lincoln Financial Advisors Corporation	ISC	James Franklin Davenport	2872276	Louviere Law Firm PA	NO	NO	2	G	James Franklin Davenport	N/A	Richard J. Lawrence, Esq.	1
22-02309	Wilmington, DE	10/10/2022	08/22/2023	08/25/2023	Ameriprise Financial Services Incorporated	ISC	Kimberlee Marie Orth; Harry Robbins Orth	1743707; 2339891	Saretsky Hart et al.	NO	NO	2	G	Kimberlee Marie Orth; Harry Robbins Orth	N/A	Louis P. Wagman	1
22-02319	Denver, CO	10/11/2022	04/25/2023	05/03/2023	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated	Kauff Laton Miller LLP (CGM); John Murphy & Associates (UBS)	Timothy Barnard Kneen	1332458	Galvin Legal PLLC	NO	NO	3	G	Timothy Barnard Kneen	N/A	Leonard Arthur Nelson, Esq. - Chair; Matthew Stalcup; Tosh Daniel Grebenik, Esq.	1
22-02320	Denver, CO	10/11/2022	03/21/2023	03/24/2023	UBS Financial Services Incorporated	John Murphy & Associates	Timothy Barnard Kneen	1332458	Galvin Legal PLLC	OB/NO	NO	2	G	Timothy Barnard Kneen	N/A	Frances Johnson-Wright, Esq.	1
22-02327	Jersey City, NJ	10/11/2022	06/14/2023	06/22/2023	Edward Jones	Quarles & Brady	Jonathan Michael LeVar	5143977	Louviere Law Firm PA	NO	NO	1	G	Jonathan Michael LeVar	N/A	Paul Allan Massaro	1
22-02339	Milwaukee, WI	10/12/2022	05/03/2023	05/19/2023	LPL Financial LLC	ISC	Earl Todd Marquardt	2649551	Ghabai Law Group LLC	NO	NO	1	G	Earl Todd Marquardt	N/A	Leon Fox, JD	1

22-02352	Boca Raton, FL	10/13/2022	04/11/2023	05/05/2023	FSC Securities Corporation ; Raymond James Financial Services Incorporated	ISC	Jonathan Marc Beitler	3213714	Farrar Law PLLC	NO	NO	3	G	Jonathan Marc Beitler	N/A	Kimberly A. Gilmour, Esq.	1
22-02369	Birmingham, AL	10/14/2022	06/13/2023	07/10/2023	Raymond James & Associates Incorporated	ISC	Christopher Michael Hagen	4412715	Bressler Amery & Ross	NO/NN	NO	32	G	Christopher Michael Hagen	N/A	Michael J. Ahlstrom, Esq.	1
22-02404	Wilmington, DE	10/19/2022	06/08/2023	06/14/2023	Ameriprise Financial Services Incorporated	ISC	Kimberlee Marie Orth	1743707	Saretsky Hart et al.	NO	NO	2	G	Kimberlee Marie Orth	N/A	Morton S. Bunis, Esq.	1
22-02418	New York, NY	10/20/2022	06/13/2023	06/16/2023	Ameriprise Financial Services LLC	ISC	Christopher Kaihong Tong	4342889	AdvisorLaw LLC	NO	NO	1	G	Christopher Kaihong Tong	N/A	Madelon M. Rosenfeld, Esq.	1
22-02420	San Juan, PR	10/21/2022	07/13/2023	07/20/2023	UBS Financial Services Incorporated	ISC	Orlando Javier Perez; Viviana Cristina Perez	1019547; 4116565	McConnell Valdes LLC	NO	NO	9	G	Orlando Javier Perez; Viviana Cristina Perez	N/A	Martin A. Feigenbaum, Esq.	1
22-02421	Houston, TX	10/21/2022	05/25/2023	06/20/2023	Raymond James & Associates Incorporated	ISC	Paolo M. Thompson	2286601	Guerra King PA	NO	NO	1	G	Paolo M. Thompson	N/A	Lynne M. Gomez, Esq. - Chair; Montie G. Grimes; Leslie Bernard Jallans	1
22-02422	San Juan, PR	10/21/2022	05/24/2023	06/07/2023	Santander Securities LLC		Pietrantonio Mendez & Alvarez	4116565	McConnell Valdes LLC	NO	NO	1	G	Viviana Cristina Perez Cordero	N/A	Louis David Huss	1
22-02423	Pittsburgh, PA	10/21/2022	02/07/2023	02/20/2023	Wells Fargo Clearing Services LLC	ISC	John P. Rauch	1648935	Faegre Drinker et al.	NO	NO	1	G	John P. Rauch	N/A	James T. Carney - Chair; William L. White, Jr.; John Joseph Neely	1
22-02445	San Juan, PR	10/26/2022	04/19/2023	04/21/2023	UBS Financial Services Incorporated	ISC	Frank Julio Carrasco	2006959	McConnell Valdes LLC	NO	NO	1	G	Frank Julio Carrasco	N/A	Louis David Huss	1
22-02452	Los Angeles, CA	10/26/2022	07/25/2023	08/02/2023	Cetera Investment Services LLC	ISC	Mei Xia Guo	4201624	Winget Spadafora & Schwartzberg	NO	NO	1	G	Mei Xia Guo	N/A	Robert D. Sussin, Esq.	1

22-02468	Orlando, FL	10/28/2022	04/12/2023	05/04/2023	Cetera Advisors LLC	Winget Spadafora & Schwartzberg	Nicholas James Russell	4955951	Johnson Newlon & DeCort	OB	NO	1	G	Nicholas James Russell	N/A	Christopher J. Klein, Esq. - Chair; Alan E. Linden, BS, MA; Ken Ziesenheim, Esq.	1
22-02477	New York, NY	10/30/2022	05/23/2023	06/02/2023	National Securities Corporation	ISC	David Grant Conrad Morgan	2035526	Judex Law LLC	NO	NO	3	G	David Grant Conrad Morgan	N/A	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; John Lawniczack; Maria Barry	1
22-02489	San Juan, PR	11/01/2022	07/06/2023	07/18/2023	UBS Financial Services Incorporated	ISC	Dario Suarez	1143417	McConnell Valdes LLC	NO	NO	11	G	Dario Suarez	N/A	Martin A. Feigenbaum, Esq.	1
22-02500	New York, NY	11/02/2022	07/12/2023	07/17/2023	American Portfolios Financial Services Incorporated	ISC	Louise Deluca Fallica	1375433	AdvisorLaw LLC	NO	NO	1	G	Louise Deluca Fallica	N/A	Howard L. Sobel	1
22-02508	Los Angeles, CA	11/03/2022	06/15/2023	06/16/2023	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Anouchka Marie Balog	1877212	HLBS Law	NO/NN	NO	2	G	Anouchka Marie Balog	N/A	Robert D. Sussin, Esq.	1
22-02523	Houston, TX	11/07/2022	08/02/2023	08/03/2023	Principal Securities Incorporated	Maynard Nexson PC	Donald Terry Jr.	2021611	FA Expungement	NO	NO	1	G	Donald Terry Jr.	N/A	Robert C. Rice	1
22-02578	San Juan, PR	11/10/2022	07/11/2023	07/19/2023	UBS Financial Services Incorporated	ISC	Ernest Eugene Musgrave	5057939	McConnell Valdes LLC	NO	NO	2	G	Ernest Eugene Musgrave	N/A	Christopher J. Klein, Esq.	1
22-02582	San Juan, PR	11/10/2022	04/14/2023	04/21/2023	UBS Financial Services Incorporated	ISC	James Malcom Ugobono	4032530	McConnell Valdes LLC	NO	NO	1	G	James Malcom Ugobono	N/A	Martin A. Feigenbaum, Esq.	1
22-02583	San Juan, PR	11/10/2022	08/14/2023	08/18/2023	UBS Financial Services Incorporated	ISC	Michelle M. Rodriguez	5161388	McConnell Valdes LLC	NO	NO	8	G	Michelle M. Rodriguez	N/A	Christopher J. Klein, Esq.	1
22-02597	Los Angeles, CA	11/04/2022	06/14/2023	07/14/2023	AGP / Alliance Global Partners	No-show	Hermant Kathuria	5380092	Kalberer LLP	NO	NO	1	G	Hermant Kathuria	N/A	Constance Ellen Boukidis	1
22-02599	San Juan, PR	11/11/2022	06/21/2023	07/11/2023	UBS Financial Services Incorporated	ISC	Miguel A. Hernandez	815453	McConnell Valdes LLC	NO	NO	5	G	Miguel A. Hernandez	N/A	Martin A. Feigenbaum, Esq.	1

22-02614	San Juan, PR	11/14/2022	06/22/2023	07/03/2023	UBS Financial Services Incorporated	ISC	Rocio Del Pilar Rivera	3083300	McConnell Valdes LLC	NO	NO	1	G	Rocio Del Pilar Rivera	N/A	Martin A. Feigenbaum, Esq.	1
22-02626	Houston, TX	11/16/2022	06/13/2023	06/14/2023	BBVA Compass Investment Solutions Incorporated	Batch & Bingham	Benton Curtis Lucy	2774409	AdvisorLaw LLC	NO	NO	1	G	Benton Curtis Lucy	N/A	Lynne M. Gomez, Esq.	1
22-02627	Omaha, NE	11/15/2022	08/01/2023	08/07/2023	Cetera Advisors LLC	ISC	Kirby Spencer McDonald	1622995	Winget Spadafora & Schwartzberg	OB	NO	1	G	Kirby Spencer McDonald	N/A	Charles G. Michaels, Esq.	1
22-02637	San Juan, PR	11/16/2022	07/18/2023	07/26/2023	UBS Financial Services Incorporated	ISC	Carlos Arturo Pou	2096091	McConnell Valdes LLC	NO	NO	1	G	Carlos Arturo Pou	N/A	Stuart K. Furman	1
22-02657	Nashville, TN	11/18/2022	06/05/2023	06/29/2023	Securian Financial Services Incorporated	No-show	Justin Allan Goodbread	4746495	AdvisorLaw LLC	NO	NO	4	G	Justin Allan Goodbread	N/A	John Winslow Griesser	1
22-02659	Chicago, IL	11/20/2022	06/01/2023	06/13/2023	Continental Broker-Dealer Corporation	No-show	Chenguttuvan Surendran	3236945	Galvin Legal PLLC	NO	NO	2	G	Chenguttuvan Surendran	N/A	Susanne J. Hollander, Esq. - Chair; Jean Jacques Kande; James Hofheimer	1
22-02662	San Juan, PR	11/21/2022	06/08/2023	06/23/2023	UBS Financial Services Incorporated	ISC	James Malcom Ugobono	4032530	McConnell Valdes LLC	NO	NO	3	G	James Malcom Ugobono	N/A	Stuart K. Furman	1
22-02663	Atlanta, GA	11/21/2022	07/11/2023	07/24/2023	Wells Fargo Clearing Services LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	ISC (WFCS); Bressler Amery & Ross (MLPFS)	Danny Zuhair Kamal	3197594	AdvisorLaw LLC	NO	NO	3	G	Danny Zuhair Kamal	N/A	Larry Mims	1
22-02675	New York, NY	11/21/2022	05/10/2023	05/31/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kristina Kimi Vikis	5912743	Galvin Legal PLLC	NO	NO	1	G	Kristina Kimi Vikis	N/A	Brian John Gallagher	1

22-02695	Salt Lake City, UT	11/26/2022	06/07/2023	06/09/2023	Lincoln Financial Advisors Corporation ; Royal Alliance Associates Incorporated	ISC	Samuel Cabot Clark	2205783	Louviere Law Firm PA	NO	NO	5	G/W	Samuel Cabot Clark	N/A	Richard J. Lawrence, Esq.	1
22-02741	Charlotte, NC	12/01/2022	08/03/2023	08/24/2023	Concourse Financial Group Securities Incorporated	Maynard Cooper & Gale	Eric John Dade	4661434	AdvisorLaw LLC	NO	NO	3	G	Eric John Dade	N/A	James Michael Belk	1
22-02748	Chicago, IL	12/01/2022	08/02/2023	08/23/2023	UBS Financial Services Incorporated	John Murphy & Associates	Frederick Maximilian Kort	5376727	AdvisorLaw LLC	NO	NO	4	G	Frederick Maximilian Kort	N/A	Mark L. Miller, Esq.	1
22-02754	Jersey City, NJ	12/02/2022	08/02/2023	08/15/2023	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); Freniere Law Group PLLC (CSM)	James Brian Moran	1180416	AdvisorLaw LLC	OB/NO	NO	5	G	James Brian Moran	N/A	Veronica Ann Williams	2
22-02755	Boca Raton, FL	12/02/2022	06/21/2023	07/10/2023	NewBridge Securities Corporation	ISC	Thomas Joseph Casolaro	1812805	Kaufman Dolowich & Voluck LLP	UN	NO	4	D	N/A	Thomas Joseph Casolaro	Robert G. Falbisaner	1
22-02764	Jackson, MS	12/02/2022	06/01/2023	06/12/2023	First Allied Securities Incorporated	ISC	Alan Eric Kent	2300301	AdvisorLaw LLC	NO	NO	1	G	Alan Eric Kent	N/A	Michael J. Ahlstrom, Esq.	1
22-02766	Dallas, TX	12/02/2022	06/12/2023	06/23/2023	WFG Investments Incorporated; Capital Investment Group Incorporated	No-show (WFGI); Lloyd Gray et al. (CIG)	Timothy Joe Hightower	2577634	Farrar Law PLLC	NO/NN	NO	3	G	Timothy Joe Hightower	N/A	Thomas W. Allen	1

22-02799	San Diego, CA	12/08/2022	06/29/2023	07/03/2023	Sutro & Company Incorporated nka RBC Capital Markets LLC; Wachovia Securities LLC nka Wells Fargo Clearing Services LLC	Dorsey & Whitney (S&C); ISC (WS)	Edward Lorne Dawson	1131796	Louviere Law Firm PA	NO/NN	NO	3	G	Edward Lorne Dawson	N/A	Benjamin F. Breslauer	1
22-02831	Boca Raton, FL	12/13/2022	07/18/2023	07/25/2023	Equitable Advisors LLC fka AXA Advisors LLC	Bressler Amery & Ross	Jorge Garrido	3117657	Todd A. Zuckerbrod PA	NO	NO	2	G	Jorge Garrido	N/A	Robert Steven Haight, Esq. - Chair; Gloria O. North, Esq.; Marisol Puga	1
22-02852	Los Angeles, CA	12/15/2022	08/09/2023	08/18/2023	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Stephen George Hekimian	1103923	HLBS Law	NN	NO	1	G	Stephen George Hekimian	N/A	Benjamin F. Breslauer	1
22-02934	New York, NY	12/22/2022	04/19/2023	05/02/2023	Belle Haven Investments Limited Partnership	Pickard Djinis & Pisarri	Joseph Matthew Dalton	1661099	Pickard Djinis & Pisarri	NN	NO	1	G	Joseph Matthew Dalton	N/A	Selma Moy, JD	1
22-02941	Cincinnati, OH	12/22/2022	07/06/2023	07/11/2023	Transamerica Financial Advisors Incorporated	ISC	William Francis Mitchell	1241905	Ulmer & Berne	NO	NO	1	G	William Francis Mitchell	N/A	Robert David Epstein	1
22-02970	Tampa, FL	12/28/2022	07/25/2023	08/16/2023	None.	Customers	William J. Durrant	6986025	Murphy & Anderson	NO	NO	1	G	William J. Durrant	N/A	Thomas J. Patka, Esq. - Chair; Kathy A. Tatone, Esq.; Caroline Josephine Welsh	1
22-02981	Wichita, KS	12/29/2022	07/11/2023	07/20/2023	Wells Fargo Clearing Services LLC	ISC	Donald Lee Barry	1010586	AdvisorLaw LLC	NN	NO	1	G	Donald Lee Barry	N/A	Joseph Neal Richardson	1
22-02982	Dallas, TX	12/29/2022	06/26/2023	06/28/2023	Avantax Investment Services Incorporated	ISC	Stephen Matthew Buchanan	6083735	AdvisorLaw LLC	NO	NO	1	G	Stephen Matthew Buchanan	N/A	David A. Schuler	1
22-02990	Las Vegas, NV	12/29/2022	07/10/2023	07/25/2023	UBS Financial Services Incorporated	John Murphy & Associates	Adam Bingham Udy	3082327	AdvisorLaw LLC	NO	NO	1	G	Adam Bingham Udy	N/A	Walter Steven Schwartz	1

23-00025	Boca Raton, FL	01/11/2023	08/03/2023	08/18/2023	Capital Guardian LLC; First Allied Securities Incorporated	No-show (CG); ISC (FAS)	Robert Weissbein	1089065	Winget Spadafora & Schwartzberg	NO	NO	2	G	Robert Weissbein	N/A	Steven Gerard Goerke, Esq.	1
23-00026	Chicago, IL	01/03/2023	03/09/2023	03/22/2023	UBS Financial Services Incorporated	ISC	John David Jacobs	872707	Bressler Amery & Ross	NO	NO	1	G	John David Jacobs	N/A	Susanne J. Hollander, Esq.	1
23-00057	Nashville, TN	01/06/2023	07/25/2023	08/04/2023	Invest Financial Corporation	Saretsky Hart et al.	Matthew Datis-O'Neal Kennedy	5011536	AdvisorLaw LLC	OB	NO	1	G	Matthew Datis-O'Neal Kennedy	N/A	Michael J. Ahlstrom, Esq.	1
23-00071	New York, NY	01/09/2023	08/15/2023	08/17/2023	Cetera Advisors LLC	ISC	Korsa K. Nzidee	4838402	Herskovits PLLC	NO	NO	1	G	Korsa K. Nzidee	N/A	Richard W. Vallario, Esq.	1
23-00112	New York, NY	01/12/2023	06/20/2023	06/23/2023	American Capital Partners LLC	ISC	Richard F. Reynolds	2162706	Farrar Law PLLC	UN	NO	4	D	N/A	Richard F. Reynolds	David John Reilly	1
23-00126	Indianapolis, IN	01/13/2023	07/19/2023	07/20/2023	Wells Fargo Clearing Services LLC	ISC	Michael William Berger	3000856	AdvisorLaw LLC	NO	NO	1	G	Michael William Berger	N/A	John L. Krauss, Esq.	1
23-00164	New York, NY	01/19/2023	04/04/2023	04/06/2023	Barclays Capital Incorporated	Parker Hudson et al.	Josef Runes Najar	3245720	Kaufmann Gildin & Robbins	NO	NO	1	G	Josef Runes Najar	N/A	Edward W. Morris, Jr., Esq. - Chair; Fred S. Pieroni; Joanne Basso Mack	1
23-00194	Los Angeles, CA	01/23/2023	08/22/2023	08/25/2023	Woodbury Financial Services Incorporated	Winget Spadafora & Schwartzberg	Shelby Joy Rothman	4166632	HLBS Law	NO	NO	2	G	Shelby Joy Rothman	N/A	Erik R. Siering	1
23-00210	New York, NY	01/25/2023	08/15/2023	08/21/2023	Ameriprise Financial Services Incorporated	ISC	Jon Louis Newman	2419509	Shumaker Loop & Kendrick	NO	NO	4	G	Jon Louis Newman	N/A	Richard W. Cutler, Esq. - Chair; Jay Alan Kranis; Lynda Kommel-Browne	1
23-00225	New York, NY	01/26/2023	06/13/2023	06/15/2023	UBS Financial Services Incorporated	John Murphy & Associates	Eric M. Yamin	2441778	Kaufmann Gildin & Robbins	NO	NO	1	G	Eric M. Yamin	N/A	Edward W. Morris, Jr., Esq. - Chair; Gerald M. Levine; Madelyn A. Levy, Esq.	1
23-00237	New York, NY	01/27/2023	08/16/2023	08/18/2023	National Securities Corporation	ISC	Christopher Ortiz	2858626	Carmel Milazzo & Feil LLP	NO	NO	1	G	Christopher Ortiz	N/A	Jeanne M. Keefe, Esq. - Chair; Denise Campbell Sagua, Esq.; Madelyn A. Levy, Esq.	1

23-00247	Dallas, TX	01/30/2023	07/17/2023	07/21/2023	Woodbury Financial Services Incorporated	ISC	Beliveau Bays	U	None	OB	NO	2	D	N/A	Beliveau Bays	Lawrence R. Maxwell, Jr., Esq.	2
23-00248	San Juan, PR	01/31/2023	07/12/2023	07/19/2023	Popular Securities LLC	ISC	Karlamary Aleman Aponte	5204687	Kaufman Dolowich & Voluck LLP	NN	NO	1	G	Karlamary Aleman Aponte	N/A	Barth Satuloff, CPA	1
23-00280	Las Vegas, NV	02/02/2023	04/04/2023	04/11/2023	UBS Financial Services Incorporated	ISC	Jeremy Guy Charles Keller	5584098	Bressler Amery & Ross	NO	NO	1	G	Jeremy Guy Charles Keller	N/A	Mark R. Lee	1
23-00352	Des Moines, IA	02/10/2023	07/18/2023	08/18/2023	Cetera Advisor Networks LLC; VSR Financial Services Incorporated	ISC	Timothy J. Hawkins	U	Rees Kincaid & Stanfield	NO UN	NO	2	D	N/A	Timothy J. Hawkins	Michael William Gear - Chair (Dissents); Mark S. Foster, Esq.; David Evans Rosedahl, Esq.	1
23-00428	Dallas, TX	02/17/2023	07/24/2023	08/04/2023	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	David N. Bower; Russell E. Cooper	1130068; 1268213	Bressler Amery & Ross	NO	NO	2	G	David N. Bower; Russell E. Cooper	N/A	Thomas W. Allen	1
23-00432	New York, NY	02/17/2023	07/26/2023	08/07/2023	Hightower Securities LLC	ISC	Peter Joseph Klein	1523734	Bressler Amery & Ross	OB/NO	NO	1	G	Peter Joseph Klein	N/A	Lynne M. Reid-McQueen, Esq.	1
23-00553	Dallas, TX	03/06/2023	05/05/2023	05/09/2023	UBS Financial Services Incorporated	ISC	Brant Christopher Ferguson	2230893	Bressler Amery & Ross	NO	NO	1	G	Brant Christopher Ferguson	N/A	David A. Schuler	1
23-00565	Boca Raton, FL	03/07/2023	07/19/2023	07/25/2023	UBS Financial Services Incorporated	ISC	Donald J. Dever	5317492	Bressler Amery & Ross	NO	NO	1	G	Donald J. Dever	N/A	Edward R. Niederriter, Esq.	1
23-00568	New York, NY	03/07/2023	03/17/2023	05/19/2023	UBS Financial Services Incorporated	ISC	Nancy Matta	713774	Bressler Amery & Ross	OB	NO	1	G	Nancy Matta	N/A	Madelon M. Rosenfeld, Esq.	1

23-00736	Philadelphia, PA	03/28/2023	08/07/2023	08/10/2023	Cambridge Investment Research Incorporated; Voya Financial Advisors Incorporated (fka Washington Square Securities Incorporated)	ISC (CIR); Winget Spadafora & Schwartzberg (VFA)	Gary C. Sanson	2329819	Bressler Amery & Ross	NO	NO	2	G	Gary C. Sanson	N/A	Louis P. Wagman	1
23-01149	Denver, CO	04/27/2023	08/21/2023	08/25/2023	World Group Securities Incorporated	ISC	Erik Douglas Utzinger	4413113	None	NO	NO	1	G	Erik Douglas Utzinger	N/A	Charles G. Michaels, Esq.	1
23-01165	Milwaukee, WI	04/28/2023	08/22/2023	08/25/2023	Morgan Stanley	ISC	LaShell Louise Lentz	2800734	Bressler Amery & Ross	NO	NO	1	G	LaShell Louise Lentz	N/A	Leon Fox, JD	1
23-01264	New York, NY	05/08/2023	08/28/2023	08/31/2023	UBS Financial Services Incorporated	ISC	William Montgomery Cerf	2269462	Katten Muchin Rosenman LLP	NO	NO	1	G	William Montgomery Cerf	N/A	Michele S. Riley	1
23-01495	Nashville, TN	05/19/2023	07/20/2023	07/24/2023	UBS Financial Services Incorporated	ISC	Benjamin J. Walker	4980276	Bressler Amery & Ross	NO	NO	1	G	Benjamin J. Walker	N/A	Richard S. Zaifert, Esq.	1