

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	BD CRD	Names of BD	Respondents' Attorneys	Claimant	Name of Broker	Broker Home State	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	No. of Complaints	Was Expunge-ment Granted or Denied	Arbitrator Names	Hrg. Sess.
								Brokers CRD									
18-01800	Boston, MA	05/09/2018	12/06/2018	01/02/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	1839595	John William Corbett	MA	AdvisorLaw LLC	NO	NO		G	Richard J. Grahn, Esq.	1
18-00948	Philadelphia, PA	03/09/2018	11/19/2018	01/04/2019	19616	Wells Fargo Clearing Services LLC	ISC	2079771	Stephen Frederick Cordasco	FL	AdvisorLaw LLC	NO	NO		G	Steven T. Stern, Esq.	1
18-00765	Atlanta, GA	02/26/2018	12/18/2018	01/04/2019	149777	Morgan Stanley	ISC	1103799	Mark David Rosenberg	GA	AdvisorLaw LLC	NO	NO		G	Michael J. Ahlstrom, Esq.	1
18-00154	Newark, NJ	01/12/2018	11/27/2018	01/04/2019	2225	SII Investments Incorporated	ISC	2595579	Gregory Jay Chebuske	NJ	AdvisorLaw LLC	NO	NO		G	Louis H. Miron, Esq.	2
18-00889	Baltimore, MD	03/06/2018	12/18/2018	01/07/2019	149777	Morgan Stanley; et al.	ISC	1857066	David Brian Miller	MD	Offit Kurman PA	NO	NO		G	Catherine Esther Bocskor	1
18-02236	Newark, NJ	06/15/2018	11/15/2018	01/07/2019	25766	Hennion & Walsh Incorporated	ISC	2383640	Patrick Timothy Walsh	NJ	Hennion & Walsh Inc.	UK	NO		G	Linda J. Baer, Esq.	1
18-00496	Hartford, CT	02/06/2018	12/11/2018	01/08/2019	4; 31194	AG Edwards & Sons Incorporated; RBC Capital Markets LLC	Bressler Amery & Ross (RBCCM); ISC (AGE&S)	1361975	Stacie Weiner	CT	AdvisorLaw LLC	NO	NO		G/D	Robert B. Titus	1
18-01731	New York, NY	05/03/2018	12/11/2018	01/08/2019	17609	GunnAllen Financial Incorporated	No-show	2414124	Philip William Michals	NY	FA Expungement LLC	NO	NO		G	David John Reilly - Chair; Howard R. Reiss; Alfonso G. Figliolia	1
18-02786	New York, NY	08/08/2018	11/19/2018	01/09/2019	112697	American Portfolios Financial Services	ISC	2112349	David Gary Rey	NY	RJM Counsel PLLC	NO	NO		G	David I. Goldblatt, Esq.	1
18-02462	Boston, MA	07/06/2018	11/14/2018	01/09/2019	6694	Raymond James Financial Services Incorporated	ISC	3073899	Adrienne Elizabeth Rowles	VA	None	NO	NO, UN		D	Paul Peter Nicolai - Chair; Thomas W. Duffey, Esq. (Dissents); Michael Christopher Hildreth	1
18-01931	New York, NY	05/19/2018	11/08/2018	01/10/2019	19616	Wells Fargo Clearing Services LLC	ISC	2550393	David Scott Powers	NY	Jacobson Law PA	NO	NO		G	John D. Nagy	1
18-00615	New York, NY	02/14/2018	12/14/2018	01/11/2019	149777	Morgan Stanley; et al.	ISC	1840349	David Richard Stack	FL	Offit Kurman PA	NO	NO		G	Julian F. Santos, Esq.	1
18-01678	Boca Raton, FL	04/30/2018	12/14/2018	01/11/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1520639	Daryn W. Pingleton	FL	AdvisorLaw LLC	NO	NO		G/D	Herbert Branitsky, Esq.	1
18-00463	Baltimore, MD	02/05/2018	12/03/2018	01/11/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2580076	Kent Vincent Pearce	MD	AdvisorLaw LLC	NO	NO		G	Louis P. Wagman	1
18-00622	New York, NY	02/15/2018	12/03/2018	01/11/2019	39781	Eastbrook Capital Group LLC	No-show	2877415	Thomas Edison Kelly, Jr.	NY	HLBS Law	NO	NO		G/D	William G. Binckes, Esq.	4
18-02825	New York, NY	08/10/2018	01/08/2019	01/11/2019	79	JP Morgan Securities LLC	ISC	4211526	Ling Yung Wu	NY	Satterlee Stephens LLP	NO	UN		D	Lorrie E. Whitfield	1

18-00845	Richmond, VA	03/01/2018	10/26/2018	01/11/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1013490	Heather K. Evans	VA	AdvisorLaw LLC	NO	NO		G	Joseph J. Dougherty, JD	1
18-01738	San Francisco, CA	05/03/2018	11/29/2018	01/14/2019	42803; 40395; 10205	Valic Financial Advisors Incorporated; Brecek & Young Advisors Incorporated; Securities America Incorporated	Freeman Mathis & Gary (SA); McElroy Deutsch et al. (VFA); No-show (B&YA)	2424759	Richard Maxey	CA	AdvisorLaw LLC; HLBS Law	NO	NO		G	Sterling N. Frost	1
18-01773	Los Angeles, CA	05/07/2018	12/19/2018	01/14/2019	30833	Centaurus Financial Incorporated	ISC	4625407	Troy Nicholas Tremblay	TN	Keesal Young & Logan	NO	NO		G	George L. Tindall	1
18-01799	Birmingham, AL	05/09/2018	11/14/2018	01/15/2019	4161	Morgan Keegan & Company LLC	ISC	1463942	Jay Richard Higgenbotham	AL	AdvisorLaw LLC	NO	NO		G	Frances Johnson-Wright, Esq.	2
18-02867	Birmingham, AL	08/14/2018	12/19/2018	01/15/2019	705	Raymond James & Associates Incorporated	ISC	2390388	James C. Salem	AL	Bressler Amery & Ross	NO	NO		G	Earle J. Schwarz, Esq.	1
18-01521	Jacksonville, FL	04/25/2018	12/19/2018	01/15/2019	149777	Morgan Stanley	ISC	2580309	Kirk L. Gravelle	FL	Stein & Stein	NO	NO		G	Richard S. Zaifert, Esq. - Chair; Susan Dawson, Esq.; Ralph Kennedy Frasier, JD	1
18-01777	New York, NY	05/08/2018	01/03/2019	01/16/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	1503921	Steven Patrick Flagg	NY	AdvisorLaw LLC	NO	NO		G	James S. Hazard	1
18-02084	Los Angeles, CA	06/04/2018	01/10/2019	01/17/2019	816	Credit Suisse Securities (USA) LLC	ISC	4545235	Darren Ross Edwards	FL	AdvisorLaw LLC	NO	OB		G	Joyce L. Hurley	1
18-00414	Boca Raton, FL	01/31/2018	01/11/2019	01/18/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4448939	Michael P. Halperin	FL	AdvisorLaw LLC; HLBS Law	NO	NN		G	Bruce K. Isenberg, Esq.	1
18-01481	Chicago, IL	04/23/2018	12/11/2018	01/18/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	421502	David N. Sheppard	FL	AdvisorLaw LLC	NO	NO		G	Thomas F. Mahoney, Esq.	1
18-01989	Boston, MA	05/24/2018	12/05/2018	01/18/2019	19616	Wells Fargo Clearing Services LLC	ISC	1796928	Mark Alexander Soukup	MA	AdvisorLaw LLC	NO	NO		G	Robert J. Ambrogi, Esq.	1
18-02115	Boston, MA	06/06/2018	12/03/2018	01/18/2019	149777	Morgan Stanley Smith Barney LLC	ISC	3157163	Jason Michael Traino	MA	FA Expungement LLC	NO	NO		G	Mary E. Bassett	1
18-02771	Boston, MA	08/03/2018	01/03/2019	01/18/2019	19616	Wells Fargo Clearing Services LLC	ISC	1257098	Eric Henry Burt	MA	Wilchins Cosentino Novins LLP	NO	NO		G	Frank Sanclemente - Chair; Paul Peter Nicolai; Patrick W. McKeon, Esq.	1
17-03424	New York, NY	12/19/2017	12/10/2018	01/18/2019	2525	Deutsche Bank Securities Incorporated	Paduano & Weintraub	3110912	Joseph Mitchell Cothron	NJ	AdvisorLaw LLC	NO	NO		G	William G. Binckes, Esq.	1
18-02409	Newark, NJ	06/29/2018	01/15/2019	01/18/2019	25766	Hennion & Walsh Incorporated	ISC	2048378	William Hennion	NJ	Hennion & Walsh Inc.	NO	NO		G	Joseph H. Cerase, Esq.	1
18-00558	Houston, TX	02/09/2018	11/12/2018	01/18/2019	866	Waddell & Reed	Bryan Cave LLP	1604926	Beth Ann Hearn	TX	AdvisorLaw LLC	NO	NO		G	Sherry R. Wetsch, Esq.	1

18-02309	Chicago, IL	06/20/2018	11/20/2018	01/21/2019	628	Fifth Third Securities Incorporated	Jackson Lewis PC	2598175	Carolyn Song-Pegg	IL	Saretsky Hart et al.	NO	NO		G	Leon Fox, JD	1
18-01672	Syracuse, NY	04/30/2018	11/07/2018	01/22/2019	19616	Wells Fargo Clearing Services LLC	ISC	1438074	Marc Alan Johnson	FL	FA Expungement LLC	NO	NO		D	Ralph L. Halpern, Esq.	1
17-02748	Indianapolis, IN	10/11/2017	10/09/2018	01/22/2019	29604	National Planning Corporation	ISC	1009448	Charles Ceasar Werckenthien	IN	AdvisorLaw LLC	NO	NN		G	Charles Orlove	1
18-02378	Dallas, TX	06/26/2018	01/07/2019	01/23/2019	21986; 29604	United Pacific Securities Incorporated; National Planning Corporation	ISC (NP); No-show (UPS)	1439999	Eric James Schindler	ID	AdvisorLaw LLC	NO	NO		G/D	Mandel E. Himelstein, Esq.	1
18-02621	New Orleans, LA	07/24/2018	01/08/2019	01/23/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2322382	Salvadore J. Miletello IV	LA	AdvisorLaw LLC	NO	NO		G	Barbara L. Edin, Esq.	1
18-02700	Boca Raton, FL	07/30/2018	11/30/2018	01/24/2019	5979	Ameriprise Advisor Services Incorporated	ISC	2610475	Kevin Michael Turnock	MD	AdvisorLaw LLC	NO	NO		G	Carl Shechter, Esq.	1
18-01523	Detroit, MI	04/25/2018	11/27/2018	01/24/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	2703603	Jeffrey Fratarcangeli	MI	Shumaker Loop & Kendrick	NO	NO		G	Stephen D. Kursman, Esq. - Chair; Richard Edward Rassel, III; Patrick A. Guenter	1
18-02710	Oklahoma City, OK	07/31/2018	11/27/2018	01/24/2019	8174	UBS Financial Services Incorporated	ISC	2463376	Donald Ray Jackson	OK	Bressler Amery & Ross	NO	NO		G	C. Sumpter Logan	1
18-02029	Boca Raton, FL	05/29/2018	01/22/2019	01/25/2019	17609	GunnAllen Financial Incorporated	No-show	4114088	Matthew Ian Turner	FL	HLBS Law	NO	NO		G	Kimberly A. Gilmour, Esq.	1
18-02111	Atlanta, GA	06/06/2018	12/17/2018	01/25/2019	14754	QA3 Financial Corporation	No-show	2771876	John Earle Redfearn III	GA	AdvisorLaw LLC	NO	NN		G	Harvey R. Linder, Esq.	1
18-02410	Boston, MA	06/29/2018	01/15/2019	01/25/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2007585	Andrew Hughes Zimmerman	MA	AdvisorLaw LLC	NO	NO		G	Susan E. Maloney, Esq.	1
18-00531	Philadelphia, PA	02/08/2018	01/15/2019	01/25/2019	7471; 126292	Prudential Equity Group LLC; Wells Fargo Securities LLC; et al.	Law Offices of Alan S. Brodherson (PSLLC); ISC (WFSLLC)	2330503	William Christopher Glassman	MD	Offit Kurman PA	NO	NN		G	Laura A. Kaster	1
18-00790	Kansas City, MO	02/26/2018	01/03/2019	01/25/2019	6363	Ameriprise Financial Services Incorporated	ISC	1803012	David Max Garrison	MO	AdvisorLaw LLC	NO	NO, UN		D	Robert L. Chisolm	1
18-02175	Charlotte, NC	06/12/2018	11/28/2018	01/25/2019	32625; 114473	WMA Securities Incorporated; World Group Securities Incorporated	ISC (WGS); No-show (WMAS)	2902873	John Burke Balcerzak	NC	AdvisorLaw LLC	NO	NO		G	Lynne Townsend Albert, Esq.	1
18-00674	New York, NY	02/20/2018	12/19/2018	01/25/2019	7569	National Securities Corporation	ISC	2877415	Thomas Edison Kelly	NY	AdvisorLaw LLC	NO	OB		G/D	Robert E. Anderson, Esq.	1

18-01331	Omaha, NE	04/11/2018	11/27/2018	01/28/2019	23131	Royal Alliance Associates Incorporated	ISC	2263476	Roger Brown Deal	NE	AdvisorLaw LLC	NO	NO		G/D	Philip J. Glick, Esq.	1
18-00766	New York, NY	02/26/2018	12/17/2018	01/28/2019	6363	Ameriprise Financial Services Incorporated	ISC	2463703	Vincent Jerome Camarda	NY	AdvisorLaw LLC	NO	NO		G	Richard W. Cutler, Esq.	1
18-03000	San Juan, PR	08/31/2018	01/24/2019	01/28/2019	13042; 8178	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	3139380	David L. Rojas	PR	Toro Colon Mullet PSC	NO	NO		G	Gerald Silverman, Esq.	1
18-02027	San Francisco, CA	05/29/2018	12/03/2018	01/29/2019	2225	SII Investments Incorporated	Kaufman Dolowich Voluck LLP	2969989	Timothy Charles Sullivan	CA	AdvisorLaw LLC	NO	NO		G	Peter H. Daly	1
18-00962	Cincinnati, OH	03/09/2018	11/26/2018	01/29/2019	2881	Northwestern Mutual Investment Services LLC	ISC	2614967	Kyle Mitchell McLaughlin	OH	AdvisorLaw LLC	OB	OB		D	Jeffrey M. Bain, Esq.	2
18-02614	Washington, DC	07/23/2018	01/15/2019	01/30/2019	20804	United Planners Financial Services of America	ISC	2543651	Lewis Demiles Baker	DC	FA Expungement LLC	NO	NO		G	Barbara Davis Solomon, Esq.	1
18-01186	Kansas City, MO	03/30/2018	11/14/2018	01/30/2019	6413	LPL Financial LLC	ISC	2139602	Donald C. Clark Jr.	KS	AdvisorLaw LLC	NO	NO		G	Philip J. Glick, Esq.	1
18-00022	New York, NY	12/29/2017	11/15/2018	01/30/2019	19616	Wells Fargo Clearing Services LLC	ISC	2226596	Stephen Caruso	MA	Malecki Law	NO	NO		G	Carol Maria Luttati - Chair; Anna Lascar; George Bartos	2
18-02200	Hartford, CT	06/13/2018	01/17/2019	01/30/2019	6363	Ameriprise Financial Services Incorporated	ISC	4514037	Mark Dean Brannigan	MA	AdvisorLaw LLC	NO	NO		G	Robert B. Titus	1
18-02274	Boston, MA	06/19/2018	01/03/2019	01/30/2019	149777	Morgan Stanley Smith Barney LLC	ISC	2007585	Andrew Hughes Zimmerman	MA	AdvisorLaw LLC	NO	NO		G/D	Gerard S. Marsan, Esq.	1
18-02592	New York, NY	07/20/2018	01/10/2019	01/30/2019	249	Oppenheimer & Company Incorporated	ISC	1012943	Ivan Shore	NJ	Satterlee Stephens LLP	NO	NO		G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Mary Ellen Burns, Esq.; Madelyn A. Levy, Esq.	1
18-00069	Philadelphia, PA	01/08/2018	01/03/2019	01/30/2019	10253	Capital Strategies Limited	ISC	264208	Bart Steven Kaplow	PA	AdvisorLaw LLC	NO	NN		G/D	Steven T. Stern, Esq.	1
18-02254	Chicago, IL	06/18/2018	12/27/2018	01/31/2019	29087	World Equity Group Incorporated	ISC	2074968	Richard Steven Babjak Jr.	IL	AdvisorLaw LLC	NO	NO		G	Ray J. Grzebielski, Esq.	1
18-03742	New York, NY	10/30/2018	01/18/2019	01/31/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	2226596	Bradley L. Barber	MA	None	NO	NO		G	Steven C. Kasarda	1
18-01862	San Francisco, CA	05/15/2018	11/28/2018	01/31/2019	816	Credit Suisse Securities (USA) LLC	ISC	4313068	Kai Chen	NY	AdvisorLaw LLC; HLBS Law	NO	NO		G	Mary Margaret Bush, Esq.	1
18-01529	Houston, TX	04/26/2018	12/03/2018	01/31/2019	6627	AXA Advisors LLC	ISC	4425667	John Michael McDonough	TX	AdvisorLaw LLC	NO	OB		G	Mark C. Walter, JD	1

18-02364	New Orleans, LA	06/25/2018	01/10/2019	02/01/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2557839	Mark Crider Callahan	AL	FA Expungement LLC	NO	NO		G	David A. Schuler	1
18-01138	Los Angeles, CA	03/27/2018	01/08/2019	02/04/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	4210987	Antoine Nahib Souma	CA	Tiffany & Bosco	NO	NO		G	Barbara M. Zak, Esq. - Chair; Morris S. Getzels, Esq.; James R. Duncan, Esq.	1
18-01475	Houston, TX	04/20/2018	11/05/2018	02/04/2019	250	Edward Jones	ISC	2391761	Michael Shawn Murphy	TX	AdvisorLaw LLC	NO	OB		G	Sherry R. Wetsch, Esq.	3
18-01333	Los Angeles, CA	04/11/2018	10/29/2018	02/05/2019	133763; 29604	Sagepoint Financial Incorporated; National Planning Corporation	ISC	1934312; 1114419	Jeffrey Robert Lavin; Mark James Sudol	CA; NV	Freeman Mathis & Gary	NO	OB		G	Milton N. Gross	1
18-02451	Salt Lake City, UT	07/05/2018	01/17/2019	02/05/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1439439	Richard Martin Potashner	UT	AdvisorLaw LLC	NO	NO		G	Herbert Liberman	1
18-02665	Boca Raton, FL	07/26/2018	01/09/2019	02/06/2019	7717; 7691	Independent Financial Group LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (IFG)	2571148	James Patrick Shawver	FL	HLBS Law	NO	NO		G/D	Monroe Mitchel	1
18-01131	Miami, FL	03/27/2018	12/05/2018	02/06/2019	8174	UBS Financial Services Incorporated	ISC	1247444	Nelson F. Faro	FL/NC	Bressler Amery & Ross	NO	NO		G	Mark Allen Bilawsky	1
18-03166	Manchester, NH	09/07/2018	01/24/2019	02/07/2019	11025	Wells Fargo Advisors Financial Network	ISC	4886461	Colleen E. Farley	NH	FA Expungement LLC	NO	NO		G	Samuel Harrison Chorches, Esq.	1
18-01090	Chicago, IL	03/22/2018	12/17/2018	02/07/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	837619	Timothy Odonnell Cornell	OH	AdvisorLaw LLC	NO	NO		G	Robert S. Sugarman, Esq.	1
18-02476	Los Angeles, CA	07/09/2018	02/04/2019	02/08/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	4502737	Ryan David Gordon	CA	HLBS Law	NO	NN		G	Robert E. Jenks	1
18-02528	Orlando, FL	07/12/2018	10/24/2018	02/08/2019	149777	Morgan Stanley fka Smith Barney	ISC	1292313	Dale Grubb	FL	Bressler Amery & Ross	NO	NO		D	William E. Schneider	1
18-02579	New York, NY	07/18/2018	01/23/2019	02/08/2019	7569	National Securities Corporation	ISC	1334008	Mark Harry Goldwasser	FL	FA Expungement LLC	NO	NO		G	Clive I. Morricks	1
18-02265	Detroit, MI	06/18/2018	12/05/2018	02/08/2019	19616	Wells Fargo Advisors LLC	Saretsky Hart et al.	4116207	Michael M. Anderson	MI	Joseph H. Spiegel PLLC	NO	NO		G	Jeffrey Mark Bauer, Esq.	1
18-00664	Newark, NJ	02/19/2018	12/11/2018	02/08/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	729537	Robert John Cutrupi	NJ	AdvisorLaw LLC	NO	NO		G	Joan M. Traub, Esq.	2
18-03114	Philadelphia, PA	09/04/2018	02/04/2019	02/08/2019	7870	TD Ameritrade Incorporated	ISC	5854687	Dominic Fredo Galati	NJ	Miles & Stockbridge	NO	NO		G	Carol H. Gold, Esq.	1
18-02538	New York, NY	07/13/2018	12/19/2018	02/08/2019	112697	American Portfolios Financial Services	ISC	1913021	George Gary Elkin	NY	RJM Counsel PLLC	NO	OB		G	Robert E. Anderson, Esq.	1

17-01858	San Francisco, CA	07/13/2017	05/22/2018	02/11/2019	32444	First Allied Securities Incorporated	ISC	2811386	Virgil John Threlkeld	CA	Barr & Young	NO	NN		G	Kevin C. Coleman, JD	1
18-00786	Chicago, IL	02/26/2018	01/28/2019	02/11/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2266509	John Charles Joyce	FL/IL	AdvisorLaw LLC	NO	NO, UN		D	Kenneth N. Adamson, Esq.	1
18-00847	New York, NY	03/01/2018	12/04/2018	02/11/2019	11025	Wells Fargo Advisors Financial Network	ISC	2171602	Frank Albano	FL/NY	AdvisorLaw LLC	NO	NO		G	Ted M. Rosen, Esq.	2
18-00646	New York, NY	02/16/2018	01/14/2019	02/11/2019	39781	Eastbrook Capital Group LLC	ISC	2877415	Thomas Edison Kelly	NY	AdvisorLaw LLC	NO	NO		D	Julian F. Santos, Esq.	1
18-01908	New York, NY	05/17/2018	01/11/2019	02/11/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1503921	Steven Patrick Flagg	NY	AdvisorLaw LLC	NO	NO		G	Robert E. Anderson, Esq.	1
18-00467	Pittsburgh, PA	02/05/2018	02/05/2019	02/11/2019	11173	Nationwide Securities LLC	Bricker & Eckler	5564136	Renick Brown	OH	None	NO	NO		G	James T. Carney - Chair; Mary Kathleen Mackey; N. John Marinack	1
18-00465	Los Angeles, CA	02/05/2018	01/14/2019	02/11/2019	134768	RP Capital LLC	ISC	2973343	Antonio Ramirez	PR	HLBS Law	NO	OB		G	Robert F. Saint-Aubin, Esq.	1
18-01132	Houston, TX	03/27/2018	12/07/2018	02/11/2019	8174	UBS Financial Services Incorporated	ISC	1063554	Robert M. Buchanan	TX	Bressler Amery & Ross	NO	NO		G	Brian James Tagtmeier	1
18-02337	Salt Lake City, UT	06/22/2018	12/14/2018	02/11/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	1568151	James William Phillips	UT	AdvisorLaw LLC	NO	NO		G	Richard D. Fincher, Esq.	1
18-01875	Phoenix, AZ	05/16/2018	12/04/2018	02/12/2019	29604	National Planning Corporation	ISC	1216674	Gary Jesse Deardorff	AZ	FA Expungement LLC	NO	NO		G	Kenneth L. Mann	1
18-02188	Los Angeles, CA	06/12/2018	01/17/2019	02/12/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4249463	Simon Matthew Holford	CA	HLBS Law	NO	NO		G	Michael D. Harrison, Esq.	1
18-01371	Houston, TX	04/13/2018	01/25/2019	02/12/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	3130271	Rafael Locken-Testa	TX	AdvisorLaw LLC	NO	NO, UN		D	Daniel J. Pagnano, Esq.	1
18-01772	Salt Lake City, UT	05/07/2018	12/06/2018	02/12/2019	665	Piper Jaffray & Company	ISC	1568151	James William Phillips	UT	AdvisorLaw LLC	NO	NO		D	Paul H. Lamboley, Esq.	1
18-00094	San Francisco, CA	01/09/2018	02/05/2019	02/13/2019	6220	Hilltop Securities Incorporated	Reif Law Group	1170033	Bradley Todd Glasman	UT	HLBS Law	UK	OB		D	Sterling N. Frost	1
18-00713	Atlanta, GA	02/21/2018	02/05/2019	02/14/2019	630; 7471	CIBC World Markets Corporation; Prudential Equity Group LLC	Law Office of Alan S. Brodherson (PEG); ISC (CIBCWM)	1103799	Mark David Rosenberg	GA	AdvisorLaw LLC	NO	NO		G	Harvey R. Linder, Esq.	1
18-00941	Portland, OR	03/08/2018	02/12/2019	02/14/2019	23131	Royal Alliance Associates Incorporated	ISC	1085633	Roger Harvey Blythe	OR	AdvisorLaw LLC	NO	UN		D	Katherine H. O'Neil, Esq.	1
18-03484	Miami, FL	10/04/2018	02/05/2019	02/15/2019	4161	Morgan Keegan & Company LLC	ISC	5048442	Alejandro Mendieta	FL	Winget Spadafora & Schwartzberg	NO	NO		G	Mark Allen Bilawsky	1

18-01101	San Diego, CA	03/23/2018	01/28/2019	02/19/2019	7461	FSC Securities Corporation	ISC	2143454	Frank Augustine Cuenca	AZ	HLBS Law	NO	NO		G/D	Robert F. Saint-Aubin, Esq.	1
18-01968	Boca Raton, FL	05/23/2018	02/12/2019	02/19/2019	119037	Laidlaw & Company (UK) Limited	ISC	4114088	Matthew Ian Turner	FL	HLBS Law	NO	NO		G	Edward R. Niederriter, Esq.	1
18-02813	Birmingham, AL	08/09/2018	12/18/2018	02/20/2019	705	Raymond James & Associates Incorporated	ISC	1068991	Dean Morgan Paugh	AL	Bressler Amery & Ross	NO	NO		G	Harvey R. Linder, Esq.	1
18-00768	San Francisco, CA	02/26/2018	02/11/2019	02/20/2019	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2277521	Joseph Turner Caselle	CA	HLBS Law	NO	NO		G	Arocles Aguilar	1
18-02904	New York, NY	08/16/2018	02/07/2019	02/21/2019	41357	Avalon Partners Incorporated	No-show	4733217	Jay Shah	NY	FA Expungement LLC	NO	NO		G	Sam Antar, Esq.	1
18-01876	Birmingham, AL	05/18/2018	11/08/2018	02/22/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2505293	Isaac Jekuthial Brown	AL	Baker Donelson et al.	NO	NO		G	Harvey R. Linder, Esq.	1
18-02627	Atlanta, GA	07/24/2018	01/17/2019	02/22/2019	241	Woodbury Financial Services Incorporated	ISC	2070671	Thomas Ardavast Kudarauskas	GA	Winget Spadafora & Schwartzberg	NO	OB		G	Harvey R. Linder, Esq.	1
18-00774	New York, NY	02/26/2018	12/10/2018	02/22/2019	7059; 7471	Citigroup Global Markets Incorporated; Prudential Equity Group LLC	Bressler Amery & Ross (CGM); Nukk-Freeman & Cerra (PEG)	2888758	Kevin George Koch	NY	AdvisorLaw LLC	NO	NO		D	Edward W. Morris, Jr., Esq.	1
18-02712	Phoenix, AZ	07/31/2018	01/28/2019	02/25/2019	6694; 22704	Raymond James Financial Services Incorporated; WFG Investments Incorporated	ISC; No-show (WFGI)	2794706	Bert Allen Cooper	AZ	AdvisorLaw LLC	NO	NO		G	Walter Steven Schwartz	1
18-02633	Birmingham, AL	07/24/2018	01/09/2019	02/25/2019	6413	LPL Financial LLC	ISC	1292313	Dale Grubb	FL	Bressler Amery & Ross	NO	NO		D	J. Maxwell Williams, Esq.	1
18-01671	Philadelphia, PA	04/30/2018	12/04/2018	02/25/2019	18456	SA Stone Wealth Management Incorporated	ISC	3205009	Ian Blane Meierdiercks	PA	AdvisorLaw LLC	NO	NO		G	Carol H. Gold, Esq.	1
18-02932	Milwaukee, WI	08/17/2018	01/28/2019	02/25/2019	61	BC Ziegler & Company	Quarles & Brady	2761566	Andrew Michael Wiziard	WI	AdvisorLaw LLC	NO	NO		G	Leon Fox, JD	1
18-03567	Hartford, CT	10/11/2018	02/12/2019	02/26/2019	13686	HD Vest Investment Services	ISC	2309929	Mark Edwards	CT/FL	AdvisorLaw LLC	NO	NO		G	Samuel Harrison Chorches, Esq.	1
18-03036	Boca Raton, FL	08/27/2018	02/19/2019	02/26/2019	7717; 11217	Independent Financial Group LLC; Quick & Reilly Incorporated	Bressler Amery & Ross (Q&R); ISC (IFG)	2418034	William David Isaacson	FL	HLBS Law	NO	NO		G	Mark Allen Bilawsky	1

18-01553	Philadelphia, PA	04/27/2018	12/13/2018	02/26/2019	22704; 129052; 8174	WFG Investments Incorporated; PNC Investments; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); Seyfarth Shaw LLP (PNCI); ISC (WFGI)	1587808	Irvin William Rosenzweig	PA	Coss & Momjian	NO	NO		G	Carol H. Gold, Esq.	1
18-01130	Houston, TX	03/27/2018	01/09/2019	02/26/2019	8174	UBS Financial Services Incorporated	None	1063554	Robert M. Buchanan	TX	Bressler Amery & Ross	NO	NO		G	Jeffrey R. Jury	1
18-03509	Boca Raton, FL	10/08/2018	02/26/2019	02/27/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2000977	Gregory James O'Hare	FL	Baritz & Colman	NO	NO		G	Carl Shechter, Esq.	1
17-03415	Portland, OR	12/18/2017	02/14/2019	02/27/2019	6363	Ameriprise Financial Services Incorporated	ISC	2740109	Daniel John Ruediger	OR	AdvisorLaw LLC	NO	OB		D	Katherine H. O'Neil, Esq.	1
18-01821	Miami, FL	05/11/2018	01/25/2019	02/28/2019	8174	UBS Financial Services Incorporated	ISC	4229588	Forrest M. Faro	FL	Bressler Amery & Ross	NO	NN		G	Martin A. Feigenbaum, Esq.	1
18-00787	Chicago, IL	02/26/2018	12/11/2018	02/28/2019	2764	Mesirow Financial Incorporated	Kopecky Schumacher Rosenberg PC	733861	Jeffrey Brian Mackevich	IL	AdvisorLaw LLC	OB	NO, UN		D	William M. Koziol, Esq.	1
18-00197	Des Moines, IA	01/17/2018	11/09/2018	02/28/2019	14503	VSR Financial Services Incorporated	ISC	1170033	Bradley Todd Glasman	UT	AdvisorLaw LLC	NO	NN		D	Jonathan B. Gilbert, Esq.	2
18-02514	Phoenix, AZ	07/11/2018	01/15/2019	03/01/2019	30833; 12984; 6413	Centaurus Financial Incorporated; Invest Financial Corporation; LPL Financial LLC	ISC	4047415	Orion Kelly Willis	AZ	AdvisorLaw LLC	NO	OB		G	Walter Steven Schwartz	1
18-02430	Minneapolis, MN	07/02/2018	02/05/2019	03/01/2019	13609	Berthel Fisher & Company Financial Services Incorporated	ISC	2580510	Jonathan Todd Pyne	MN	AdvisorLaw LLC	NO	NO, UN		D	Thomas J. Gmeinder, Esq.	1
18-02605	Portland, OR	07/20/2018	01/31/2019	03/01/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated; et al.	Bressler Amery & Ross	4847628	Steven Carlon Burch Jr.	OR	None	NO	NO		G	Dean J. Dietrich, Esq.	1
18-00821	Chicago, IL	02/28/2018	12/19/2018	03/04/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	1230684	Michael Theodore Lukas	IL	AdvisorLaw LLC	NO	NO		G	Gregory G. Gocek	1
18-00661	New York, NY	02/19/2018	09/20/2018	03/04/2019	25574; 7691	Chase Investment Services Corporation; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (CIS)	1618819	John Douglas Gagliardo	NY	AdvisorLaw LLC	NO	OB		G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1

18-03262	New York, NY	09/18/2018	02/14/2019	03/04/2019	17609	GunnAllen Financial Incorporated	ISC	2448073	Raffaele Gambardella	NY	FA Expungement LLC	NO	NO		G	Gerald M. Levine	1
18-03267	Los Angeles, CA	09/18/2018	02/13/2019	03/04/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5493709	Matthew Martin Howley	TN	Kalberer LLP	NO	NO		G	Kirtley M. Thiesmeyer, Esq.	1
18-02110	Los Angeles, CA	06/06/2018	11/20/2018	03/06/2019	103705	City National Securities Incorporated	Keesal Young & Logan	4787253	Duncan Earl Rolph	CA	AdvisorLaw LLC; HLBS Law	NO	NO		G	Elliott David Finkel, Esq.	1
18-03140	Boca Raton, FL	09/06/2018	03/04/2019	03/06/2019	19616	Wells Fargo Clearing Services LLC	ISC	2278772	Jeffrey Newman	CA	Stein & Stein	NO	NO		G	Paul J. Burkhart - Chair; Mitchell Stephen Feig; Karen Z. Fischer	1
18-03405	Memphis, TN	09/27/2018	02/12/2019	03/06/2019	2543	B. Riley Wealth Management Incorporated	ISC	1934569	Albert May Alexander Jr.	TN	Baker Donelson et al.	NO	NO		G	Langfred W. White, Esq.	1
18-00817	Washington, DC	02/28/2018	11/05/2018	03/06/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1678961	Eric B. Candelori	VA	AdvisorLaw LLC	NO	NO		D	Marni E. Byrum, Esq.	1
17-02461	San Francisco, CA	09/15/2017	09/17/2018	03/08/2019	19616; 7471	Wells Fargo Clearing Services LLC; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (WFCS)	1170033	Bradley Todd Glasman	UT	AdvisorLaw LLC	NO	NO		G/D	Arcoles Aguilar	3
18-02141	Tampa, FL	06/07/2018	11/09/2018	03/11/2019	8158	Robert W. Baird & Company Incorporated	ISC	4418691	Evan Robin Guido	FL	FA Expungement LLC	NO	NO		G	Ian S. Greig	1
18-00381	New York, NY	01/30/2018	01/04/2019	03/12/2019	4095; 14251; 7556	Metropolitan Life Insurance Company; MSI Financial Services Incorporated; Morgan Stanley DW Incorporated	ISC	3121117	James Stephen Martin	CT	AdvisorLaw LLC	NO	NO		G	Ted M. Rosen, Esq.	2
18-01990	Cincinnati, OH	05/24/2018	01/30/2019	03/12/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2368167	Robert Clay Coleman	OH	HLBS Law	NO	NO		G	Richard W. Dissen, Esq.	1
18-01373	Detroit, MI	04/13/2018	01/08/2019	03/13/2019	6363	Ameriprise Financial Services Incorporated	ISC	4417573	Shannan Maureen Denison	MI	HLBS Law	NO	NO		G	John F. Burns, Esq.	1
18-01910	Jacksonville, FL	05/17/2018	02/05/2019	03/14/2019	149777	Morgan Stanley	ISC	1838688	Stephen C. Huggins	FL	Bressler Amery & Ross	NO	NO		G	Muriel Desloovere, Esq.	1
18-02392	Newark, NJ	06/27/2018	02/04/2019	03/14/2019	6627; 4039; 18272	AXA Advisors LLC; The Equitable Life Assurance Society of The United States; Allstate Financial Services LLC	Seyfarth Shaw LLP (AFS); ISC (AXAA & ELASoUS)	2630198	Jeffrey Michael Stillwell	FL/NJ	AdvisorLaw LLC	NO	NO		G	Louis H. Miron, Esq.	1

17-03028	New York, NY	11/12/2017	02/21/2019	03/14/2019	36118	Newedge USA LLC	Schiff Hardin LLP	1840635	Michael Marc Liciardello	PA	None	NO	NO		G	Joseph J. Arata, Esq. - Chair; William G. Binckes, Esq.; Charles L. Henderson, Esq.	1
18-02025	Wilmington, DE	05/29/2018	02/28/2019	03/14/2019	19616	Wells Fargo Clearing Services LLC	ISC	1709647	James Spottwood Gibson	PA	AdvisorLaw LLC	NO	NO		G/D	James W. (Jim) Geiger	1
17-02323	New York, NY	08/29/2017	12/03/2018	03/15/2019	10409	MML Investors Services LLC	Stevens & Lee	1093400	Frank Wong	NJ	Malecki Law	NO	NO		G	Dan Brecher, Esq. - Chair; Simone A. Muscarnera, Esq.; Domitilia M. dos Santos, Esq.	2
18-02958	Newark, NJ	08/21/2018	03/06/2019	03/15/2019	18487	American Portfolios Financial Services Incorporated	ISC	4615119	Chi-Hong Chu	NJ	RJM Counsel PLLC	NO	NO		G	Patrick Richard Westerkamp, Esq.	1
18-00848	New York, NY	03/01/2018	02/07/2019	03/15/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	4502223	Ken Kavanagh	PA	AdvisorLaw LLC	NO	OB		G	Joseph I. Liebman, Esq.	1
18-02677	Hartford, CT	07/30/2018	03/04/2019	03/18/2019	6363	Ameriprise Financial Services Incorporated	ISC	4544987	Lyle Hans-Christian Pennell	CT	FA Expungement LLC	NO	NO		G	Steven R. Rolnick, Esq.	1
18-01303	Atlanta, GA	04/09/2018	02/26/2019	03/19/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	1103799	Mark David Rosenberg	GA	AdvisorLaw LLC	NO	OB		G/D	Harry G. Mason, JD	1
18-02494	Detroit, MI	07/10/2018	02/14/2019	03/19/2019	7556; 149777	Morgan Stanley DW Incorporated; Morgan Stanley	ISC	4423260	Michael Sia Bellware	MI	HLBS Law	NO	NO		G	Lee Hornberger, JD	1
18-02088	Pittsburgh, PA	06/04/2018	01/11/2019	03/19/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	2326145	James Francis Meyers	PA	AdvisorLaw LLC	NO	NO		G	James W. (Jim) Geiger	1
18-01937	Dallas, TX	05/18/2018	02/14/2019	03/20/2019	6220	Hilltop Securities Incorporated	Jackson Walker LLP	2505287	John Christian Coyle	TX	Lewis Brisbois et al.	NO	OB		G	Eric Ross Cromartie	1
18-02686	Los Angeles, CA	07/27/2018	02/11/2019	03/21/2019	8174	UBS Financial Services Incorporated	ISC	1617990	Mark Robert Fasano	CA	Keesal Young & Logan	NO	OB		G	Milton N. Gross	1
18-00719	Los Angeles, CA	02/21/2018	10/15/2018	03/22/2019	7870	TD Ameritrade Incorporated	Keesal Young & Logan	2400211	Peter Edward Cunningham	CA	HLBS Law	NO	NO		G/D	Elliott David Finkel, Esq.	2
18-02162	Boston, MA	06/11/2018	03/04/2019	03/22/2019	4; 19616	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	1282317	Douglas J. John Calnan	MA	AdvisorLaw LLC	NO	NO		G	Gerard S. Marsan, Esq.	1
18-02999	Boca Raton, FL	08/24/2018	03/20/2019	03/26/2019	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	1629722	Mark Richard Maller	FL	Jonathan D. Kaney III, Attorney-at-Law	NO	NO		G	Steven Gerard Goerke, Esq. - Chair; Barry David Thorpe (fka Barry K. Thorpe, Esq.); Howard L. Conklin, Esq.	1
18-02399	Cincinnati, OH	06/28/2018	12/17/2018	03/26/2019	6363	Ameriprise Financial Services Incorporated	ISC	1348494	Jahn Dorab Gazder	OH	Saretsky Hart et al.	NO	NO		G	Michael J. Meeusen, Esq.	1

18-00961	Baltimore, MD	03/09/2018	03/05/2019	03/26/2019	128929	GWN Securities Incorporated	Akerman LLP	4521597	Jerrold Eliason Beck	PA	AdvisorLaw LLC	NO	NO		G	Brenda J. Stovall, Esq.	1
18-01984	Tampa, FL	05/23/2018	02/20/2019	03/27/2019	705	Raymond James & Associates Incorporated	ISC	2212030	Brian William Thomas	FL	HLBS Law	NO	NO		G	Martin M. Van Luven	1
18-02192	Newark, NJ	06/12/2018	12/11/2018	03/27/2019	42194; 7556	Atlantic Group Securities Incorporated; Morgan Stanley DW Incorporated	ISC	1044935	David Philip Netkin	NJ	Louis H. Miron, Attorney-at-Law	NO	NO		G	Abraham Harry Bunis	1
18-03613	San Juan, PR	10/17/2018	03/12/2019	03/27/2019	13042; 8181	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	4728302	Alfonso Luis Boneta	PR	Toro Colon Mullet PSC	NO	NO		G	Louis David Huss	1
18-02423	Los Angeles, CA	07/02/2018	03/07/2019	03/28/2019	29037	Syndicated Capital Incorporated	KPL Law Group	4359951	Albert Alan Aizin	CA	FA Expungement LLC	NO	NO		G	Robert D. Sussin, Esq.	1
18-02776	Indianapolis, IN	08/07/2018	02/12/2019	03/28/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2720135	Michael Adam Fish	IN	AdvisorLaw LLC	NO	NO		G	William M. Getzoff, Esq.	1
18-02754	Nashville, TN	08/03/2018	03/18/2019	03/28/2019	13686	HD Vest Investment Services	ISC	4291069	Mickey Dean Owen, Jr.	KY	AdvisorLaw LLC	NO	OB		G	Michael J. Ahlstrom, Esq.	1
18-02870	Milwaukee, WI	08/14/2018	02/22/2019	03/28/2019	61	BC Ziegler & Company	Quarles & Brady	1161841	Denise Marie Klemens	WI	AdvisorLaw LLC	NO	NO		G	Gregory G. Gocek	1
18-02979	Los Angeles, CA	08/23/2018	02/26/2019	04/02/2019	16164	Transamerica Financial Advisors Incorporated	ISC	1623946	Jeffrey M. Sorensen	CA	HLBS Law	NO	NO		G	Joyce L. Hurley	1
18-03482	Miami, FL	10/04/2018	03/05/2019	04/02/2019	4161	Morgan Keegan & Company	ISC	5048442	Alejandro Mendieta	FL	Winget Spadafora & Schwartzberg	NO	NO		G	Mark C. Perry, Esq.	1
18-03591	Boca Raton, FL	10/15/2018	03/21/2019	04/02/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4412644	Mark Miller	FL	Baritz & Colman	NO	NO		G	Carl Shechter, Esq.	1
18-00699	Orlando, FL	02/20/2018	12/17/2018	04/03/2019	250	Edward Jones	ISC	2478507	Brian John Groh	FL	HLBS Law	NO	OB		G	John P. Cullem, Esq.	1
18-02384	Boca Raton, FL	06/27/2018	03/27/2019	04/03/2019	31194; 8174	RBC Capital Markets LLC; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (RBCCM)	2803156	Dustin Allen Smith	FL	FA Expungement LLC	NO	NO		G	Steven E. Eisenberg, Esq.	1
18-03427	Chicago, IL	09/28/2018	03/05/2019	04/03/2019	29087	World Equity Group Incorporated	ISC	5916158	Dennis Patrick Ryan Jr.	IL	AdvisorLaw LLC	NO	NO		G	Leon Fox, JD	1

18-01094	Washington, DC	03/22/2018	03/12/2019	04/03/2019	10668; 133763	American General Securities Incorporated; Sagepoint Financial Incorporated	ISC (SF); No-show (AGS)	1016334	Veralynn Morris Starostecki	MD	AdvisorLaw LLC	NO	UN		D	Douglas Earl McLaren, Esq.	1
18-03619	New York, NY	10/23/2018	03/22/2019	04/05/2019	31194; 19616	RBC Capital Markets LLC; Wells Fargo Clearing Services LLC fka First Union Securities Incorporated	Dorsey & Whitney (RBCCM); ISC (WFCS)	1094089	Gerald Irwin Maisner	CT	Kalberer LLP	NO	OB		G	Steven C. Kasarda	1
18-02531	Indianapolis, IN	07/12/2018	02/13/2019	04/05/2019	10012; 7471	Wall Street Access; Prudential Equity Group LLC	Law Office of Alan S. Brodherson (PEG); Clayman & Rosenberg (WSA)	1462263	David Lee Garman	IN	AdvisorLaw LLC	NO	NO		G	Larry Carlson, Esq.	1
18-03335	Wichita, KS	09/21/2018	02/27/2019	04/05/2019		Customers only	Customer	2653959	David E. Shoemith	OK	Crowe & Dunlevy	NO	NO		G	Michael William Gear - Chair; Robert J. Gregory; Jonathan H. Larson, Esq.	1
18-03479	Miami, FL	10/04/2018	03/05/2019	04/08/2019	4161	Morgan Keegan & Company	ISC	5048442	Alejandro Mendieta	FL	Winget Spadafora & Schwartzberg	NO	NO		D	Sidney J. Wartel, JD	1
18-03225	New York, NY	09/14/2018	02/13/2019	04/08/2019	79; 19616	JP Morgan Securities LLC; Wells Fargo Clearing Services LLC	Satterlee Stephens LLP (JPMS); ISC (WFCS)	3090594	John Andrew Nelson	NJ	Law Offices of Jordan D. Becker	NO	NO		G	Gerald M. Levine	1
18-02819	Houston, TX	08/09/2018	02/25/2019	04/08/2019	705; 8174	Raymond James & Associates Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (RJ&A)	2174456	Eric A. Dupre	TX	AdvisorLaw LLC	NO	NO		G	Lynne M. Gomez, Esq.	1
18-03049	Los Angeles, CA	08/28/2018	03/01/2019	04/09/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	1323136	Richard Jay Zinman	CA	Law Office of Patrick R. Mahoney	NO	NO		G	Michael D. Harrison, Esq.	1
18-02756	Boston, MA	08/04/2018	02/12/2019	04/10/2019	149777	Morgan Stanley	ISC	3105808	Jonathan Philip Hyett	MA	FA Expungement LLC	NO	NO		G	Steven S. Manos	1
18-02835	Cincinnati, OH	08/10/2018	03/18/2019	04/10/2019	250	Edward Jones	Miller Canfield et al.	4556945	William Milton Lendl	OH	HLBS Law	NO	NO		G	Richard W. Dissen, Esq.	1
18-01790	San Francisco, CA	05/08/2018	02/08/2019	04/11/2019	16361; 19616	Banc of America Investment Services Incorporated; Wells Fargo Investments LLC; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (BAIS); ISC (WFCS, WFI)	2256932	Frank Feipang Auyeung	CA	HLBS Law	NO	NO		G	Daniel M. Yamshon, Esq.	1
18-03736	Los Angeles, CA	10/29/2018	03/19/2019	04/11/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3220507	Ronald Louis Valpey	NH	HLBS Law	NO	NN		G	Mary M. O'Neil	1

18-02219	Newark, NJ	06/14/2018	11/19/2018	04/11/2019	25766	Hennion & Walsh Incorporated	ISC	3093506	Joseph Ismael Rodriguez	NJ	Hennion & Walsh Inc.	NO	NO		G	Linda J. Baer, Esq.	1
18-02775	San Francisco, CA	08/07/2018	01/30/2019	04/11/2019	46000	Eplanning Securities Incorporated	No-show	2812372	Scott Layne Hultsman	WA	Markun Zusman et al.	NO	NO		G	John J. Fitzpatrick, Jr., - Chair; Peter H. Daly; Linda M. McCoy, CPA	1
18-03530	New York, NY	10/09/2018	03/29/2019	04/12/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated; et al.	Bressler Amery & Ross	4248869	Johnson George Andrews	CA	None	NO	NO		G	Roger B. Jacobs - Chair; Harrison Johnson; Robert A. Cohen, Esq.	1
18-02731	New York, NY	08/01/2018	03/27/2019	04/12/2019	15007	Aegis Capital Corporation	Sichenzia Ross Ference LLP	1726306	Adam Kenneth Stern	FL	Kaufman Dolowich & Voluck	NO	NO		G	Amy Jill Baranoff	1
18-00989	San Francisco, CA	03/13/2018	12/11/2018	04/15/2019	40395; 10205	Breck & Young Advisors Incorporated; Securities America Incorporated	Freeman Mathis & Gary (SA); No-show (B&YA)	4523701	Richard Keith Allison	CA	AdvisorLaw LLC; HLBS Law	NO	NO		G	Sterling N. Frost	1
18-03173	Pittsburgh, PA	09/07/2018	03/08/2019	04/15/2019	145	Lincoln Financial Distributors Incorporated	ISC	5442755	Justin M. Bonavitacola	PA	Kaufman Dolowich & Voluck	NO	NO		G	John F. Burns, Esq.	1
18-01254	Dallas, TX	04/05/2018	01/10/2019	04/15/2019	27060	BBVA Securities Incorporated	Balch & Bingham	2344775	Lori Ann Welborn	TX	Schneider Miller Reynolds PC	NO	NO		G	Patricia Beaujean Lehtola, Esq.	1
18-02456	Los Angeles, CA	07/06/2018	01/29/2019	04/16/2019	10377; 40146	Euro Pacific Capital Incorporated; Maxwell Capital Incorporated	ISC	2075525	Matt Ward	CA	Kalberer LLP	NO	NO		G	David J. Anderson	1
18-01742	Miami, FL	05/04/2018	03/06/2019	04/17/2019	149777	Morgan Stanley	ISC	5425441	Eduardo Isaac Brender	FL	Bressler Amery & Ross	NO	NO		G	Mark C. Perry, Esq.	1
18-03001	San Juan, PR	08/24/2018	03/28/2019	04/17/2019	13042; 8179	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	3139380	David L. Rojas	PR	Toro Colon Mullet PSC	NO	OB		G	Seth L. Finkel, Esq.	1
18-01452	Boca Raton, FL	04/20/2018	04/10/2019	04/19/2019	7691; 7556; 7059; 249	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley DW Incorporated; Citigroup Global Markets Incorporated; Oppenheimer & Company Incorporated	Bressler Amery & Ross (CGM, MLPFS); ISC (MSDW, O&C)	1361351	Alfred Bonardi	FL	Sallah Astarita & Cox	NO	OB		G	Elena G. Rodriguez	1
18-03570	Dallas, TX	10/11/2018	03/26/2019	04/22/2019	79	JP Morgan Securities LLC	Satterlee Stephens LLP	5789755	Rhyan Khawar Young	TX	AdvisorLaw LLC	NO	OB		G/D	Jeff Howard Abrams	1

18-03213	San Diego, CA	09/12/2018	03/20/2019	04/23/2019	6413	LPL Financial LLC	ISC	2478721	Nisha Sandeep Varma	CA	HLBS Law	NO	NO		G	Kevin K. Forrester, Esq.	1
18-03012	Detroit, MI	08/26/2018	03/22/2019	04/23/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	4024387	Martin Lee Schroeder	MI	None	NO	NO		G	Michael James Malone - Chair; Jeffrey Mark Bauer, Esq.; Anthony J. Bove, III	1
18-03558	San Juan, PR	10/10/2018	04/10/2019	04/23/2019	13042; 8180	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	5852812	Hermann Josef Hartell	PR	Toro Colon Mullet PSC	NO	NO		G	Martin A. Feigenbaum, Esq.	1
18-02580	Boca Raton, FL	07/25/2018	03/26/2019	04/24/2019	45915; 42046; 10205	Argentus Securities LLC; Kestra Investment Services LLC; Securities America Incorporated	D'Amura & Zaidman (KIS); ISC (SA, AS)	1866525	Marc Layne Lowell	FL	Adam D. Palmer PA	NO	NO		G	Richard J. Kaplan, Esq. - Chair; Jonathan Chane; Susan L. Torbin, MS, CFP	2
18-02752	Tampa, FL	08/02/2018	03/02/2019	04/25/2019	10668	American General Securities Incorporated	ISC	1694920	Byron Andrew Holz	FL	FA Expungement LLC	NO	NO		G	Richard R. Logsdon, Esq.	1
18-03828	St. Louis, MO	11/05/2018	03/19/2019	04/26/2019	15340	Cetera Investment Services LLC	ISC	2574785	Eileen Rose Kanoski	IL	Winget Spadafora & Schwartzberg	NO	NO		G	Joseph R. Soraghan, Esq.	1
18-04271	San Juan, PR	12/17/2018	04/23/2019	05/01/2019	13042; 8182	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	2704854	Thomas Garity	PR	Toro Colon Mullet PSC	NO	NO		G	Martin A. Feigenbaum, Esq.	1
18-03798	Newark, NJ	11/01/2018	04/30/2019	05/02/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	4254835	John Lahoud	FL	Crowe & Dunlevy	NO	NO		G	Sam Antar, Esq.	1
18-02222	Chicago, IL	06/14/2018	02/14/2019	05/03/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	2287824	James Allen	IL	, Law Offices of J.B. Kons	NO	NO		G	Michael S. Matek, Esq.	2
18-03745	Seattle, WA	10/30/2018	03/11/2019	05/03/2019	39543; 4386	Cambridge Investment Research Incorporated; Mony Securities Corporation	ISC	2764556	Paul K. Doak	WA	The Dale Law Firm PC	NO	OB		G/D	Joseph C. Roberts, Esq.	1
18-03214	San Diego, CA	09/12/2018	04/12/2019	05/06/2019	133763	Sagepoint Financial Incorporated	ISC	1460819	Peter Ivan Michael Shusterman	CA	HLBS Law	NO	NO		G	Kevin K. Forrester, Esq.	1
18-02031	Tampa, FL	05/29/2018	01/24/2019	05/06/2019	25700	Harbor Financial Services LLC	ISC	2212030	Brian William Thomas	FL	HLBS Law	NO	NO		G	Richard S. Zaifert, Esq.	1
18-03725	Newark, NJ	10/26/2018	03/28/2019	05/08/2019	13572	Cetera Advisor Networks LLC	ISC	3007611	Debra Helen Taylor	CA	Bressler Amery & Ross	NO	OB		D	Morton S. Bunis, Esq.	1

18-03476	Boca Raton, FL	10/03/2018	04/23/2019	05/08/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	5087707	Brett Charles Oley	FL	HLBS Law	NO	NO		G	James W. Geiger, Esq.	1
18-01354	New York, NY	04/12/2018	04/17/2019	05/08/2019	793	Stifel Nicolaus & Company Incorporated	ISC	1619276	David Vincent Reuben	NY	Jardim Meisner & Susser	NO	NO, UN		G/D	Kent L. Benziger, Esq.	1
17-03462	New York, NY	12/22/2017	04/15/2019	05/13/2019	10205; 30349	Securities America Incorporated; 1st Global Capital Corporation	ISC	2811290	Marc L. Scudillo	FL	AdvisorLaw LLC	NO	OB		G	Howard L. Sobel	4
18-04018	Boca Raton, FL	11/21/2018	05/02/2019	05/13/2019	149777	Morgan Stanley	ISC	3003477	Alyssa Jeanette Rakovich	FL	Jenks & Harvey	NO	NO		G	Gary M. Landau, Esq.	1
18-02902	New York, NY	08/16/2018	03/01/2019	05/13/2019	113525; 7569	EKN Financial Services Incorporated; National Securities Corporation	ISC	2756455	Scott David Shames	NY	FA Expungement LLC	NO	NO		G	Richard Gee	1
18-01545	Houston, TX	05/02/2018	04/02/2019	05/13/2019	8174	UBS Financial Services Incorporated	No-show	4485799; 1338713	John Carolyn; Alfred Gary Kovacs	TX; TX	Bressler Amery & Ross	NO	NO		G	Daniel J. Pagnano, Esq.	1
18-03459	Chicago, IL	10/02/2018	05/07/2019	05/14/2019	19616	Wells Fargo Clearing Services LLC	ISC	4165283	Scott Charles Kurkjian	FL	FA Expungement LLC	NO	NO, UN		D	Jonathan B. Gilbert, Esq.	1
18-03060	Denver, CO	08/29/2018	05/07/2019	05/14/2019	7471	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	706853	James William McLellan	MI	HLBS Law	NO	NN		D	Marilyn R. Lewis, Esq.	1
18-03264	New York, NY	09/18/2018	03/14/2019	05/14/2019	14048; 7570	Continental Broker-Dealer Corporation; National Securities Corporation	ISC	1806486	Michael Fasciglione	NY	FA Expungement LLC	NO	NO		G	Michele S. Riley	2
18-02702	Minneapolis, MN	07/30/2018	02/21/2019	05/15/2019	6363	Ameriprise Financial Services Incorporated	ISC	5415851	Kurt Willard Peterson	MN	AdvisorLaw LLC	NO	NO		G	Gregory G. Gocek	1
18-01877	Cincinnati, OH	05/16/2018	02/12/2019	05/15/2019	79; 7691	JP Morgan Securities LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); Satterlee Stephens LLP (JPMS); ISC (JPMS)	2154822	David Alexander Hertl	OH	Carlile Patchen & Murphy	NO	OB		G/D	Richard W. Dissen, Esq.	2
18-03926	Newark, NJ	11/14/2018	04/30/2019	05/16/2019	31029	Nationwide Planning Associates Incorporated	ISC	2212700	Keith Joseph Steidle	NJ	Stark & Stark	NO	NO		G	Robert E. Anderson, Esq.	1
18-02942	Milwaukee, WI	08/20/2018	03/06/2019	05/16/2019	61	B.C. Ziegler & Company	Quarles & Brady	1563685	William Gerard Morse	WI	AdvisorLaw LLC	NO	NO		G	David J. Hase, Esq.	1
18-02903	New York, NY	08/16/2018	04/17/2019	05/17/2019	7569; 44962	National Securities Corporation; Vfinance Investments Incorporated	ISC	4733217	Jay Shah	NY	FA Expungement LLC	NO	NO		G/D	Julian F. Santos, Esq.	1

18-03909	Dallas, TX	11/12/2018	04/17/2019	05/17/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2195835	Jeff Malcolm Davis	TX	AdvisorLaw LLC	NO	NO		G	C. Sumpter Logan	1
18-03665	Houston, TX	11/19/2018	04/29/2019	05/20/2019	2543	Wunderlich Securities Incorporated	ISC	3068207	Lance Eric Roberts	TX	AdvisorLaw LLC	NO	NO		G	Lynne M. Gomez, Esq.	1
18-02693	New York, NY	07/30/2018	04/05/2019	05/21/2019	7072	Cape Securities Incorporated	ISC	4851744	Jason Andrew Hoffman	NY	FA Expungement LLC	NO	NO		G	Carolyn A. Mann	1
18-02936	New York, NY	08/20/2018	05/06/2019	05/22/2019	15007; 17609; 13685	Aegis Capital Corporation; GunnAllen Financial Incorporated; State Capital Markets Corporation	Kaufman Dolowich Voluck LLP (AC); No-show (GAF, SCM)	1178523	Nick Eugene Son	NY	FA Expungement LLC	NO	NO		G	Arthur Neil Tolciss, Esq.	1
18-03098	Detroit, MI	08/30/2018	04/04/2019	05/23/2019	36527; 36101; 104065	Leonard & Company; Broad Street Securities Incorporated; Newbridge Securities Corporation	Kaufman Dolowich & Voluck (NS); No-show (L, BSS)	706853	James William McLellan	MI	HLBS Law	NO	NO		G	Tracy L. Allen, Esq.	1
18-03457	Newark, NJ	10/02/2018	05/09/2019	05/23/2019	23350; 104065	JW Barclay & Company Incorporated; Newbridge Securities Corporation	Kaufman Dolowich & Voluck (NS); ISC (JWB)	2109210	Gerald Richard Sharpe Jr.	NJ	FA Expungement LLC	NO	NO		D	Julian F. Santos, Esq.	1
18-03932	New York, NY	11/14/2018	05/20/2019	05/23/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	4211906	Prakash Chandru Shahani	NJ	Wolper Law Firm PA	NO	NO		G	Howard L. Sobel	1
18-01433	Houston, TX	04/19/2018	04/02/2019	05/23/2019	8174	UBS Financial Services Incorporated	ISC	1858129	Mark Allen Moore	TX	Bressler Amery & Ross	NO	OB		G	Brian James Tagtmeier	1
18-04050	Las Vegas, NV	11/28/2018	05/02/2019	05/24/2019	6694	Raymond James Financial Services Incorporated	ISC	1023099	Robert Z. Disman	NV	AdvisorLaw LLC	NO	OB		D	Kirtley M. Thiesmeyer, Esq.	1
18-04078	Atlanta, GA	11/29/2018	05/15/2019	05/24/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1371798	Elizabeth Ann Sum-Slaughter	TN	AdvisorLaw LLC	NO	UN		D	Robert L. Lestina, Jr.	1
18-03982	San Francisco, CA	11/20/2018	04/30/2019	05/28/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3154358	Ting Xie O'Connor	CA	HLBS Law	NO	OB		G	Thomas D. Reese, Esq.	1
18-03708	Miami, FL	10/25/2018	05/22/2019	05/28/2019	6363	Ameriprise Financial Services Incorporated	Murphy & Anderson	3184981	Riad Shanawany	FL	HLBS Law	NO	NO		G	Nancy J. Cliff, Esq.	1
18-04410	Philadelphia, PA	12/26/2018	05/15/2019	05/28/2019	20626	TFS Securities Incorporated	ISC	2024490	Theodore Joseph Durante	NJ	AdvisorLaw LLC	NO	NO		G	Guillermo L. Bosch, Esq.	1

18-03156	Seattle, WA	09/06/2018	05/01/2019	05/29/2019	6391	Pacific West Securities Incorporated	No-show	2176816	Erinn June Ford	WA	Markun Zusman et al.	NO	NO, NN		G	Katherine Hendricks, Esq. - Chair; William J. Bender, Esq.; Jeanne C. Stilwell	1
18-03265	New York, NY	09/18/2018	05/01/2019	05/30/2019	79; 149777	JP Morgan Securities LLC; Morgan Stanley	Satterlee Stephens LLP (JPMS); ISC (MSSB)	1434325	Ronald Stillman Cole	NH	Weltz Law PC	NO	NO		G/D	Jill Pilgrim, Esq.	2
18-03406	San Diego, CA	09/27/2018	04/04/2019	05/31/2019	30833	Centaurus Financial Incorporated	ISC	1230622	Michael Raymond Frager	CA	R.Craig Zafis APC	NO	NO		G	Mitchell Lee Lathrop	1
18-03682	Los Angeles, CA	10/23/2018	05/16/2019	05/31/2019	10205	Securities America Incorporated	Freeman Mathis & Gary	5236788	Brian M. Levy	CA	HLBS Law	NO	NO		G	Robert E. Jenks	1
18-02298	New York, NY	06/20/2018	04/17/2019	05/31/2019	17609; 43177	GunnAllen Financial Incorporated; JP Turner & Company LLC	ISC	2397301	James John Raia	NY	AdvisorLaw LLC	NO	OB		D	Martin A. Edelstein, Esq.	1
18-04016	Pittsburgh, PA	11/23/2018	05/03/2019	05/31/2019	13686	HD Vest Investment Services Incorporated	ISC	4874834	Ivana G. Liberatore	PA	Michael J. Betts LLC	NO	NO		G	Steven T. Stern, Esq.	1
18-03703	New York, NY	10/25/2018	05/14/2019	06/04/2019	12984	Invest Financial Corporation	ISC	6005498	Peter Dizdar	NJ	Imbesi Law PC	NO	NO		G	Paul C. Kurland, Esq.	1
18-03767	Chicago, IL	10/31/2018	05/15/2019	06/05/2019	5167	NYLIFE Securities LLC	Lubarsky Law Firm PLLC	6041003	Jason P. Spears	IL	None	NO	NO, UN		D	Arne R. Rode, Esq.	1
18-03545	Dallas, TX	10/10/2018	04/22/2019	06/05/2019	133763	Sagepoint Financial Incorporated	ISC	2785474	Heath Patrick Abernathy	TX	Jardim Meisner & Susser	NO	NO		G	James W. Kerr, Jr.	1
18-03254	Baltimore, MD	09/17/2018	04/09/2019	06/06/2019	6555; 7059; 149777	Legg Mason Wood Walker Incorporated; Citigroup Global Markets Incorporated; Morgan Stanley	Bressler Amery & Ross (CGM); ISC (MSSB); No show (LMWW)	1550820	Ronald R. Wetzel Jr.	DE/PL/PA	AdvisorLaw LLC	NO	NO		G/D	James W. (Jim) Geiger	2
18-03423	Raleigh, NC	09/28/2018	05/02/2019	06/07/2019	4161	Morgan Keegan & Company LLC	ISC	1780923	Kenneth Vincent Nelson	FL/NC	FA Expungement LLC	NO	NO		G	Richard James Igou	1
18-04052	St. Louis, MO	11/28/2018	04/18/2019	06/10/2019	8174	UBS Financial Services Incorporated	ISC	1251845	Robert Calhoun Curtis	MO	Riker Danzig et al.	NO	NO		G	Joseph R. Soraghan, Esq.	1
17-02679	Houston, TX	10/24/2017	03/14/2019	06/10/2019	43177	JP Turner & Company LLC	ISC	2378300	Michael Laurence DiGaetano	TX	AdvisorLaw LLC	NO	NO		G	Thomas A. Martin, Esq.	1
18-00748	New York, NY	02/23/2018	11/28/2018	06/12/2019	6363	Ameriprise Financial Services Incorporated	ISC	2463703	Vincent Jerome Camarda	NY	AdvisorLaw LLC	NO	NO		D	Keely D. Parr, Esq.	2
18-04299	New York, NY	12/19/2018	04/26/2019	06/12/2019	79	JP Morgan Securities LLC	ISC	4419152	Robert Ray Craig	VT	Becker Glynn et al.	NO	NO		G	Robert E. Anderson, Esq. - Chair; Kimberly C. Lawrence; Bertrand Charles Sellier	1
18-02676	Phoenix, AZ	07/30/2018	04/23/2019	06/13/2019	5393	Charles Schwab & Company Incorporated	ISC	1898299	Nathaniel S. Barnhart	FL	FA Expungement LLC	NO E	NO		G	Larry Edmonson	1

18-03458	Manchester, NH	10/02/2018	05/30/2019	06/13/2019	7059; 11025	Citigroup Global Markets Incorporated; Wells Fargo Advisors Financial Network	Bressler Amery & Ross (CGM); ISC (WFAFN)	1225863	Robert Robbins	NH	FA Expungement LLC	NO	NO		G	Robert S. Hark, Esq.	1
18-03041	Columbia, SC	08/28/2018	05/08/2019	06/13/2019	6694	Raymond James Financial Services Incorporated	ISC	2496116	Joseph David Schofield III	SC	Matasar Jacobs LLC	NO	NO		G	Maurice M. Feller, Esq.	1
18-03439	New York, NY	10/01/2018	05/23/2019	06/14/2019	149777	Morgan Stanley Smith Barney LLC	ISC	4015132	James C. Steele	CT	Law Offices of Kevin T. Hoffman	NO	NO		G	Cynthia A. DiMarco, Esq. - Chair; Brian John Gallagher; Mark J. Russell	1
18-03332	Los Angeles, CA	09/21/2018	06/07/2019	06/17/2019	43177	JP Turner & Company LLC	ISC	2393598	Robert Joseph Binkele	CA	FA Expungement LLC	NO	NO		G	Anthony D. DeToro, Esq.	1
18-02908	Dallas, TX	08/16/2018	04/25/2019	06/17/2019	431	Wachovia Securities Incorporated	ISC	2119935	Marvin Dean Ferguson	TX	FA Expungement LLC	NO	OB		G	Andrea U. Calve, Esq.	1
18-02055	San Francisco, CA	06/01/2018	06/11/2019	06/18/2019		Customers only	Customer	2493724	David James Hollander	CA	Markun Zusman et al.	OB	OB		D	Laurel Littman Gothelf, MPH - Chair; Alden Sharp Adkins; Shahla F. Ali	1
18-02905	Philadelphia, PA	08/16/2018	04/03/2019	06/18/2019	7461	FSC Securities Corporation	ISC	2232383	Alfred Francis Matarazzo Jr.	MT	FA Expungement LLC	NO	NO		G/D	Patrick Richard Westerkamp, Esq.	1
18-03296	Boston, MA	09/19/2018	05/29/2019	06/19/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	2811156	Natasha Helen Lessard	MA	FA Expungement LLC	NO	NO		G	Peter M. Cosel	1
18-03196	Miami, FL	09/10/2018	04/24/2019	06/20/2019	7691; 8175	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross	2729038	Thomas A. Zur	FL	HLBS Law	NO	NO		G	Will Murphy, Esq.	1
18-04260	Detroit, MI	12/17/2018	06/10/2019	06/21/2019	19616	Wells Fargo Clearing Services LLC	ISC	3102001	Lee Walter Miller	MI	Joseph H. Spiegel PLLC	NO	NO		G	Jeffry Mark Bauer, Esq.	1
18-03368	Birmingham, AL	09/25/2018	02/20/2019	06/24/2019	705	Raymond James & Associates Incorporated	ISC	2031149	David Reid Petty	AL	Bressler Amery & Ross	NO	NO		G	Debra Black Leo	2
18-01243	Boca Raton, FL	04/04/2018	05/06/2019	06/24/2019	4	AG Edwards & Sons Incorporated	ISC	2729877	Colleen Regina Schuhmann	FL	Sallah Astarita & Cox	NO	NO		G	Robert G. Geeseman, Esq.	1
18-03709	Newark, NJ	10/25/2018	06/14/2019	06/24/2019	19616	Wells Fargo Advisors LLC	ISC	18900862	Walter Rocco Kukowski	NJ	Sher Tremonte LLP	NO	NO		G	Kenneth J. Horowitz	1
18-04428	New York, NY	12/26/2018	06/12/2019	06/24/2019		Customers only	Customer	2489732	Rocco Gerard Guidici Pietro	NJ	Holcomb & Ward	NO	NO		G	Keely D. Parr, Esq.	1
18-02792	Tampa, FL	08/08/2018	04/29/2019	06/25/2019	18456	SA Stone Wealth Management Incorporated	Maynard Cooper & Gale	2222075	Margaret Rucker Hixon	FL	FA Expungement LLC	NO	NO		G	Nicholas John Taldone, Esq.	1
18-04144	Chicago, IL	12/06/2018	06/11/2019	06/25/2019	4386	MONY Securities Corporation	ISC	42779	Richard Bruno Casolari	IL	FA Expungement LLC	NO	NO, UN		D	Gregory G. Gocek	1

18-03626	Chicago, IL	10/25/2018	06/13/2019	06/26/2019	19616	Wells Fargo Clearing Services LLC	ISC	2188445	Elias Solomon Friedman	IL	Law Offices of Joshua B. Kons	NO	NO		G	Thomas Michael Genovese	1
18-02137	Newark, NJ	06/07/2018	05/29/2019	06/27/2019	10299; 7059; 8209	Cetera Advisors LLC; Citigroup Global Markets Incorporated; Morgan Stanley & Company LLC	Bressler Amery & Ross (CGM); ISC (CA, MS)	2253404	David Wren	NJ	Winget Spadafora & Schwartzberg	NO	NO		G	Joseph H. Cerame, Esq.	1
18-03657	Phoenix, AZ	10/22/2018	05/28/2019	06/28/2019	12984	Invest Financial Corporation	ISC	2768635	Paul Douglas Axberg	AZ	FA Expungement LLC	NO	OB		G	Timothy J. Kroll, MS	1
18-04027	Los Angeles, CA	11/27/2018	06/20/2019	06/28/2019	133763	Sagepoint Financial Incorporated	ISC	4993585	Hatem Ben Dhiab	CA	HLBS Law	NO	OB		D	Rosa Linda Guadarrama	1
18-04320	Hartford, CT	12/20/2018	06/19/2019	06/28/2019	6363	Ameriprise Financial Services Incorporated	ISC	4690640	Matthew Clark Couzens	CT	AdvisorLaw LLC	NO	NO		G	Samuel Harrison Chorches, Esq.	1
18-04356	New York, NY	12/24/2018	06/19/2019	07/01/2019	11217	Quick & Reilly Incorporated	Bressler Amery & Ross	2508134	Jeffrey Frank Damasco	NY	AdvisorLaw LLC	NO	NO		G	Albert Rizzo	1
18-02320	Boise, ID	06/21/2018	03/04/2019	07/02/2019	10740; 14503; 6413	Prospera Financial Services Incorporated; VSR Financial Services Incorporated; LPL Financial LLC	ISC	3107080	Peter Carmine Covino	ID	AdvisorLaw LLC	NO	NO		G/D	Daniel B. MacLeod, Esq.	3
18-04240	Newark, NJ	12/14/2018	06/17/2019	07/03/2019	18555; 23350; 13755	Paragon Capital Markets Incorporated; JW Barclay & Company Incorporated; First Montauk Securities Corporation	ISC	2109210	Gerald Richard Sharpe	NJ	FA Expungement LLC	NO	NO		G	Denise L. Quarles, Esq.	1
18-03152	Seattle, WA	09/06/2018	06/03/2019	07/03/2019	6391	Pacific West Securities Incorporated	No-show	2176816; 3247374	Erinn June Ford; Jeffrey Scott Sims	WA; WA	Markun Zusman et al.	NO	UN		D	Paul R. Meyer, Esq. - Chair; David S. Gonzalez, CPA; Margaret Hotopp	1
18-03154	Seattle, WA	09/06/2018	05/31/2019	07/03/2019	6391	Pacific West Securities Incorporated	No-show	2176816; 3247375	Erinn June Ford; Jeffrey Scott Sims	WA; WA	Markun Zusman et al.	NO	NO		G	Katherine Hendricks, Esq. - Chair; Ian Stephen Birk; Paul A. Maffeo	1
18-03666	San Diego, CA	10/23/2018	06/07/2019	07/05/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4496220	Ken Morris	CA	Law Office of Patrick R. Mahoney	NO	NO		G	Kevin K. Forrester, Esq.	1
18-04105	Chicago, IL	11/30/2018	06/17/2019	07/05/2019	11853	Chicago Investment Group LLC	No-show	1196353	Mary Jo Hayes	IL	Kopecky Schumacher Rosenburg PC	NO	NO		G	Lynn Hirschfeld Brahin, Esq.	1
18-01851	Tampa, FL	05/14/2018	05/13/2019	07/08/2019	8174	UBS Financial Services Incorporated	Proskauer Rose LLP	2535792	James Lebaron Springer	FL	Stein & Stein	OB	OB		G	Richard J. Fuller, CPA - Chair; James Mathieu; Sharon Lee Chernin	4
18-04242	Portland, OR	12/14/2018	06/07/2019	07/08/2019	250	Edward Jones	ISC	5302443	Thomas A. Walker Jr.	OR	Wolper Law Firm PA	NO	NO		G	Philip Aaron Tymon, JD	1

18-02860	Baltimore, MD	08/13/2018	06/27/2019	07/09/2019	7556	Morgan Stanley DW Incorporated	ISC	1960303	Franklyn Edgerton Clarke	MD	Robert Wayne Pearce P.A.	NO	NO		G	Richard E. Lauziere, CPA	1
18-03638	Charlotte, NC	10/19/2018	06/04/2019	07/11/2019	37068; 16668	Corecap Investments Incorporated; Financial West Group	ISC (CI); No-show (FWG)	2344815	Melody Ann Juge	NC	FA Expungement LLC	NO	NO		G	Dwane Edward Vickstrom	1
18-04283	New York, NY	12/18/2018	06/10/2019	07/11/2019	265	Equity Services Incorporated	Winget Spadafora & Schwartzberg	2808252	Mitchell George Rubin	TX	AdvisorLaw LLC	NO	UN		G	Madelon M. Rosenfeld, Esq.	2
18-03468	Boca Raton, FL	10/03/2018	06/07/2019	07/12/2019	149777	Morgan Stanley Smith Barney LLC	ISC	2678703	Luis J. Alayo-Riera	FL	Sallah Astarita & Cox	NO	NO		G	Monica I. Salis, Esq.	1
18-02082	Los Angeles, CA	06/04/2018	11/27/2018	07/15/2019	134768	RP Capital LLC	ISC	3007121	Aaron Douglas Maurer	CA	HLBS Law	NO	OB		G/D	Anita Rae Shapiro, Esq.	2
18-04324	Phoenix, AZ	12/20/2018	07/08/2019	07/16/2019	19616	Wells Fargo Clearing Services LLC	ISC	2009443	Donald Edwin Burton, II	AZ	HLBS Law	NO	NO		G	W. Michael Kelley, Esq.	1
18-02769	Boca Raton, FL	08/06/2018	06/24/2019	07/16/2019	149777; 31194	Morgan Stanley Smith Barney LLC; RBC Capital Markets LLC	Dorsey & Whitney (RBCCM); ISC (MSSB)	2877294	Robert Brian Sklar	FL	FA Expungement LLC	NO	OB		G	Elena G. Rodriguez	1
18-04414	New Orleans, LA	12/26/2018	07/02/2019	07/16/2019	4	AG Edwards & Sons Incorporated	ISC	2030056	Nita R. Pastor	LA	AdvisorLaw LLC	NO	OB		G	Sherry R. Wetsch, Esq.	1
18-04241	Minneapolis, MN	12/14/2018	06/21/2019	07/16/2019	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	1901482	Michael Todd Hogan	MN	Wolper Law Firm P.A.	NO	NO		G	Phyllis Karasov, Esq.	1
18-04388	Dallas, TX	12/28/2018	05/15/2019	07/16/2019	6694	Raymond James Financial Services Incorporated	ISC	41992	Bill Edward Carter	TX	AdvisorLaw LLC	NO	NO		G	Frances Johnson-Wright, Esq.	2
18-04306	Boca Raton, FL	12/19/2018	06/24/2019	07/17/2019	42046; 10205	Kestra Investment Services LLC; Securities America Incorporated	D'Amura & Zaidman (KIS); ISC (SA)	4418699	Richard Patrick Kiesel	FL	Wiand Guerra King P.A.	NO	NO		G	Mark C. Perry, Esq. - Chair; Carl Shechter, Esq.; Steven M. Greenbaum, Esq.	1
18-04370	Atlanta, GA	12/21/2018	07/09/2019	07/18/2019	4161	Morgan Keegan & Company LLC	ISC	1766450	Malon Murray Wickham	GA	AdvisorLaw LLC	NO	NO		G	Michael J. Ahlstrom, Esq.	1
18-04334	Detroit, MI	01/04/2019	06/24/2019	07/18/2019	4	AG Edwards & Sons Incorporated	ISC	4431899	Adam David Schwallier	MI	HLBS Law	NO	NO		G	Tracy L. Allen, Esq.	1
18-03928	Seattle, WA	11/14/2018	05/30/2019	07/19/2019	6391	Pacific West Securities Incorporated	No-show	3247374	Jeffrey Scott Sims	WA	Markun Zusman et al.	NO	UN		D	Paul R. Meyer, Esq.	1
18-04347	New York, NY	12/21/2018	06/20/2019	07/22/2019	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2577213	Edward Thomas Stellingwerf	NJ	AdvisorLaw LLC	NO	NO		G	Richard A. Cini	1
18-04333	Houston, TX	12/20/2018	07/02/2019	07/22/2019	31194	RBC Capital Markets LLC	Dorsey & Whitney	843675	Harvey Hamilton Hardee	TX	AdvisorLaw LLC	NO	NO		G	Lynne M. Gomez, Esq.	1
18-04326	Seattle, WA	12/20/2018	07/15/2019	07/22/2019	149777	Morgan Stanley	ISC	5738505	Denise F. Leong	WA	AdvisorLaw LLC	NO	UN		D	Joseph C. Roberts, Esq.	1

18-02295	Houston, TX	06/20/2018	05/08/2019	07/23/2019	120145	Amegy Investments Incorporated	ISC	2857707	Troy Wayne Taylor	TX	None	NO	OB		D	Allan R. Lazor, Esq.	2
18-04223	Houston, TX	12/10/2018	06/24/2019	07/23/2019	19616	Wells Fargo Clearing Services LLC	ISC	1404904	William Joseph Molfetto	TX	Locke Lord LLP	NO	NO		G	Brian James Tagtmeier - Chair; Deirdre Renee Fuller, Esq. (fka Deirdre Renee Fuller-Gamlin, Esq.); John A. Dewald	1
18-04038	Seattle, WA	11/27/2018	05/24/2019	07/23/2019	10299; 6390	Cetera Advisors LLC; Pacific West Securities Incorporated	ISC (CA); No-show (PWS)	2176816	Erinn June Ford	WA	Markun Zusman et al.	NO	NO		G	David William Hickman, JD	1
18-04371	Atlanta, GA	12/21/2018	06/27/2019	07/24/2019	10205	Securities America Incorporated	ISC	2871310	Rick Lee Kent	GA	AdvisorLaw LLC	NO	NO		G	Harvey R. Linder, Esq.	1
18-04412	Seattle, WA	12/26/2018	06/17/2019	07/24/2019	149777	Morgan Stanley	ISC	1562513	Kathleen M. Hobart	WA/FL	AdvisorLaw LLC	NO	OB		G	Paul R. Meyer, Esq.	1
18-04413	Seattle, WA	12/26/2018	07/08/2019	07/24/2019	705	Raymond James & Associates Incorporated	ISC	1562513	Kathleen M. Hobart	WA/FL	AdvisorLaw LLC	NO	NO		G	William Michael Samsel	1
18-04332	Wichita, KS	12/20/2018	06/19/2019	07/25/2019	13686	HD Vest Investment Services	ISC	4055316	Steven Ray Baumrucker	KS	AdvisorLaw LLC	NO	OB		G	Joseph Neal Richardson	1
18-04365	Los Angeles, CA	12/20/2018	07/24/2019	07/29/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	2525746	Alexsandra Kulmatticki	CA	HLBS Law	NO	NO		D	Robert B. Hansohn	1
18-03643	New Orleans, LA	10/19/2018	07/15/2019	07/29/2019	6363	Ameriprise Financial Services Incorporated	ISC	2145300	Charles Lee Simmons	LA	FA Expungement LLC	NO	OB		G	Christine L. Stetson, Esq.	1
18-04385	Houston, TX	12/20/2018	07/23/2019	07/29/2019	1763	H Beck Incorporated	Cetera Financial Group	1583467	Steven Howard Orr	TX	AdvisorLaw LLC	NO	OB		G	Lynne M. Gomez, Esq.	1
18-03738	San Diego, CA	10/29/2018	07/18/2019	07/30/2019	133763	Sagepoint Financial Incorporated	No-show	1460819	Peter Ivan Michael Shusterman	CA	HLBS Law	NO	NO		G	Mark R. Lee	1
18-03991	Boston, MA	11/20/2018	07/17/2019	07/30/2019	7059; 8174; 6413	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated; LPL Financial LLC	Bressler Amery & Ross (CGM); Riker Danzig et al. (UBSFS); ISC (LPLF)	2931681	Michael Anthony Abramo	MA	Ghabai Law Group LLC	NO	OB		G	Gerard S. Marsan, Esq.	1
18-00325	Los Angeles, CA	01/26/2018	02/14/2019	07/31/2019	23131	Royal Alliance Associates Incorporated	ISC	2607997	Daryl Andrew Cole	CA	HLBS Law	NO	OB		D	Neil S. Jasper	3
18-03864	Boca Raton, FL	11/07/2018	07/24/2019	07/31/2019	6413	LPL Financial LLC	ISC	2291715	Julie Hermes Castillo	FL	None	NO	OB		D	Robert Lawrence Ostrov - Chair; Allen Kilik, Esq.; Tiffany Jeanette Brown	1
18-04425	Newark, NJ	12/26/2018	06/18/2019	08/01/2019	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1786679	Kenneth William Levene	NJ	AdvisorLaw LLC	NO	NO/NN		G	Catherine Stewart, Esq.	1
18-04169	Atlanta, GA	12/10/2018	07/25/2019	08/02/2019	6604	Himco Distribution Services Company	ISC	2482659	Alfred Lee Dingler	GA	FA Expungement LLC	NO	NO		G	Harry G. Mason, JD	1

18-04368	Seattle, WA	12/21/2018	07/23/2019	08/02/2019	149777	Morgan Stanley	ISC	2991061	Timothy Allen Thomas	WA	AdvisorLaw LLC	NO	NO	G	David William Hickman, JD	1
18-02120	Los Angeles, CA	06/06/2018	06/18/2019	08/05/2019	149777	Morgan Stanley	ISC	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison	NO	NO	G	Robert D. Sussin, Esq.	1
18-03422	Los Angeles, CA	09/28/2018	05/23/2019	08/05/2019	20804	United Planners' Financial Services of America	No-show	2747104	Brian Edward Parker	CA	FA Expungement LLC	NO	NO	D	Nancy G. Harris	2
18-03577	Boca Raton, FL	10/12/2018	07/10/2019	08/05/2019	19616	Wells Fargo Clearing Services LLC	ISC	1270399	Robert J. Cannella	FL	Baritz & Colman	NO	NN	G	Robert G. Geeseman, Esq.	1
18-03328	Chicago, IL	09/21/2018	07/22/2019	08/05/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	1556142	Darren Allen Golde	FL/IL	Law Offices of Joshua B. Kons	NO	OB/NO	G	Hon. Michael S. Jordan	1
18-03581	Newark, NJ	10/12/2018	07/09/2019	08/05/2019		Customers only	Customer	5138629	Joseph J. Goscienski	NJ	Murphy & McGonigle	NO	NO	G	Robert E. Anderson, Esq. - Chair; Fred S. Pieroni; Carl Mario Martorano	1
18-04142	Cleveland, OH	12/06/2018	07/23/2019	08/05/2019	15840; 13572; 6363	Walnut Street Securities Incorporated; Cetera Advisor Networks LLC; Ameriprise Financial Services Incorporated	Reminger Co. LPA (WSS, CAN); ISC (AFS)	2659123	Daniel J. Lauletta	OH	Ulmer & Berne	NO	NO	G	Michael L. Fortney, Esq.	1
17-02146	San Francisco, CA	08/10/2017	07/30/2018	08/06/2019		Customers only	Customer	1419048	Richard Anthony McCollam	CA	Thomas Law Group PC	NO	NO	G	Peter H. Daly - Chair; D. Peter Gleichenhaus; Frank R. Weaver, Jr., Esq.	12
19-00091	Minneapolis, MN	01/04/2019	07/30/2019	08/06/2019	6363	Ameriprise Financial Services Incorporated	ISC	2576067	Timothy Robert Jirak	MN	AdvisorLaw LLC	NO	NN	G	Barry Goldman, Esq.	1
18-04318	Philadelphia, PA	12/20/2018	07/12/2019	08/06/2019	5685	Pruco Securities LLC	Law Offices of Alan S. Brodherson	1308134	Mark Steven Kruman	PA	AdvisorLaw LLC	NO	NO	G	John F. Burns, Esq.	1
18-02715	Louisville, KY	07/31/2018	05/16/2019	08/07/2019	6363	Ameriprise Financial Services Incorporated	ISC	2745491	Scott Armstrong Brooks	KY	FA Expungement LLC	NO	NO	G	Mark Alexander Sipper	1
18-03819	Los Angeles, CA	11/12/2018	06/10/2019	08/07/2019	40395; 10206	Brecek & Young Advisors Incorporated; Securities America Incorporated	No-show (B&YA); Freeman Mathis & Gary (SA)	1332233	Thomas J. Goodson	NV	Markun Zusman et al.	NO	NO	G	Robert E. Jenks	1
18-02119	Los Angeles, CA	06/06/2018	11/14/2018	08/08/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	1421651	David Sanford James	ID	HLBS Law	NO	OB/NO	G/D	Joseph C. Watson, Esq.	3
18-04335	Milwaukee, WI	12/20/2018	07/01/2019	08/08/2019	15340; 628	Cetera Investment Services LLC; Fifth Third Securities Incorporated	ISC (CIS); No-show (FTS)	2369550	Mark Vernon Rottler	IL	AdvisorLaw LLC	NO	NO	G	Michael S. Matek, Esq.	1

19-00079	New York, NY	01/04/2019	06/18/2019	08/08/2019	8174;7059	UBS Financial Services Incorporated; Citigroup Global Markets Incorporated	ISC (UBS); Kauff Laton Miller LLP (CGM)	4136827	Robert Joseph Conzo	NY	Bressler Amery & Ross	NO	NO		G	Sandra Gale Behrle, Esq.	1
18-04432	Charlotte, NC	12/26/2018	07/24/2019	08/08/2019	6627	AXA Advisors LLC	ISC	3065692	Christopher Thomas Miller	SC	AdvisorLaw LLC	NO	NO		G	Michael J. Ahlstrom, Esq.	1
18-02528	Orlando, FL	07/12/2018	10/24/2019	08/09/2019	149777	Morgan Stanley	ISC	1292313	Dale Grubb	FL	Bressler Amery & Ross	NO	NO		G	John B. Roe	2
19-00108	Bismarck, ND	01/07/2019	07/30/2019	08/09/2019	6413	LPL Financial LLC	ISC	1708829	Gary Lawrence Wageman	MT	AdvisorLaw LLC	NO	NO		G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
19-00056	Charlotte, NC	01/03/2019	07/16/2019	08/09/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2451051	Andrew Alan Harding	NC	AdvisorLaw LLC	NO	NO		G	Michael J. Ahlstrom, Esq.	1
18-03840	Seattle, WA	11/05/2018	07/11/2019	08/09/2019	8174	UBS Financial Services Incorporated	ISC	4001819; 3186713	Colin J. Hawkes; Stacy Ryan Oster	WA; WA	Keesal Young & Logan	NO	NO		G	Sterling N. Frost	1
18-03915	Los Angeles, CA	11/27/2018	07/11/2019	08/13/2019	13572	Cetera Advisor Networks LLC	ISC	449998	Stuart Shoji Tsujimoto	CA	Ulmer & Berne	NO	NN		G	Alan M. Rosen	1
18-04321	Denver, CO	12/20/2018	07/25/2019	08/13/2019	18487	American Portfolios Financial Services Incorporated	ISC	5725249	Eric Veve	CO	HLBS Law	NO	OB		G	William F. Skewes, Esq.	1
18-04377	Denver, CO	12/25/2018	08/07/2019	08/13/2019	6363	Ameriprise Financial Services Incorporated	ISC	3267795	John Edward Venable	CO	HLBS Law	NO	OB		D	Charles G Michaels, Esq.	1
18-03207	Los Angeles, CA	09/12/2018	07/23/2019	08/14/2019	361	Goldman Sachs & Company LLC	Cohen & Gresser	4262911	Drew Scott Freides	CA	Kalberer LLP	NO	NO		G	Morris S. Getzels, Esq.	1
19-01651	Los Angeles, CA	06/11/2019	07/30/2019	08/14/2019	39543	Cambridge Investment Research Incorporated	ISC	2517540	Bryan Michael Stebel	CA	Freeman Mathis & Gary	NO	NO		G	Mary M. O'Neil	1
18-04349	Newark, NJ	12/21/2018	08/05/2019	08/14/2019	18487	American Portfolios Financial Services Incorporated	ISC	1833480	Anthony DeGregorio	NJ	AdvisorLaw LLC	NO	NO		G	Michael Fischetti, PhD	1
18-04390	Pittsburgh, PA	12/26/2018	07/22/2019	08/14/2019	129052	PNC Investments	Seyfarth Shaw LLP	2439388	Jeffrey Alan Nedley	PA	AdvisorLaw LLC	NO	NO		G	Robert E. Anderson, Esq.	1
18-02144	Los Angeles, CA	06/08/2018	08/06/2019	08/15/2019	8209	Morgan Stanley & Company LLC	ISC	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison	NO	NO		G	Kirtley M. Thiesmeyer, Esq.	1
19-00142	San Francisco, CA	01/09/2019	08/06/2019	08/15/2019	250	Edward D Jones & Company Limited Partnership	ISC	2957934	Sima Alefi	CA	Gonser Law PC	NO	NO		G	Sterling N. Frost	1
19-00002	Newark, NJ	12/30/2018	07/23/2019	08/15/2019	7569	National Securities Corporation	ISC	3240542	Richard Jae Libretti	NJ	FA Expungement LLC	NO	NO		G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1

18-04387	Pittsburgh, PA	12/24/2018	08/01/2019	08/15/2019	149777; 7556	Morgan Stanley; Morgan Stanley DW Incorporated	ISC	4002346	Brian Scott Eagon	PA	AdvisorLaw LLC	NO	NO		G/D	Richard W. Dissen, Esq.	1
19-00384	San Juan, PR	02/01/2019	08/06/2019	08/15/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	3139380	David L. Rojas	PR	Toro Colon et al.	NO	NO		G	Barth Satuloff, CPA	1
18-04436	Chicago, IL	12/27/2018	08/01/2019	08/16/2019	361	Goldman Sachs & Company LLC	Cohen & Gresser	1777313	Stuart Drummond Buck	FL	AdvisorLaw LLC	NO	NO		G	Philip J. Glick, Esq.	1
18-04434	Chicago, IL	12/28/2018	05/14/2019	08/16/2019	8158; 123184; 6363	Robert W Baird & Company Incorporated; Sigma Financial Corporation; Ameriprise Financial Services Incorporated	ISC	4534292	Chad Henry	IL	Holcomb & Ward	NO	OB/NO		G	Steven H. Vogel, Esq.	3
18-04330	Indianapolis, IN	12/20/2018	08/08/2019	08/16/2019	25427	CFD Investments Incorporated	ISC	2340863	Roy Matthew Strong	IN	AdvisorLaw LLC	OB	NN		D	Lynn Hirschfeld Brahin, Esq.	1
18-04076	Newark, NJ	11/30/2018	07/10/2019	08/16/2019	43814	APW Capital Incorporated	ISC	4516413	Alan Louis Augulis	NJ	FA Expungement LLC	NO	NO		D	Denise L. Quarles, Esq.	1
18-04182	New Orleans, LA	12/10/2018	05/21/2019	08/19/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	4268777	Brian Neil Lawrence	LA	Liskow & Lewis	NO	OB/NO		G/D	Mark A. Myers, Esq.	1
18-04409	Philadelphia, PA	12/26/2018	07/22/2019	08/19/2019	680	The Prudential Insurance Company of America	Law Offices of Alan S. Brodherson	2024490	Theodore Joseph Durante Jr.	NJ	AdvisorLaw LLC	NO	NO		G	Diane Ciccone, Esq.	1
19-01211	New York, NY	05/01/2019	08/06/2019	08/19/2019	8174	UBS Financial Services Incorporated	ISC	4175926	Bryan Travis Stephens	NY	Bressler Amery & Ross	NO	NO		G	Howard D. Jacob, Esq.	1
18-03100	Cleveland, OH	09/04/2018	08/08/2019	08/19/2019	20472	TIAA-CREF Individual & Institutional Services LLC	ISC	4406392	Louis B. Dissel	OH	FA Expungement LLC	NO	NO		D	Michael J. Meeusen, Esq.	1
19-00094	Houston, TX	01/06/2019	07/30/2019	08/19/2019	133763	Sagepoint Financial Incorporated	ISC	1500939	Tina Tyann Matthews	TX	FA Expungement LLC	NO	NO		D	James A. Parker	1
19-00342	Dallas, TX	01/29/2019	08/07/2019	08/19/2019	6413	LPL Financial LLC	ISC	4679232	Lee Byron Thomson	TX	AdvisorLaw LLC	NO	NO		G	Patricia Beaujean Lehtola, Esq.	1
19-00589	San Juan, PR	02/25/2019	08/14/2019	08/22/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2926408	Xavier A. Aguayo Diaz	PR	Toro Colon et al.	NO	NO		G	Martin A. Feigenbaum, Esq.	1
19-00256	Des Moines, IA	01/22/2019	08/15/2019	08/23/2019	6694	Raymond James Financial Services Incorporated	ISC	4002778	Chad David Andrews	IA	FA Expungement LLC	NO	UN		D	Barry Goldman, Esq.	1
18-04379	Los Angeles, CA	12/25/2018	08/08/2019	08/26/2019	46000	ePlanning Securities Incorporated	No-show	5043549; 4708877	Alexandro Louis Filippini; laian L. Filippini	CA; CA	HLBS Law	NO	NN		G	Kirtley M. Thiesmeyer, Esq.	1
19-00152	Albany, NY	01/10/2019	07/24/2019	08/26/2019	11025	Wells Fargo Advisors Financial Network	ISC	2767001	David Patrick Keator	MA	Law Office of Peter F. Flynn	NO	OB		G	Martin A. Edelman, Esq.	1

19-00319	Omaha, NE	01/28/2019	08/16/2019	08/26/2019	866	Waddell & Reed Incorporated	Bryan Cave et al.	1681964	Kevin J. Engbers	SD	Wolper Law Firm PA	NO	NO		G	Susan L. Walker, Esq.	1
19-00469	San Juan, PR	02/11/2019	08/13/2019	08/27/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	1813503	Sonia Pou	PR	Toro Colon Mullet PSC	NO	NO		G	Stuart K. Furman	1
19-00023	Milwaukee, WI	12/28/2018	07/31/2019	08/27/2019	6363	Ameriprise Financial Services Incorporated	ISC	2570206	Edward Carlton Fox III	WI	AdvisorLaw LLC	NO	NO		G	Susanne J. Hollander, Esq.	2
18-04375	San Diego, CA	12/25/2018	08/06/2019	08/28/2019	35098	WFP Securities	ISC	2681963	Kenneth A. Corlett	CA	HLBS Law	NO	NO		G	Mark R. Lee	1
18-04446	Atlanta, GA	12/27/2018	08/15/2019	08/28/2019	43100	Questar Capital Corporation	Faegre Baker Daniels LLP	2553332	Kent Alan Balch	GA	AdvisorLaw LLC	NO	NO		G	Michael J. Ahlstrom, Esq.	1
19-00390	Denver, CO	02/01/2019	08/27/2019	08/29/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4155686	Ron Allen Zimmermann	CO	HLBS Law	NO	NO		G	Susan M. Thevenet, Esq.	1
19-00181	Boca Raton, FL	01/14/2019	08/20/2019	08/29/2019	31194	RBC Capital Markets LLC	ISC	2994092	Gary Robert Burwick	FL	Wolper Law Firm PA	NO	NO		G	Mark Allen Bilawsky	1
19-00086	Indianapolis, IN	01/07/2019	07/31/2019	08/29/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	1292315	Gordon Leonard Bryan	IN	AdvisorLaw LLC	NO	NO		G	Tracy L. Allen, Esq.	1
19-00047	San Francisco, CA	01/02/2019	08/15/2019	08/29/2019	6413	LPL Financial LLC	ISC	2487096	Mark Randall Wilburn	NV	HLBS Law	NO	NO		G	Laurel Littman Gothelf, MPH	1
18-04367	Seattle, WA	12/21/2018	08/14/2019	08/29/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	2880318	Aaron Robert Olson	WA	AdvisorLaw LLC	NO	NO		G	Philip Aaron Tymon, JD	1
18-04433	Portland, OR	12/28/2018	08/06/2019	09/03/2019	42132	CUSO Financial Services Limited Partnership	ISC	4719644	Richard Brandon Hall	OR	AdvisorLaw LLC	NO	NO		G	William W. Haskell, Esq.	1
19-00318	Dallas, TX	01/28/2019	08/06/2019	09/03/2019	10409	MML Investors Services LLC	Stevens & Lee	1763581	Wesley Jay Cumbie	TX	Wolper Law Firm PA	NO	NN		G	Maxel B. (Bud) Silverberg	1
18-02837	Orlando, FL	08/13/2018	08/06/2019	09/04/2019		Customers only	Customers	4166643	Robbie L. Kennerson	FL	Holcomb & Ward	OB/NO	OB/NO		G/D	Richard J. Fuller, CPA - Chair; William E. Schneider; Glenn W. Wheelock	1
19-00671	San Juan, PR	03/07/2019	08/20/2019	09/04/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	7324707	Rafael E. Rivera	PR	Toro Colon Mullet PSC	NO	NO		G	Martin A. Feigenbaum, Esq.	1
18-04438	Chicago, IL	12/27/2018	08/27/2019	09/05/2019	361	Goldman Sachs & Company LLC	Cohen & Gresser	2331955	David Rocco Yaccino	IL/FL	AdvisorLaw LLC	NO	UN		D	Walter Patrick Giblin	1
18-04373	New Orleans, LA	12/24/2018	08/22/2019	09/05/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2702870	Amanda Moore Hinton	LA	AdvisorLaw LLC	NO	OB		G	Lynne M. Gomez, Esq.	1
18-02773	San Francisco, CA	08/07/2018	03/04/2019	09/05/2019	46000	ePlanning Securities Incorporated	No-show	2812372	Scott Layne Hultsman	WA	Markun Zusman & Compton	NO	NO/NN		G	Michael Lancaster Garcia - Chair; Jonathan H. Krotinger, Esq.; James R. Dickson	1
19-00381	San Diego, CA	02/01/2019	08/21/2019	09/06/2019	7784	Fidelity Brokerage Services LLC	ISC	2909757	Jeff Jacob Menning	CA	HLBS Law	NO	UN		D	Herbert Liberman	1
18-04054	Boca Raton, FL	11/28/2018	08/21/2019	09/06/2019	6578	IAA Financial LLC	ISC	4227216	Brian Joseph Lombardi	FL	Sallah Astarita & Cox	NO	NO		G	Jason Allen Rosner	1

19-00146	Chicago, IL	01/10/2019	09/04/2019	09/09/2019	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	6187351	Michael Kevin Rhodes	CO	HLBS Law	NO	NO		G	Lynn Hirschfeld Brahin, Esq.	1
19-00125	Omaha, NE	01/09/2019	09/03/2019	09/09/2019	29604	National Planning Corporation	ISC	4384094	Brian D. Luther	NE	Cline Williams et al.	NO	NO		G	Charles G. Michaels, Esq. - Chair; Thomas F. Mahoney, Esq.; Bryan L. Johnson	1
19-00456	New York, NY	02/08/2019	08/27/2019	09/09/2019	7569	National Securities Corporation	ISC	2605232	Glenn Bryan Hechler	NY	Finkelstein & Feil	NO	NO		G	Howard L. Sobel	1
18-04064	Boca Raton, FL	11/28/2018	08/20/2019	09/09/2019	79	JP Morgan Securities LLC	Ulmer & Berne	5597238	Michael Varga	TX	None	NO	NO		G	Nanci Sondra Landy	1
18-04411	Seattle, WA	12/26/2018	08/26/2019	09/09/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	1562513	Kathleen M. Hobart	WA/FL	AdvisorLaw LLC	NO	OB		G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
19-00164	Los Angeles, CA	01/11/2019	08/27/2019	09/10/2019	42132	Cuso Financial Services Limited Partnership	ISC	4488039	Timothy Steele Werdel	CA	Wolper Law Firm PA	NO	NO		G	Neil S. Jasper	1
19-00019	Boca Raton, FL	12/28/2018	09/03/2019	09/10/2019	19616	Wells Fargo Clearing Services LLC	ISC	5025477	Francesco Traina	FL	HLBS Law	NO	NO/NN		G	Carl Shechter, Esq.	1
19-00386	Philadelphia, PA	02/01/2019	09/09/2019	09/10/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2365435	Carl G. Gordinier	PA	AdvisorLaw LLC	NO	NO		G	Steven T. Stern, Esq.	1
18-02745	Los Angeles, CA	08/02/2018	08/22/2019	09/11/2019	8209	Morgan Stanley & Company LLC	ISC	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison	NO	NO		G	Andrew M. Mintzer, CPA	1
18-04359	Los Angeles, CA	01/18/2019	08/07/2019	09/11/2019	35747	Purshe Kaplan Sterling Investments Incorporated	ISC	4091214	Matthew Allen Bradley	CA	HLBS Law	NO	OB		G	Constance Ellen Boukidis	1
19-00160	Boca Raton, FL	01/10/2019	08/27/2019	09/11/2019	6363	Ameriprise Financial Services Incorporated	Murphy & Anderson	3184981	Riad Shanaway	FL	HLBS Law	NO	NO		D	Elena G. Rodriguez	1
19-01059	Newark, NJ	04/17/2019	08/14/2019	09/11/2019	8000	The GMS Group LLC	ISC	4911949	Paul David Mante	FL	Lubiner Schmidt Palumbo LLC	NO	NO		G	Robert E. Anderson, Esq.	1
18-04358	Wilmington, DE	12/24/2018	08/13/2019	09/11/2019	6413	LPL Financial LLC	ISC	2736605	Wayne David Wagner Jr.	NJ	AdvisorLaw LLC	NO	OB/NO		G	Louis H. Miron, Esq.	1
19-00605	Newark, NJ	02/28/2019	08/07/2019	09/11/2019	6694	Raymond James Financial Services Incorporated	ISC	2320178	Nicholas William Sergio	NJ	Ghabai Law Group LLC	NO	NO		G	Robert E. Anderson, Esq.	1
19-00014	San Diego, CA	12/31/2018	08/19/2019	09/12/2019	130702	Caplink Securities Incorporated	ISC	3125998	Derek Clifford Myron	CA	HLBS Law	NO	UN		D	Herbert Liberman	1
18-04383	Baltimore, MD	12/26/2018	06/04/2019	09/12/2019	463	Janney Montgomery Scott LLC	ISC	2253818	Todd E. Mitchell	MD	Donovan & Rainie	NO	NO-D		G	Brenda J. Stovall, Esq.	1
19-00835	Boca Raton, FL	03/28/2019	09/05/2019	09/13/2019	6413	LPL Financial LLC	ISC	2011512	Austin Frye	FL	Ghabai Law Group LLC	NO	NO		G	Mark C. Perry, Esq.	1
18-04071	Baltimore, MD	11/30/2018	08/20/2019	09/13/2019	11025	Wells Fargo Advisors Financial Network	ISC	848350	John Kirkland Moy	MD/FL	Crowe & Dunlevy	NO	NO		G	David L. Ruderman, Esq. - Chair; Marian Smith Glenn; Joan M. Smith, CFP	1

19-00129	Newark, NJ	01/09/2019	08/01/2019	09/13/2019	14979	William Scott & Company LLC	Semper Flight LLC	2024287	Joseph Scott Glodek	NJ	FA Expungement LLC	NO	NO		D	Jay Alan Kranis	1
18-04058	Phoenix, AZ	12/04/2018	08/14/2019	09/16/2019	6413	LPL Financial LLC	ISC	1673541	John Michael Cartolano	AZ	Tiffany & Bosco	NO	NO		G	W. Michael Kelley, Esq. - Chair; Ernst Janensch; Marcia A. Herrmann	1
19-00995	Phoenix, AZ	04/11/2019	09/05/2019	09/16/2019	5685	Pruco Securities LLC	Law Offices of Alan S. Brodherson	2304409	Scott Douglas Genzman	AZ	AdvisorLaw LLC	NO	NO		G	I. Douglas Dunipace, Esq.	1
19-00048	Portland, OR	01/02/2019	08/13/2019	09/16/2019	135288	American Independent Securities Group LLC	Gordon & Rees et al.	4716827	Thomas Wayne Davis Jr.	OR	AdvisorLaw LLC	NO	OB		G	Daniel B. MacLeod, Esq.	1
18-04389	Dallas, TX	12/26/2018	08/09/2019	09/16/2019	149777	Morgan Stanley	ISC	2195835	Jeff Malcolm Davis	TX	AdvisorLaw LLC	NO	NO		G	Maxel B. (Bud) Silverberg, Esq.	1
18-04037	Denver, CO	11/27/2018	07/24/2019	09/16/2019	10299; 6391	Cetera Advisors LLC; Pacific West Securities Incorporated	ISC (CA); No-show (PWS)	2176816	Erinn June Ford	WA	Markun Zusman et al.	NO	NO		G	Donald Neil Tolin	1
19-00940	New York, NY	04/05/2019	09/12/2019	09/17/2019	18487	American Portfolios Financial Services Incorporated	ISC	1878358	Andrew Gerard Corrigan	NY	RJM Counsel PLLC	OB	NN		G	Gerald M. Levine	1
19-00084	San Francisco, CA	01/06/2019	08/22/2019	09/18/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2927205	Nicholas V. Economos	CA	FA Expungement LLC	NO	NO		G	Kenneth Paul Strongman	1
19-00286	Denver, CO	01/23/2019	08/26/2019	09/18/2019	7471	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	1810545	Robert Alan Schwarz	CA	HLBS Law	NO	NO		G	Charles G. Michaels, Esq.	1
18-04417	Detroit, MI	12/26/2018	09/09/2019	09/18/2019	21125	Professional Asset Management Incorporated	No-show	2317906	Mark Gerard Kosanke	MI	HLBS Law	NO	NO		G	Tracy L. Allen, Esq.	1
19-00345	Raleigh, NC	01/29/2019	09/03/2019	09/18/2019	42046; 16164	Kestra Investment Services LLC; Transamerica Financial Advisors Incorporated	D'Amura & Zaidman (KIS); ISC (TFA)	5888654	Stephanie Devan Abee	NC	HLBS Law	NO	OB		G	Kenneth R. Starr, Esq.	1
18-04325	Los Angeles, CA	12/20/2018	08/23/2019	09/19/2019	46000	ePlanning Securities Incorporated	No-show	5043549; 4708877	Alexandro Louis Filippini; laian L. Filippini	CA; CA	Keesal Young & Logan	NO	NO		G	Erik R. Siering	1
19-00117	Manchester, NH	01/09/2019	07/18/2019	09/23/2019	5685	Pruco Securities LLC	Law Offices of Alan S. Brodherson	2759662	Craig Evan Moore	FL	AdvisorLaw LLC	NO	NO		G	Samuel Harrison Chorches, Esq.	1
19-00063	Tampa, FL	01/03/2019	07/09/2019	09/24/2019	1703	Locust Street Securities Incorporated	Winget Spadafora & Schwartzberg	2134532	Nancy Ellen Biddle	FL	HLBS Law	NO	NO		G	Darryl C. Wilson, Esq.	2
19-00378	San Juan, PR	01/31/2019	09/10/2019	09/24/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	3139380	David L. Rojas	PR	Toro Colon Mullet PSC	NO	NO		G	Elena G. Rodriguez	1
19-00452	St. Louis, MO	02/11/2019	09/12/2019	09/26/2019	6413	LPL Financial LLC	ISC	2948538	Mark H. Schlipman	IL	Wolper Law Firm PA	NO	NO		G	Robert J. Scafuri, Esq.	1
18-04392	Cleveland, OH	02/07/2019	09/10/2019	09/26/2019	8158	Robert W. Baird & Company Incorporated	ISC	2008174	Bryan Arthur Weber	OH	HLBS Law	NO	UN		D	Barry Goldman, Esq.	1

18-01739	Los Angeles, CA	05/03/2018	05/22/2019	09/27/2019	30833; 7471; 2882	Centaurus Financial Incorporated; Prudential Equity Group LLC; Voya Financial Advisors Incorporated	ISC (CF); Law Offices of Alan S. Brodherson (PEG); Winget Spadafora & Schwartzberg (VFA)	1201542	Timothy Neil Tremblay	CA	The Law Offices of Tyson W. Kovash	NO	OB/NO		G/W	Robert E. Jenks	1
19-00107	New Orleans, LA	01/07/2019	08/14/2019	09/27/2019	16164	Transamerica Financial Advisors Incorporated	ISC	1939355	Gilberto Briseno	LA	AdvisorLaw LLC	NO	NO		G	Mark C. Watler, JD	1
19-00216	San Francisco, CA	01/16/2019	09/18/2019	09/30/2019	5167	NyLife Securities LLC	Morgan Lewis & Bockius	4412927	Clayton Kwok Shum	CA	HLBS Law	NO	NO		G	Laurel Littman Gothelf, MPH	1
19-00900	Newark, NJ	04/02/2019	08/15/2019	09/30/2019	25766	Hennion & Walsh Incorporated	ISC	1919574	Stephen George Kowalski	NJ	ISC	NO	OB/NO		G/D	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
18-04120	Dallas, TX	12/04/2018	08/12/2019	09/30/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	2195835	Jeff Malcolm Davis	TX	AdvisorLaw LLC	NO	OB/NO		G	David A. Schuler	2
18-04431	Richmond, VA	12/26/2018	08/27/2019	09/30/2019	17499	SunTrust Investment Services Incorporated	Gray Robinson PA	4577955	Jaret Clinton Mutter	VA	AdvisorLaw LLC	NO	NO/NN		G/D	Edward Blumstein, Esq.	1
19-00986	Phoenix, AZ	04/10/2019	09/17/2019	09/30/2019	241	Woodbury Financial Services Incorporated	ISC	4709671	William Ryan Zenk	WI	FA Expungement LLC	NO	NO		G	Richard D. Fincher, Esq.	1
19-00749	San Juan, PR	03/18/2019	09/17/2019	10/01/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2096091	Carlos Arturo Pou	FL	Toro Colon Mullet PSC	NO	NO		G	Martin A. Feigenbaum, Esq.	1
19-01060	Newark, NJ	04/17/2019	08/07/2019	10/01/2019	8000	The GMS Group LLC	ISC	4911949	Paul David Mante	FL	Lubiner Schmidt Palumbo LLC	NO	NO		D	Louis H. Miron, Esq.	1
19-00451	Des Moines, IA	02/11/2019	09/17/2019	10/01/2019	8158	Robert W. Baird & Company Incorporated	ISC	2921328	Russell Gerard Nieland	IA	Wolper Law Firm PA	NO	NO		G	Thomas F. Mahoney, Esq.	1
19-00473	Columbia, SC	02/12/2019	09/16/2019	10/01/2019	7461	FSC Securities Corporation	ISC	1406908	Eric Lloyd Vogen	NC	AdvisorLaw LLC	NO	OB		G	Michael J. Ahlstrom, Esq.	1
19-00324	Boca Raton, FL	01/25/2019	09/26/2019	10/02/2019	3870; 6413	Lincoln Financial Securities Corporation; LPL Financial LLC	ISC	3192244	Christopher G. Nichols	FL	Wolper Law Firm PA	NO	OB/NO		G	Carl Shechter, Esq.	1
19-00679	Tampa, FL	03/11/2019	09/17/2019	10/02/2019	3870	Lincoln Financial Securities Corporation	ISC	5359958	Marie King Colbert	FL	Saretsky Hart et al.	NO	NO		G	Gayle B. Carlson, Esq.	1
19-00454	Baltimore, MD	02/11/2019	09/05/2019	10/02/2019	4031	Hornor Townsend & Kent Incorporated	Leake & Andersson	1620796	Mark J. Ring	MD	Wolper Law Firm PA	NO	NO		G	Brenda J. Stovall, Esq.	1
19-00205	Cleveland, OH	01/16/2019	09/12/2019	10/02/2019	8032	Commonwealth Financial Network	No-show	4201744	Matthew William Campbell	OH	FA Expungement LLC	NO	OB		G	Gerald W. Hepp	1

19-01215	San Juan, PR	05/01/2019	09/19/2019	10/02/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2784555	Francisco Landivar	PR	Toro Colon Mullet PSC	NO	NO	G	Gerald Silverman, Esq.	1
18-04185	Denver, CO	12/10/2018	08/13/2019	10/03/2019	5685	Pruco Securities LLC	Law Offices of Alan S. Brodherson	1058978	James Michael O'Leary	CO	Jeffrey S. Greenhaus PA	NO	NO	G	Charles G. Michaels, Esq.	1
18-04418	Chicago, IL	12/26/2018	07/25/2019	10/03/2019	4039	The Equitable Life Assurance Society of the United States	ISC	1908557	Marc Jacob Jacobson	IL	AdvisorLaw LLC	NO	NO	G	Lynn Hirschfeld Brahlin, Esq.	2
19-00938	Indianapolis, IN	05/01/2019	09/11/2019	10/03/2019	103857	USA Financial Securities Corporation	ISC	1649604	Bradley S. Ford	IN	Barnes & Thornburg	NO	OB	G	Robert David Epstein	1
19-00272	New Orleans, LA	01/22/2019	09/03/2019	10/03/2019	149777	Morgan Stanley	ISC	4739000	Lee Siegal Henderson	LA	FA Expungement LLC	NO	NO	G	Simeon B. Reimoneng, Jr., Esq.	1
19-00413	San Diego, CA	02/05/2019	09/06/2019	10/04/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2294966	Robert Eric Rose	CA	HLBS Law	NO	NO	G	Herbert Liberman	1
18-03995	New York, NY	11/20/2018	08/27/2019	10/04/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2477579; 4675325	Craig Kinard; Guido Graff	CO; NJ	Morgan Lewis & Bockius	NO	NO	G	Keely D. Parr, Esq.	2
18-04419	Chicago, IL	12/26/2018	09/10/2019	10/04/2019	6627; 5685	AXA Advisors LLC; Pruco Securities LLC	ISC (AXA); Law Offices of Alan S. Brodherson (PS)	1908557	Marc Jacob Jacobson	IL	AdvisorLaw LLC	NO	NO/NN	G/D	Kenneth N. Adamson, Esq.	1
18-03772	Newark, NJ	10/31/2018	09/25/2019	10/04/2019	12984	Invest Financial Corporation	ISC	6005498	Peter Dizdar	NJ	Imbesi Law PC	NO	NO	G	Joseph H. Cerame, Esq.	1
18-04407	Syracuse, NY	12/26/2018	08/20/2019	10/07/2019	4	AG Edwards & Sons Incorporated	ISC	2864659	Clive Grady Buchan	FL	AdvisorLaw LLC	NO	NO	G	Stuart M. Schwartz, Esq.	1
19-00296	Oklahoma City, OK	01/24/2019	09/25/2019	10/07/2019	6413	LPL Financial LLC	ISC	1786717	Charles Donald Smith Jr.	TX	AdvisorLaw LLC	NO	NO	G	C. Sumpter Logan	1
18-03081	Los Angeles, CA	08/30/2018	08/15/2019	10/08/2019	8209	Morgan Stanley & Company Incorporated	ISC	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison	NO	NO	G	Anita Rae Shapiro, Esq.	1
19-00015	Los Angeles, CA	12/31/2018	09/30/2019	10/08/2019	7059; 8209	Citigroup Global Markets Incorporated; Morgan Stanley & Company LLC	Kauff Laton Miller LLP (CGM); ISC (MS)	1979568	Lisa Ann Detanna	CA	RMO LLP	NO	NO	G/W	Robert D. Sussin, Esq.	1
19-01194	San Juan, PR	04/29/2019	09/24/2019	10/08/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	4728302	Alfonso Boneta	PR	Toro Colon Mullet PSC	NO	NO	G	Martin A. Feigenbaum, Esq.	1
19-00294	Dallas, TX	01/24/2019	09/18/2019	10/08/2019	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	1786717	Charles Donald Smith Jr.	TX	AdvisorLaw LLC	NO	NO	G	Andrea U. Calve, Esq.	1
19-00627	New York, NY	03/01/2019	08/13/2019	10/09/2019	705	Raymond James & Associates Incorporated	ISC	4156676	Alan Robert Rosenberg	NY	Morrit Hock & Hamroff	NO	OB/NO	G	Susan A. Romano - Chair; Susan C. Lushing, Esq.; Michael I. Stolar	1
19-00011	San Francisco, CA	12/31/2018	07/11/2019	10/10/2019	10205	Securities America Incorporated	Freeman Mathis & Gary	2844791	Garret Ray Morgan	CA	RMO LP	NO	NO	G	Mary Margaret Bush, Esq.	2

19-00515	Los Angeles, CA	02/18/2019	09/10/2019	10/10/2019	13572	Cetera Advisor Networks LLC	ISC	1279547	Steven Craig Henningson	CA	Wolper Law Firm PA	NO	NO	G	George L. Tindall	1
18-03660	Los Angeles, CA	10/22/2018	09/24/2019	10/11/2019	8209; 8175	Morgan Stanley & Company LLC; UBS Financial Services Incorporated	Keesal Young & Logan	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison	NO	NO	G	Natalie Panossian-Bassler	1
18-04376	San Francisco, CA	12/25/2018	09/10/2019	10/11/2019	6413	LPL Financial LLC	ISC	1520828	Mark Clifford Richmond	CA	HLBS Law	NO	NN	G	Michael Lancaster Garcia	1
19-00518	Los Angeles, CA	02/18/2019	09/24/2019	10/11/2019	265	Equity Services Incorporated	Winget Spadafora & Schwartzberg	3008965	Gal Sherman	CA	Wolper Law Firm PA	NO	NO/NN	G	George L. Tindall	1
19-00288	Orlando, FL	01/24/2019	09/03/2019	10/11/2019	7556	Morgan Stanley DW Incorporated	ISC	1037990	Donald Anthony Wojnowski	FL	HLBS Law	NO	NO/NN	G	Stuart K. Furman	1
19-00678	New York, NY	03/10/2019	09/18/2019	10/11/2019	17609; 15667; 21846; 266	GunnAllen Financial Incorporated; First Midwest Securities Incorporated; First Cambridge Securities Corporation; Investec Ernst & Company	No-show (GAF, FMS & FCS); Herrick Feinstein LLP (IE)	2197242	Michael Raymond Gimeli	NY	Weltz Law PC	NO	OB/NO	G/D	Cheryl H. Agris, PhD	1
19-00148	Boca Raton, FL	01/09/2019	10/02/2019	10/14/2019	249	Oppenheimer & Company Incorporated	ISC	1134795	William Earl Elmore Jr.	FL	HLBS Law	NO	NO	G	Edward R. Niederriter, Esq.	1
19-00158	New Orleans, LA	01/10/2019	09/18/2019	10/15/2019	250	Edward D Jones & Company Limited Partnership	Kuchler Polk Weiner LLC	4534199	Aaron Michael Ogea	LA	AdvisorLaw LLC	NO	OB	D	Mark C. Watler, JD	1
19-00881	Oklahoma City, OK	04/01/2019	08/20/2019	10/15/2019	6694	Raymond James Financial Services Incorporated	ISC	4084998	Jeremy Dean Lott	OK	FA Expungement LLC	NO	NO	G	Daniel J. Pagnano, Esq.	2
19-00849	San Juan, PR	03/28/2019	10/02/2019	10/15/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2444524	Casto Miguel Coll Del Rio	PR	Toro Colon Mullet PSC	NO	NO	G	Christopher J. Klein, Esq.	1
19-00479	Boca Raton, FL	02/12/2019	10/11/2019	10/16/2019	8174	UBS Financial Services Incorporated	ISC	1112972	Stephen Mark Sullivan	FL	Bressler Amery & Ross	NO	NO	G	Seth L. Finkel, Esq.	1
19-00600	New York, NY	02/26/2019	10/10/2019	10/16/2019	46173	Park Avenue Securities LLC	ISC	3179354	Michael H. Olivia	FL	Baritz & Colman	NO	NO	G	Joan M. Traub, Esq.	1
18-04355	New York, NY	12/24/2018	08/27/2019	10/16/2019	18281	Itradedirect.com Corporation	ISC	3090136	Sean M. Case	NY	None	NO	OB/NO	G/D	Lynne M. Reid-McQueen, Esq.	1
19-00104	Philadelphia, PA	01/07/2019	09/09/2019	10/16/2019	10409	MML Investors Services LLC	Stevens & Lee	1573628	John Michael Novak	PA	AdvisorLaw LLC	NO	NO	G	Thomas Benjamin Salzer, Esq.	1
19-00797	San Juan, PR	03/22/2019	10/08/2019	10/16/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	3032431	Jose E. Crescioni	PR	Toro Colon Mullet PSC	NO	NO	G	Louis David Huss	1

19-00467	Los Angeles, CA	02/11/2019	09/16/2019	10/16/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	2395133; 2369114	Jerald Joseph Halverson; Michael Joseph Winn	WA; CA	Elkins Kalt et al.	NO	NO		G	Robert D. Sussin, Esq. - Chair; Richard M. Norman, Esq.; Christine A. Page, Esq.	1
19-00163	Los Angeles, CA	01/11/2019	10/03/2019	10/17/2019	8209	Morgan Stanley & Company LLC	ISC	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison	NO	NO		G	Elliott David Finkel, Esq.	1
19-00996	New York, NY	04/11/2019	09/09/2019	10/17/2019	8000	The GMS Group LLC	ISC	4911949	Paul David Mante	FL	Lubiner Schmidt Palumbo LLC	NO	NO		G	Joseph H. Cerame, Esq.	1
19-00170	Charlotte, NC	01/11/2019	09/04/2019	10/17/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2565912	Alan Earl Brookshire	NC	AdvisorLaw LLC	NO	OB		G	Jason Alexander Diamond	1
19-00488	Boca Raton, FL	02/13/2019	10/04/2019	10/17/2019	6363	Ameriprise Financial Services Incorporated	ISC	5175358	Robert Michael Burns Jr.	PA	HLBS Law	NO	NO		G	Monica I. Salis, Esq.	1
19-00710	Norfolk, VA	03/13/2019	10/07/2019	10/17/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	4901171	Michael Thomas Brooks	VA	FA Expungement LLC	NO	UN		D	Gregory Hunter Mathews	1
19-00649	Charlotte, NC	03/05/2019	10/01/2019	10/18/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	1045390	Wesley Eugene Singleton	NC	Wolper Law Firm PA	NO	NO		G	Patricia Ann Tracey, Esq.	1
19-01681	New York, NY	06/14/2019	09/12/2019	10/18/2019	8174	UBS Financial Services Incorporated	ISC	867486	Benjamin Stephen Sax	NY	Bressler Amery & Ross	NO	NO		G	Robert J. Kheel, Esq.	1
19-01213	San Juan, PR	05/01/2019	09/25/2019	10/18/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	1746630	Roberto De Jesus Pou	PR	Toro Colon Mullet PSC	NO	NO		G	Seth L. Finkel, Esq.	1
18-04322	San Diego, CA	12/20/2018	10/01/2019	10/21/2019	6413	LPL Financial LLC	ISC	1926613; 2152088	Sandeep Varma; Steven Joseph Musser	CA; CA	HLBS Law	NO	NO		G	Mark R. Lee	1
18-04386	Tampa, FL	12/26/2018	10/01/2019	10/21/2019	149777	Morgan Stanley	ISC	2232495	Kevin Clayton Cox	FL	HLBS Law	NO	NO		G	Karl A. Vogeler, III	1
18-03117	Cincinnati, OH	09/04/2018	08/27/2019	10/21/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	2136435	John Spencer Bradley	OH	O'Gara Law PLLC	NO	NN		G/D	Julius Z. Frager	1
19-00293	San Diego, CA	01/24/2019	10/01/2019	10/22/2019	10582	Wells Fargo Investments LLC	ISC	2143720	Stephen Mark Seewer	CA	HLBS Law	NO	NO/NN		G	Kevin K. Forrester, Esq.	1
19-01115	Los Angeles, CA	04/23/2019	09/23/2019	10/22/2019	6413	LPL Financial LLC	ISC	2167574	Jennifer Lynne Turner	CA	Ghabai Law Group LLC	NO	NO		G	Neil S. Jasper	1
19-01052	Hartford, CT	04/17/2019	10/02/2019	10/22/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3059453; 4883728	Thomas Hutchison; Joshua Kampf	CT; VT/CT	Winget Spadafora & Schwartzberg	NO	NO/NN		G	Robert B. Titus - Chair; Michael P. Breton; Richard Hallett Nichol (Withdraw)	1
19-00527	Detroit, MI	02/20/2019	08/08/2019	10/22/2019	6413	LPL Financial LLC	ISC	1330765	Thomas Phillip Norris	MI	Joseph H. Spiegel PLLC	NO	NO		G	Robert J. Scafuri, Esq.	2
19-00402	Manchester, NH	02/05/2019	09/23/2019	10/22/2019	43100	Questar Capital Corporation	Faegre Baker Daniels LLP	4562245	Benjamin C. Brayshaw	NH	AdvisorLaw LLC	NO	NO		G	Linda J. Baer, Esq.	1
19-00412	San Diego, CA	02/05/2019	10/07/2019	10/23/2019	8209	Morgan Stanley & Company LLC	ISC	2294966	Robert Eric Rose	CA	HLBS Law	NO	NO/NN		G	Michael E. Rohde, Esq.	1

19-00949	Newark, NJ	04/05/2019	09/05/2019	10/23/2019	25766	Hennion & Walsh Incorporated	ISC	4245327	Mamode Abdullah Oozeerally	NJ	ISC	NO	NO	G	Robert E. Anderson, Esq.	1
18-04284	Cleveland, OH	12/19/2018	09/16/2019	10/23/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2462587	Phillip David Irvin	OH	HLBS Law	NO	NN	G	Kevin R. Zehe	1
19-00035	Boca Raton, FL	12/28/2018	10/16/2019	10/24/2019	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	5025477	Francesco Traina	FL	HLBS Law	NO	NO-D	G	Mark C. Perry, Esq.	1
19-00739	Seattle, WA	03/15/2019	08/13/2019	10/24/2019	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	4945329; 4573162	Morgan Lewis Arford; Brian Joseph Lockett	WA; WA	Ryan Swanson & Cleveland	NO	NO	G	Philip E. Cutler, Esq.	1
19-00029	Omaha, NE	01/02/2019	09/26/2019	10/25/2019	8174	UBS Financial Services Incorporated	ISC	2633169; 4899865	Jonathan Verne Beukelman; Mark B. Geist	CO; NE	Keesal Young & Logan	NO	NO	G	Lynn Hirschfeld Brahlin, Esq.	2
19-00289	Detroit, MI	01/24/2019	10/02/2019	10/28/2019	249; 8174	Oppenheimer & Company Incorporated; UBS Financial Services Incorporated	ISS (O&C); Keesal Young & Logan (UBS)	1660996	Brian Joseph Rener	MI	Gordon Rees et al.	OB/NO	UN	G/D	Jeffrey Mark Bauer, Esq.	1
19-00062	Charlotte, NC	01/03/2019	09/12/2019	10/28/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	2565912	Alan Earl Brookshire	NC	AdvisorLaw LLC	NO	NO	G	Harvey R. Linder, Esq.	1
19-01078	Newark, NJ	04/19/2019	09/25/2019	10/28/2019	31194	RBC Capital Markets LLC	Dorsey & Whitney	1255342	John Peter Micera	NJ	Bressler Amery & Ross	NO	NO	G	Morton S. Bunis, Esq.	2
19-01291	San Juan, PR	05/08/2019	10/22/2019	10/28/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	4575302	Gabriel A. Matos	PR	Toro Colon Mullet PSC	NO	NO	G	Louis David Huss	1
19-00773	Boston, MA	03/20/2019	09/25/2019	10/29/2019		Customers only	Customer	1483380	Frank Congemi	FL	Reminger Co. LPA	NO	NO	G	Howard N. Gorney - Chair; Ericka B. Gray; Debra M. Brown, Esq.	1
18-04416	Detroit, MI	12/26/2018	09/30/2019	10/29/2019	43100	Questar Capital Corporation	Faegre Baker Daniels LLP	2317906	Mark Gerard Kosanke	MI	HLBS Law	NO	NO	G	Tracy L. Allen, Esq.	1
19-00300	New York, NY	01/24/2019	09/10/2019	10/29/2019	7569; 13755	National Securities Corporation; First Montauk Securities Corporation	ISC	2932631	James J. Mariani	NY	FA Expungement LLC	NO	NO	G	Arthur M. Handler, Esq.	1
19-01501	San Juan, PR	05/30/2019	10/23/2019	10/29/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	4313868	Ricardo Eboli-Kodesh	PR	Toro Colon Mullet PSC	NO	NO	G	Martin A. Feigenbaum, Esq.	1
19-00984	New York, NY	04/10/2019	10/22/2019	10/30/2019	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	1655242	G. Scott Diddel	CT	FA Expungement LLC	NO	NO	G	Susan A. Romano	1
19-01080	New Orleans, LA	04/19/2019	09/10/2019	10/31/2019	250	Edward D Jones & Company Limited Partnership	ISC	3244392	Benjamin Thomas Domingue	LA	AdvisorLaw LLC	NO	NN	G	Brian James Tagtmeier	1
19-01448	Jackson, MS	05/23/2019	10/08/2019	10/31/2019	6413	LPL Financial LLC	ISC	2409961	Joseph Oscar Bollinger Jr.	LA	Shumaker Loop & Kendrick	NO	NO	G	Stuart K. Furman - Chair; Langfred W. White, Esq.; Robert E. Graves, JD	1

19-01205	Reno, NV	04/30/2019	10/29/2019	10/31/2019	793	Stifel Nicolaus & Company Incorporated	ISC	702496	Mark Jay Elston	NV	AdvisorLaw LLC	NO	NO-D		G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
19-01027	Chicago, IL	04/16/2019	10/21/2019	11/01/2019		Customers only	Customer	4601002	Matthew Erich Lemke	IL	, Law Office of John A. Diener	NO	NO		G	Leon Fox, JD - Chair; Michael S. Matek, Esq.; Theodore W. Wroblewski, Esq.	1
18-01977	Philadelphia, PA	05/23/2018	06/10/2019	11/01/2019	18456	SA Stone Wealth Management Incorporated	ISC	2195569	Richard Michael Wesselt	PA	AdvisorLaw LLC	NO	NO		G	Louis P. Wagman	3
19-01228	Denver, CO	05/02/2019	10/18/2019	11/04/2019	6413	LPL Financial LLC	ISC	1276928	Peter Finley Tedstrom	CO	Ghabai Law Group LLC	NO	NO		G/D	Charles G. Michaels, Esq.	1
18-04132	Detroit, MI	12/06/2018	10/10/2019	11/04/2019	6413	LPL Financial LLC	ISC	2899049	Mark A. Law	IA	The Mazzara Law Firm	NO	NN		G	Stephen D. Kursman, Esq.	1
19-00472	Columbia, SC	02/12/2019	09/26/2019	11/04/2019	4205; 18387	Lutheran Brotherhood Securities Corporation; Thrivent Investment Management Incorporated	Bryan Cave et al.	1406908	Eric Lloyd Vogen	NC	AdvisorLaw LLC	NO	NO-D		G	Michael J. Ahlstrom, Esq.	1
19-00215	San Francisco, CA	01/16/2019	09/25/2019	11/05/2019	8032	Commonwealth Financial Network	ISC	2573123	Kenneth Ancell	CA	HLBS Law	NO	NO/NN		G	Mary Margaret Bush, Esq.	1
19-00020	Boca Raton, FL	12/28/2018	10/28/2019	11/05/2019	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	1703816	Don Anthony D'Adesky	FL	HLBS Law	NO	NO		G	Will Murphy, Esq.	1
19-01330	New York, NY	05/13/2019	10/08/2019	11/05/2019	11025	Wells Fargo Advisors Financial Network LLC	ISC	2596905	Michael Patrick Murphy	NY	AdvisorLaw LLC	NO	NN		G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
19-02694	Hartford, CT	09/06/2019	10/28/2019	11/06/2019	8174	UBS Financial Services Incorporated	ISC	836680	Richard Anton Cyphers	CT	Bressler Amery & Ross	NO	NO		G	Samuel Harrison Chorches, Esq.	1
19-00869	Tampa, FL	04/01/2019	11/05/2019	11/06/2019	594	Moors & Cabot Incorporated	Mintz Levin PC	2339538	Marc S. Wolff	FL	FA Expungement LLC	OB	UN		D	James Mathieu	1
19-00868	Tampa, FL	04/01/2019	10/17/2019	11/07/2019	10205	Securities America Incorporated	ISC	2149200	Daniel Jay Wolff	FL	FA Expungement LLC	NO	OB		G	Nicholas John Taldone, Esq.	1
18-04369	Las Vegas, NV	12/21/2018	10/14/2019	11/07/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	1023099	Robert Z. Disman	NV	AdvisorLaw LLC	NO	NO		G	Kirtley M. Thiesmeyer, Esq.	1
18-04317	Detroit, MI	12/20/2018	11/04/2019	11/08/2019	14303	Sigma Financial Corporation	ISC	1600404	Tomas J. Velken	CA	Saretsky Hart et al.	NO	UN		D	Barry Goldman, Esq.	1
18-04344	Los Angeles, CA	12/21/2018	10/23/2019	11/08/2019	7717; 4039	Independent Financial Group LLC; The Equitable Life Assurance Society of the United States	ISC (IFG); Gordon Rees et al. (TELASUS)	1456630	Cynthia Mary Couyoumjian	CA	AdvisorLaw LLC	NO	UN		D	Joyce L. Hurley	1

18-03766	Raleigh, NC	10/31/2018	07/09/2019	11/08/2019	463; 8174	Janney Montgomery Scott LLC; UBS Financial Services Incorporated	ISC (JMS); Bressler Amery & Ross (UBS)	2394282	John R. Kline	NC	FA Expungement LLC	NO	OB	G	Margaret Elizabeth Gee	2
19-01188	New York, NY	05/01/2019	10/25/2019	11/11/2019	6363	Ameriprise Financial Services Incorporated	ISC	1034332	Donald Ford Weaver	PA	AdvisorLaw LLC	NO	NO	G	Robert E. Anderson, Esq.	1
19-00730	San Juan, PR	03/14/2019	09/18/2019	11/13/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2096091	Carlos Arturo Pou	FL	Toro Colon Mullet PSC	NO	NO	G	Seth L. Finkel, Esq.	1
19-01309	Boston, MA	05/10/2019	10/23/2019	11/13/2019	6413	LPL Financial LLC	ISC	2688309	Regina Ann Bernarduci	MA	HLBS Law	NO	NO	G	Denise L. Presley, Esq.	1
19-00130	Newark, NJ	01/09/2019	08/08/2019	11/13/2019	14979; 7569	William Scott & Company LLC; National Securities Corporation	ISC	2024287	Joseph Scott Glodek	NJ	FA Expungement LLC	NO	UN	G	Veronica Ann Williams	1
19-00353	New York, NY	01/30/2019	10/17/2019	11/13/2019	8174	UBS Financial Services Incorporated	ISC	1523734	Peter J. Klein	NY	Bressler Amery & Ross	NO	NO	G	Richard W. Cutler, Esq. - Chair; Howard D. Jacob, Esq.; Emily M. Altman	1
19-00411	San Diego, CA	02/06/2019	10/10/2019	11/14/2019	7556	Morgan Stanley DW Incorporated	ISC	2294966	Robert Eric Rose	CA	HLBS Law	NO	NO	G	Mark R. Lee	1
18-04361	Charlotte, NC	12/21/2018	10/02/2019	11/15/2019	5167	NYLife Securities LLC	Morgan Lewis & Bockius	4364668	Donald Paul Robbins	NC	AdvisorLaw LLC	NO	OB/NO	G/D/W	Michael J. Ahlstrom, Esq.	1
19-00320	Dallas, TX	01/28/2019	09/19/2019	11/15/2019	6413	LPL Financial LLC	ISC	1333113	Robert W. Huntley	TX	Wolper Law Firm PA	NO	NO	G	C. Sumpter Logan	2
19-01656	San Juan, PR	06/12/2019	11/05/2019	11/18/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	3139380	David L. Rojas	PR	Toro Colon Mullet PSC	NO	NO	G	Martin A. Feigenbaum, Esq.	1
19-00882	New York, NY	04/01/2019	10/29/2019	11/19/2019	115368	Parkland Securities LLC	ISC	1655242	G. Scott Diddel	CT	FA Expungement LLC	NO	OB/NO	G/D	Albert Rizzo	1
19-00495	Tampa, FL	02/14/2019	10/03/2019	11/19/2019	6413; 8174	LPL Financial LLC; UBS Financial Services Incorporated	ISC (LPL); Bressler Amery & Ross (UBS)	2978356	Stephen Joseph Martin	FL	Wolper Law Firm PA	NO	NO	G	John P. Cullem, Esq.	1
19-01238	Jacksonville, FL	05/06/2019	11/05/2019	11/19/2019	19616	Wells Fargo Clearing Services LLC	ISC	2367746	Scott Andrew Hilton	FL	Locke Lord LLP	NO	NO	G	Maurice M. Feller, Esq. - Chair; Adam Murray Walters; Niels Patrick Murphy	1
19-00487	Detroit, MI	02/14/2019	10/23/2019	11/20/2019	10702	Royal Securities Company	ISC	1726199	William Calvin Kapteyn Jr.	MI	HLBS Law	NO	NO-D	G	Terrance J. Dorcy	2
19-01316	New York, NY	05/10/2019	10/29/2019	11/20/2019	100340	Commerce One Financial Incorporated	ISC	7053413	Michael Patrick Murphy	NH	AdvisorLaw LLC	NO	NO	G	Susan C. Lushing, Esq.	1
19-01256	Pittsburgh, PA	05/07/2019	10/31/2019	11/20/2019	23131	Royal Alliance Associates Incorporated	ISC	1827022	Daniel Gerrard Kress	PA	Knox McLaughlin et al.	NO	NO-D	G	Robert E. Anderson, Esq.	1
19-01784	San Juan, PR	06/21/2019	11/14/2019	11/20/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2444524	Casto Miguel Coll Del Rio	PR	Toro Colon Mullet PSC	NO	NO	G	Nancy J. Cliff, Esq.	1

19-01102	Baltimore, MD	04/23/2019	10/17/2019	11/21/2019	7059	Citigroup Global Markets Incorporated	Bressler Amery & Ross	850487	Thomas Harold Clark	MD	AdvisorLaw LLC	NO	NO	G	Richard E. Lauziere, CPA	1
19-00453	Orlando, FL	02/11/2019	10/08/2019	11/21/2019	6413	LPL Financial LLC	ISC	1437627	James Robert Caldwell	NE	Wolper Law Firm PA	NO	NO	G	Maurice M. Feller, Esq.	1
18-04323	Los Angeles, CA	12/20/2018	10/31/2019	11/22/2019	46000	ePlanning Securities Incorporated	No-show	4708877	Iaian L. Filippini	CA	Kelley Clarke PC	NO	OB	G/W	Anita Rae Shapiro, Esq.	1
19-01360	San Diego, CA	06/04/2019	10/24/2019	11/22/2019	6413	LPL Financial LLC	Markun Zusman et al.	5494713	Terrance W. Arges	CA	Mirch Law Firm	NO	NO	G	Mitchell Lee Lathrop - Chair; Dan Deuprey; Steven A. Fox	2
19-00423	Orlando, FL	02/07/2019	11/01/2019	11/22/2019	705	Raymond James & Associates Incorporated	ISC	2292126	Keith A. Davis	FL	Bruce W. Barnes PA	NO	NO	G	John P. Cullem, Esq. - Chair; Lewis Gordon Brewer; Howard A. Baker, Esq.	1
18-04357	New York, NY	12/24/2018	11/07/2019	11/22/2019	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2508134	Jeffrey Frank Damasco	NY	AdvisorLaw LLC	NO	OB/NO	G	Howard D. Jacob, Esq.	1
19-01666	San Juan, PR	06/12/2019	11/19/2019	11/22/2019	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	5827677	Jose E. Chaves	PR	Toro Colon Mullet PSC	NO	NO	G	Barth Satuloff, CPA	1
18-02782	Los Angeles, CA	08/07/2018	11/13/2019	11/25/2019	8209; 8176	Morgan Stanley & Company LLC; UBS Financial Services Incorporated;	ISC (MS); Keesal Young & Logan (UBS)	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison	NO	NO	G	George Herman Frisch	1
19-00878	Providence, RI	04/01/2019	09/25/2019	11/25/2019	468	Signator Investors Incorporated	ISC	6174583	Danny L. Bullock	RI	Law Office of John M. Verdecchia	NO	UN	D	Patrick Richard Westerkamp, Esq. - Chair; Paul A. Auerbach; Michael Jonathan Chazan	1
19-00538	San Francisco, CA	02/19/2019	11/14/2019	11/26/2019	6413	LPL Financial LLC	ISC	2363435	Kent Douglas Kuhlmann	CA	Wolper Law Firm PA	NO	NO/NN	G	Laurel Littman Gothelf, MPH	1
19-00974	Los Angeles, CA	04/09/2019	10/11/2019	11/26/2019	6363	Ameriprise Financial Services Incorporated	ISC	2195511	Louis Basil Windawi	CA	Freeman Mathis & Gary	NO	NO-D	G	Milton N. Gross	1
19-00493	Boca Raton, FL	02/13/2019	11/05/2019	11/26/2019	19616	Wells Fargo Clearing Services LLC	ISC	5175358	Robert Michael Burns Jr.	PA	HLBS Law	NO	NO	G	James W. Geiger, Esq.	1
19-01176	Charlotte, NC	04/28/2019	11/22/2019	11/27/2019	44337	Kalos Capital Incorporated	ISC	4469608	Christopher Scott Hobart	NC	FA Expungement LLC	NO	NO	G	Susan L. Luck	1
19-00901	New York, NY	04/02/2019	11/12/2019	11/27/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4192731	Matthew T. Leone	NJ	Law Offices of Patrick R. Mahoney PC	NO	NO	G	Richard W. Cutler, Esq.	1
19-00468	Orlando, FL	02/12/2019	11/13/2019	11/29/2019	19616	Wells Fargo Clearing Services LLC	ISC	4215619	Michael David Hopkins	FL	Bressler Amery & Ross	NO	NO	G	Stuart K. Furman	1
18-04443	Orlando, FL	12/27/2018	10/18/2019	12/03/2019	16361; 19616	Banc of America Investment Services Incorporated; Wells Fargo Advisors LLC	Bressler Amery & Ross (BAIS); ISC (WFA)	3169754	Marcos Cigagna	FL	Sallah Astarita & Cox	NO	NO	G	Thomas Joseph Atkinson, Sr., JD	1

19-01357	Newark, NJ	05/15/2019	11/06/2019	12/03/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4936461	Alexander A. Napoli	NJ	AdvisorLaw LLC	NO	NO	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
18-04391	Cleveland, OH	12/26/2018	11/04/2019	12/03/2019	566	KeyBanc Capital Markets Incorporated	Ulmer & Berne	2008174	Bryan Arthur Weber	OH	HLBS Law	E, OB	NO/NN	G/D	Susan L. Walker, Esq.	1
19-01549	Seattle, WA	06/03/2019	11/27/2019	12/03/2019	23131	Royal Alliance Associates Incorporated	ISC	1911579	Earl Barney Hartley	WA	AdvisorLaw LLC	NO	NO	G	Katherine Hendricks, Esq.	1
19-01332	New York, NY	05/13/2019	11/08/2019	12/04/2019	126331	Columbus Advisory Group Limited	ISC	2596905	Michael Patrick Murphy	NY	AdvisorLaw LLC	NO	NO/NN	G/D	Josian Antoine, Esq.	1
19-01225	Providence, RI	05/02/2019	11/15/2019	12/04/2019	42046	Kestra Investment Services LLC	D'Amura & Zaidman	2268822	James Lewis Worrell	RI	HLBS Law	NO	NO	G	Robert E. Anderson, Esq.	1
19-00750	Newark, NJ	03/18/2019	10/30/2019	12/05/2019	17839	The Investment Center Incorporated	ISC	1454586	Jeffrey Heinel	NJ	Winget Spadafora & Schwartzberg	NO	NN	G	Jack Friedman, Esq. - Chair; Marvin L. Schuldiner; Richard Morse	1
19-01408	New York, NY	05/21/2019	11/07/2019	12/05/2019	15007	Aegis Capital Corporation	ISC	1397664	Joseph Anthony Cordi	NY	Weltz Kakos et al.	NO	NO/NN	G	Mary Lou Allen McGanney, PhD	1
19-00584	Cleveland, OH	02/26/2019	11/20/2019	12/05/2019	628	Fifth Third Securities Incorporated	Jackson Lewis PC	4012522	Douglas Ryan Magers	OH	HLBS Law	NO	NO	G	Tracy L. Allen, Esq.	1
19-01354	Houston, TX	05/15/2019	11/20/2019	12/05/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2957545	Craig Wakefield	TX	McGuireWoods LLP	NO	NO	G	Lynne M. Gomez, Esq. - Chair; Mary Esther Escobedo; Kathy R. Holler	1
19-01419	Oklahoma City, OK	05/22/2019	11/04/2019	12/06/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4357720	Michael C. Rodriguez	NE	Rogge Dunn Group PC	NO	NO	G	Raymond C. Kerr, Esq. - Chair; Robert J. Gregory; Colleen Margaret Baker	1
19-00321	Detroit, MI	01/28/2019	11/19/2019	12/09/2019	6413	LPL Financial LLC	ISC	2081858	Scott Alan Kanai	MI	Wolper Law Firm PA	NO	NO	G	Tracy L. Allen, Esq.	1
19-00985	Memphis, TN	04/10/2019	11/14/2019	12/09/2019	8174	UBS Financial Services Incorporated	Keesal Young & Logan	1259773	David Anthony Pickler	TN	FA Expungement LLC	NO	OB	G	Michael J. Ahlstrom, Esq.	1
19-01622	Wichita, KS	06/10/2019	11/21/2019	12/10/2019	38367	Carey Thomas Hoover & Breaunt Incorporated	ISC	1792448	Thomas Paul Hoover	KS	AdvisorLaw LLC	NO	NO/NN	G	Joseph Neal Richardson	1
19-00761	Chicago, IL	03/19/2019	12/04/2019	12/11/2019	250	Edward D Jones & Company Limited Partnership	Bressler Amery & Ross	2834632	Kelly Jean Daniels	AL	Gregory B. Simon Law LLC	NO	NO/NN	G	Leon Fox, JD	1
19-01113	New Orleans, LA	04/23/2019	12/09/2019	12/12/2019	15578; 6694	Pan-American Financial Advisers; Raymond James Financial Services Incorporated	ISC (RJFS); No-show (P-AFA)	1211573	Stanley Jerome Keyes	LA	AdvisorLaw LLC	NO	UN	D	Brian P. Jakes, Sr.	1
18-01550	Denver, CO	04/27/2018	11/16/2018	12/13/2019	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	1094557	Joseph Sylvester Sturniolo	CO	AdvisorLaw; HLBS Law	NO	NO	G	Donald Neil Tolin	4

19-00942	New York, NY	04/05/2019	11/12/2019	12/13/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5343453	Adam Christopher Stevko	CT	FA Expungement LLC	NO	NO	G	Robert J. Kheel, Esq.	2
19-00355	New York, NY	01/30/2019	12/11/2019	12/13/2019	231	MBCS Securities Corporation	Saiber LLC	2832055	Michael John Fornasier	FL	None	E	UN	D	Anna Lascar - Chair; James G. Paulsen; Timothy P. Kebbe, Esq.	1
19-00716	New York, NY	03/13/2019	11/12/2019	12/13/2019	41282	The Jeffrey Matthews Financial Group LLC	ISC	2072459	Jeffrey Ross Halpert	FL	Jardim Meisner & Sussre	NO	OB/NO	G/D	Carol Maria Luttati	2
19-01534	Seattle, WA	05/31/2019	12/05/2019	12/13/2019	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	3027242	Jason M. Trichler	WA	AdvisorLaw LLC	NO	NO	G	Kenneth James Pedersen	1
19-00799	New York, NY	03/22/2019	11/06/2019	12/16/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1974661	Mark E. Johnson	NY	Stowell & Friedman	NO	NN	G	Ellyn S. Roth	1
19-00951	Dallas, TX	04/08/2019	11/19/2019	12/16/2019	136532	Samco Capital Markets Incorporated	Hedrick Kring PLLC	1506062	Roger James Engemoen Jr.	TX	Akin Gump et al.	NO	NO	G	Eric Ross Cromartie	1
19-01677	Los Angeles, CA	06/13/2019	12/04/2019	12/18/2019	12963	Money Concepts Capital Corporation	Akerman LLP	1847282	Alan Jerome Schryer	CA	HLBS Law	NO	OB/NO	G	Milton N. Gross	1
19-02035	Atlanta, GA	07/23/2019	12/03/2019	12/18/2019	16164	Transamerica Financial Advisors Incorporated	ISC	1109573	Thomas Richard Mathews Jr.	GA	Ulmer & Berne; The Jade Law Offices of Kim Scouller	NO	OB	G	James C. Hoover, Esq.	1
19-01647	New York, NY	06/11/2019	12/11/2019	12/19/2019	816	Credit Suisse Securities (USA) LLC	ISC	5119248	Lily Pirouzian	NY	Bracewell LLP	NO	NO	G	Arthur Neil Tolciss, Esq.	1
18-04124	New York, NY	12/05/2018	12/04/2019	12/19/2019	119249; 17341; 43295	American Capital Partners LLC; First Asset Management Incorporated; Milestone Financial Services Incorporated	ISC (ACP); No-show (FAM & MFS)	4124480	Edward Michael Cahill	VA	Sichenzia Ross Ference LLP	NO	NO/NN	G	Robert E. Anderson, Esq.	1
19-01412	Seattle, WA	05/21/2019	11/07/2019	12/19/2019	42046	Kestra Investment Services LLC	D'Amura & Zaidman	2048489	Jeffrey Norman Cashman	WA	AdvisorLaw LLC	NO	NO	G	David William Hickman, JD	1
19-00722	Des Moines, IA	03/14/2019	09/25/2019	12/20/2019	6413	LPL Financial LLC	ISC	2617708	James Philip Sandager	IA	AdvisorLaw LLC	NO	NN	G	William M. Azkoul, JD	2
19-01987	New York, NY	07/17/2019	12/11/2019	12/20/2019	31194	RBC Capital Markets LLC	Dorsey & Whitney	1329993	David McIlroy	NJ	KW Law Group LLC	NO	NO	G	Gerald M. Levine	1
19-01114	Phoenix, AZ	04/23/2019	12/10/2019	12/23/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2111094	Brian Francis Scanlon	AZ	AdvisorLaw LLC	NO	NO	G	Walter Steven Schwartz	1

18-04449	New York, NY	12/28/2018	10/03/2019	12/23/2019	104474	Sanford C. Bernstein & Company LLC	Milbank LLP	2661830	Marcus Foster Kline	NY	AdvisorLaw LLC	NO	NO	G	Ted M. Rosen, Esq.	1
19-00587	Dallas, TX	02/26/2019	12/05/2019	12/23/2019	16507; 10205	First Financial Equity Corporation; Securities America Incorporated	ISC	3040269	Brian W. Armstrong	TX	Wolper Law Firm PA	NO	NO	G	C. Sumpter Logan	1
19-01494	Tampa, FL	05/30/2019	12/10/2019	12/24/2019	133763; 10299	Sagepoint Financial Incorporated; Cetera Advisors LLC	ISC (SF); Winget Spadafora & Schwartzberg (CA)	2245212	Tyler Harrelson	FL	Wolper Law Firm PA	NO	NO	G	Karl A. Vogeler, III	1
19-01112	Los Angeles, CA	04/23/2019	11/12/2019	12/26/2019	19616	Wells Fargo Clearing Services LLC	ISC	2935544	Allen Frances Schreiber	CA	HLBS Law	NO	NO	G	Benjamin F. Breslauer	1
19-00448	New York, NY	02/08/2019	12/17/2019	12/26/2019	14048	Continental Broker-Dealer Corporation	ISC	2167218	Joon Han Rhee	NY	Carmel Milazzo & DiChiara	NO	NO	G	William G. Binckes, Esq.	1
19-00645	Boca Raton, FL	03/04/2019	12/11/2019	12/27/2019	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4258670	Gustavo Carvajal	FL	GrayRobinson PA	NO	NO	G	Carl Shechter, Esq.	1
19-01339	Atlanta, GA	05/13/2019	12/10/2019	12/27/2019	12963	Money Concepts Capital Corporation	ISC	1795639	Roger Scott Green	GA	AdvisorLaw LLC	NO	OB	G	Harvey R. Linder, Esq.	1
19-01463	Washington, DC	05/24/2019	11/20/2019	12/27/2019	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2986220	Kevin Brent Collison	MO	AdvisorLaw LLC	NO	NO/NN	G	Larry E. Ray, Esq.	1
19-01500	Chicago, IL	05/30/2019	12/19/2019	12/30/2019	18387	Thrivent Investment Management Incorporated	ISC	5531379	David James Henry	IL	Wolper Law Firm PA	NO	NO	G	Philip J. Glick, Esq.	1
19-00173	Detroit, MI	01/14/2019	12/18/2019	01/02/2020	21548	Dominion Investor Services Incorporated	Saretsky Hart et al.	1280917	Kathy Lynne Colby	MI	J.H. Spiegel PLLC	NO	NO	G	Jeffrey Mark Bauer, Esq.	1
19-01454	Albany, NY	05/24/2019	12/11/2019	01/02/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2738334	Todd Edward Silaika	NY	AdvisorLaw LLC	NO	NO	G	Alice E. Winkler, Esq.	1
19-02043	New York, NY	07/24/2019	12/18/2019	01/03/2020	249	Oppenheimer & Company Incorporated	ISC	2305932	Mitchell Ian Hassenbein	NY	Phillipson & Uretsky	NO	NO	G	Michele S. Riley	1
19-00126	Oklahoma City, OK	01/09/2019	07/16/2019	01/03/2020	6627	AXA Advisors LLC	ISC	2271043	Jerry Dale Kiefer	OK	AdvisorLaw LLC	NO	NO	G/D	Lawrence R. Maxwell, Jr., Esq.	2
19-02157	New York, NY	08/01/2019	12/09/2019	01/06/2020	7784	Fidelity Brokerage Services LLC	ISC	5254069	Charles Chan	NJ	Bressler Amery & Ross	NO	NO	G	Patricia Kathleen Costello	1
18-02825	New York, NY	08/10/2018	10/28/2019	01/06/2020	79	JP Morgan Securities LLC	ISC	4211526	Ling Yung Wu	NY	Satterlee Stephens LLP	NO	NO	G	Karimu F. Hill-Harvey, Esq. - Chair; Dan Brecher, Esq.; Norman Feit	1
19-01704	New York, NY	06/17/2019	11/25/2019	01/06/2020	133839	Wilmington Capital Securities LLC	Lawrence R. Gelber, Attorney-at-Law	6104529	Shi Zhou	NY	Kaufmann Gildin & Robbins	OB	NO	G	Michael S. Lazan, Esq.	1

19-01145	Orlando, FL	04/25/2019	11/04/2019	01/07/2020	19616	Wells Fargo Advisors LLC	ISC	4271854	George Edward Mathis	FL	Bruce W. Barnes PA	NO	NO-D	G	John P. Cullem, Esq. - Chair; Lewis Gordon Brewer; Gregory L. Hess	1
19-00169	New York, NY	01/11/2019	12/10/2019	01/08/2020	250	Edward D Jones & Company Limited Partnership	ISC	6214169	James D. Zahakos	NJ	HLBS Law	NO	NO	G	Sandra J. Mullings, Esq.	1
19-02036	Atlanta, GA	07/23/2019	12/17/2019	01/09/2020	7059	Citigroup Global Markets Incorporated	ISC	843053	Michael Jay Grace	GA	Bressler Amery & Ross	NO	NO/NN	G	Harvey R. Linder, Esq.	1
19-01832	Dallas, TX	06/27/2019	12/17/2019	01/09/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3113365	Jean Ann Fisher	TX	AdvisorLaw LLC	NO	NO/NN	G	David A. Schuler	1
19-00934	Tampa, FL	04/04/2019	11/25/2019	01/10/2020	13475	Summit Brokerage Services Incorporated	Winget Spadafora & Schwartzberg	1086724	Ronald Dean Clark	AL/FL	Jenks & Harvey	NO	NO/NN	G	Gayle B. Carlson, Esq.	1
19-01189	Chicago, IL	04/29/2019	01/09/2020	01/13/2020	6363	Ameriprise Financial Services Incorporated	ISC	4531115	Jorge Israel Blanco	FL	Gregory B. Simon Law LLC	NO	NO	G	Gregory G. Gocek	1
19-02892	Chicago, IL	09/27/2019	12/20/2019	01/13/2020	8174	UBS Financial Services Incorporated	ISC	1345372	Mark Zaharski	IL	Bressler Amery & Ross	NO	NO	G	Leon Fox, JD	1
19-01482	New York, NY	05/29/2019	11/14/2019	01/13/2020	11217	Quick & Reilly Incorporated	Bressler Amery & Ross	2141537	Lysandra Danielle Maxim	NY	AdvisorLaw LLC	NO	NO	G	Ted M. Rosen, Esq.	1
19-02073	New York, NY	07/26/2019	01/09/2020	01/13/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	4403948	Paul David Campbell	NY	, Law Offices of Janet K. DeCosta	NO	NO	G	Gerald M. Levine	1
19-01682	Pittsburgh, PA	06/14/2019	12/18/2019	01/13/2020	13686	HD Vest Investment Services	ISC	1884935	Paul Samuel Carpenter	PA	AdvisorLaw LLC	NO	OB	G	Catherine Stewart, Esq.	1
19-01835	Philadelphia, PA	06/27/2019	01/07/2020	01/14/2020	18456	SA Stone Wealth Management Incorporated	ISC	2195569	Richard Michael Wesselt	PA	AdvisorLaw LLC	NO	NO	G	Julie K. Chapin	1
19-01741	Minneapolis, MN	06/19/2019	12/17/2019	01/15/2020	250	Edward D Jones & Company Limited Partnership	ISC	2159780	Natalie Ann Brinkman	MN	Heley Duncan et al.	NO	NO	G	Susan L. Walker, Esq.	1
19-01721	Chicago, IL	06/18/2019	01/10/2020	01/16/2020	19616	Wells Fargo Clearing Services LLC	ISC	4608017	Paul Burdette Reider	IL	David A. Genelly Limited	NO	NO-D	G	Susan L. Walker, Esq.	1
19-02185	Manchester, NH	08/05/2019	01/13/2020	01/16/2020	7784	Fidelity Brokerage Services LLC	ISC	1735531	Martin John Cunningham	MA	AdvisorLaw LLC	NO	NN	G	John James McGovern, Jr., Esq.	1
19-01283	Cincinnati, OH	05/08/2019	12/03/2019	01/16/2020	250	Edward D Jones & Company Limited Partnership	ISC	5838052	Brian D. Addis	OH	FA Expungement LLC	NO	UN	D	Barry Goldman, Esq.	3
19-02086	Louisville, KY	07/29/2019	01/14/2020	01/17/2020	4161	Morgan Keegan & Company LLC	ISC	2270311	Charles Mercer	KY	FA Expungement LLC	NO	NO	G	Mark Alexander Sipper	1
19-00619	Omaha, NE	02/28/2019	01/06/2020	01/21/2020	6413	LPL Financial LLC	ISC	1238219	Ronald L. Carson, Jr.	NE	Wolper Law Firm PA	NO	NO	G/D	Philip J. Glick, Esq.	1

19-02601	Boston, MA	08/28/2019		01/21/2020	18718	JP Morgan Securities Incorporated	Ulmer & Berne	2196343	Daniel Lawrence Pimental	NH	AdvisorLaw LLC	E	UN		D	Denise L. Presley, Esq.	0
19-02183	New York, NY	08/05/2019	01/13/2020	01/21/2020	11025	Wells Fargo Advisors Financial Network	Drinker Biddle & Reath	4351030	Mikhail Filshinskiy	NY	Winget Spadafora & Schwartzberg	NO	NO		G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
19-01331	New York, NY	05/13/2019	01/10/2020	01/22/2020	15007; 8361	Aegis Capital Corporation; A.G.P./Alliance Global Partners	Sichenzia Ross Ference LLP (AC); ISC (AGP)	4662658	Jean-Matthieu Josse	FL	Kaufman Dolowich & Voluck	NO	NO		G	Dan Brecher, Esq.	1
19-01376	New Orleans, LA	05/16/2019	12/10/2019	01/23/2020	7471	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	2971934	Michael A. Boagni	LA	AdvisorLaw LLC	NO	OB/NO		G	C. Sumpter Logan	1
19-01382	Richmond, VA	05/16/2019	11/11/2019	01/27/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1260820	Gregory Lucky Nerantzis	VA	AdvisorLaw LLC	NO	OB/NO		G	Jane Kwok Ping Tam	1
19-01808	Detroit, MI	06/25/2019	01/21/2020	01/28/2020	8174	UBS Financial Services Incorporated	No-show	4782960	Steven Michael Gretchko	MI	HLBS Law	NO	NO		G	Terrance J. Dorcy	1
19-01853	Newark, NJ	07/01/2019	01/21/2020	01/28/2020	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	4816798	Gary Christopher Ribe	NJ	AdvisorLaw LLC	NO	NO		G	Joan M. Traub, Esq.	1
19-02159	Newark, NJ	08/01/2019	01/08/2020	01/28/2020	13686	HD Vest Investment Services	ISC	2270069	Edward Joseph Ryan Jr.	NJ	AdvisorLaw LLC	NO	OB/NO		G/D	Louis H. Miron, Esq.	1
19-01252	Richmond, VA	05/06/2019	11/06/2019	01/28/2020	149777	Morgan Stanley	ISC	4774449	Haider Sharifi	VA	AdvisorLaw LLC	NO	UN		D	Carl F. Bowmer, Esq.	2
19-01756	Baltimore, MD	06/20/2019	01/07/2020	01/29/2020	17499	SunTrust Investment Services Incorporated	Williams & Connolly	2258807	Steven Michael Goldberg	MD	Herskovits PLLC	NO	OB/NO		G	Steven Irving Platt	1
19-02320	San Juan, PR	08/15/2019	01/22/2020	01/29/2020	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2180310	Angel Manuel Canabal	PR	Toro Colon Mullet PSC	NO	NO		G	Martin A. Feigenbaum, Esq.	1
19-01458	Los Angeles, CA	05/24/2019	01/22/2020	01/30/2020	6413	LPL Financial LLC	ISC	5473837	David Munho Choi	CA	HLBS Law	NO	NO		G	Robert D. Sussin, Esq.	1
19-02436	Tampa, FL	08/22/2019	01/14/2020	01/30/2020	19616	Wells Fargo Clearing Services LLC	ISC	4571962	Christopher Robert Roman	FL	Akerman LLP	NO	NO		G	Maurice M. Feller, Esq.	1
19-02168	Nashville, TN	08/02/2019	01/09/2020	01/30/2020	3767	Wiley Bros-Aintree Capital LLC	ISC	2714056	Paul Christian Allen	FL/TN	Holcomb & Ward	NO	NO-D		G	Harvey R. Linder, Esq.	1
19-01429	San Juan, PR	05/22/2019	01/16/2020	01/30/2020	8096	Popular Securities LLC	ISC	4205969	Roberto Luis Rivera Vazquez	PR	Kaufman Dolowich & Voluck	NO	NO		G	Martin A. Feigenbaum, Esq.	1
19-03602	Boston, MA	12/05/2019	01/28/2020	02/03/2020	8174	UBS Financial Services Incorporated	ISC	5680271	Andrea B. Bevis	MA	Bressler Amery & Ross	NO	NO		G	Gerard S. Marsan, Esq.	1
18-03155	Seattle, WA	09/06/2018	09/27/2019	02/03/2020	6391	Pacific West Securities Incorporated	No-show	2176816	Erinn June Ford	WA	Markun Zusman et al.	NO	OB		G	Charles Scott McClellan - Chair; Ian Stephen Birk; Frederick B. Mueller	2

19-01831	Los Angeles, CA	06/27/2019	01/16/2020	02/04/2020	31194	RBC Capital Markets LLC	Dorsey & Whitney	2291478	Mark William Lininger	CA	HLBS Law	NO	NO	G	Morris S. Getzels, Esq.	1
19-01978	Honolulu, HI	07/17/2019	01/07/2020	02/04/2020	115368; 1763	Parkland Securities LLC; H. Beck Incorporated	ISC (PS); , D'Amura & Zaidman (HB)	4884887	Jeffrey David Buck	HI	HLBS Law	OB/NO	NO	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
19-00880	Charlotte, NC	04/01/2019	01/16/2020	02/04/2020	14869; 265	Ameritas Investment Corporation; Equity Services Incorporated	ISC (AI); Winget Spadafora & Schwartzberg (ES)	1144569	Carl Edward Rogers	NC	FA Expungement LLC	NO	NO/NN	G	Dwane Edward Vickstrom	1
19-01536	Los Angeles, CA	05/31/2019	01/22/2020	02/05/2020	361	Goldman Sachs & Company	Cohen & Gresser	2079586	Tiffany L. Wright	CA	AdvisorLaw LLC	NO	NO	G	Joyce L. Hurley	1
19-00153	Los Angeles, CA	01/10/2019	01/29/2020	02/06/2020	2525	Deutsche Bank Securities Incorporated	Paduano & Weintraub	2387481	Michael John Tusing	MO	HLBS Law	NO	NO	G	Mary M. O'Neil	1
19-00563	New York, NY	02/22/2019	12/02/2019	02/06/2020	7471; 7506	Prudential Securities LLC; Shearson Lehman Brothers LLC	Law Offices of Alan S. Brodherson (PS); ISC (SLB)	1332626	Anthony Sica	NY	Weltz Law	NO	NO	G	Joan M. Traub, Esq.	2
19-02077	St. Louis, MO	07/29/2019	01/28/2020	02/07/2020	13318	Securities Service Network LLC	ISC	353244	Michael Edward O'Reilly	MO	AdvisorLaw LLC	NO	UN	D	Michael S. Matek, Esq.	1
19-02124	Philadelphia, PA	07/31/2019	01/31/2020	02/07/2020	17839	The Investment Center Incorporated	ISC	2991330	Marc Stuart Goldberg	PL/PA	Winget Spadafora & Schwartzberg	NO	NO	G	Thomas Benjamin Salzer, Esq. - Chair; Timothy Towles Stevens; Glenn J. Hansen, CFP	1
19-02064	Columbia, SC	07/25/2019	01/07/2020	02/10/2020	250	Edward D Jones & Company Limited Partnership	ISC	5903832	Paul Michael Baily	SC	Ghabai Law Group LLC	NO	NO	G	Richard S. Zaifert, Esq.	1
19-00445	Boca Raton, FL	02/08/2019	01/27/2020	02/11/2020	19616	Wells Fargo Clearing Services LLC	ISC	2552185	Matthew Aaron Gerst	AZ	Stein & Stein	NO	OB	G	Will Murphy, Esq. - Chair; Robert G. Falbisaner; Scott Louis Fishman	1
18-04362	Los Angeles, CA	12/21/2018	09/19/2019	02/11/2020	32444; 6413	First Allied Securities Incorporated; LPL Financial LLC	ISC	1456630	Cynthia Mary Couyoumjian	CA	AdvisorLaw LLC	NO	NN	D	Robert D. Sussin, Esq.	2
19-01321	Boca Raton, FL	05/10/2019	02/04/2020	02/12/2020	8174; 149777	UBS Financial Services Incorporated; Morgan Stanley	Bressler Amery & Ross (UBS); ISC (MS)	4605039	Henry Grinberg	FL	Kaufman Dolowich & Voluck	NO	OB/NO	G	Martin A. Feigenbaum, Esq.	1
19-01667	New York, NY	06/13/2019	02/11/2020	02/13/2020	149777	Morgan Stanley	ISC	4502223	Ken Kavanagh	PA	AdvisorLaw LLC	NO	NO	G	Michael H. DuBoff, Esq.	1
19-01905	Richmond, VA	07/09/2019	01/23/2020	02/13/2020	17499	SunTrust Investment Services Incorporated	Gray Robinson PA	4502223	Jaret Clinton Mutter	VA	AdvisorLaw LLC	NO	NO/NN	G	James W. (Jim) Geiger	1
19-02017	Phoenix, AZ	07/22/2019	01/28/2020	02/14/2020	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	1618007	Brent Stanley Pine	AZ	Wolper Law Firm PA	NO	NO	G	Roger A. Geddes	1

19-01848	San Francisco, CA	06/28/2019	01/09/2020	02/14/2020	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2208900	Demian Marc Fitzgerald	CA	AdvisorLaw LLC	NO	NO/NN	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
19-01577	Boca Raton, FL	06/04/2019	02/10/2020	02/14/2020	705	Raymond James & Associates Incorporated	ISC	5812197	Seth Adrian Townsend	FL	HLBS Law	NO	OB	G	Edward R. Niederriter, Esq.	1
19-01996	Boca Raton, FL	07/17/2019	01/29/2020	02/14/2020	11025	Wells Fargo Advisors Financial Network LLC	ISC	2428720	Mary-Lee Widder	FL	HLBS Law	NO	NO	G	Elena G. Rodriguez	1
19-02353	San Juan, PR	08/16/2019	02/04/2020	02/14/2020	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	5638180	Edgardo H. Ferrer	PR	Toro Colon Mullet PSC	NO	NO	G	Louis David Huss	1
19-03009	San Juan, PR	10/04/2019	02/05/2020	02/14/2020	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	4313868	Ricardo Eboli-Kodesh	PR	Toro Colon Mullet PSC	NO	NO	G	Christopher J. Klein, Esq.	1
19-02337	Atlanta, GA	08/16/2019	02/04/2020	02/18/2020	6413	LPL Financial LLC	ISC	1782584	Joy Katina Hurst	GA	Ghabai Law Group LLC	NO	OB	G	Harvey R. Linder, Esq.	1
19-01962	Kansas City, MO	07/16/2019	02/06/2020	02/18/2020	13609; 10299	Berthel Fisher & Company Financial Services Incorporated; Cetera Advisors LLC	ISC	3061934	Jahanguir "John" Azodi	MO	FA Expungement LLC	NO	OB/NO	G	John R. Loss, Esq.	1
19-01676	Little Rock, AR	06/13/2019	02/04/2020	02/19/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2391077; 2224300; 2873335	Pamela R. Raben; Brent Taylor Henry; Dustin Clay Colebank	AR; AR; AR	AdvisorLaw LLC	NO	OB/NO	G	Lynne M. Gomez, Esq.	1
19-01576	Boca Raton, FL	06/04/2019	02/04/2020	02/19/2020	705	Raymond James & Associates Incorporated	ISC	2216130	Dianne Shouldice Townsend	FL	HLBS Law	NO	OB	D	Seth L. Finkel, Esq.	1
19-02626	Atlanta, GA	08/30/2019		02/19/2020	79	JP Morgan Securities LLC	Ulmer & Berne	1790699	Jack Stephen Cohen	GA	AdvisorLaw LLC	E	UN	D	Harvey R. Linder, Esq.	0
19-02223	Manchester, NH	08/07/2019	02/18/2020	02/24/2020	10409	MML Investors Services LLC	Stevens & Lee	2082939	Andrew Marvin Rocco	NH	Wolper Law Firm PA	NO	NO	G	Samuel Harrison Chorches, Esq.	1
19-01281	New York, NY	05/08/2019	02/12/2020	02/25/2020	25574	Chase Investment Services Corporation	Satterlee Stephens LLP	1477782	Rinico Sawyer	NY	FA Expungement LLC	E, NO	NO-D	D	Laura Wong-Pan	1
19-02774	New York, NY	09/16/2019	02/20/2020	02/25/2020	8174	UBS Financial Services Incorporated	ISC	2371035	Robert Scott Gilman	NY	Baritz & Colman	NO	NO	G	Sandra J. Mullings, Esq.	1
19-02570	Louisville, KY	08/27/2019	02/19/2020	02/26/2020	453	JJB Hilliard and WL Lyons LLC	Bressler Amery & Ross	2634158	S. Andrew Baird	KY	Gess Mattingly & Atchison	NO	NO	G	Gregory Hunter Mathews	1
19-02083	New York, NY	07/29/2019	02/21/2020	02/26/2020	5397	David Lerner Associates Incorporated	ISC	4466711	Timothy J. Cheriaparampil	NY	Stevens & Lee	NO	OB	G	Anna Lascar - Chair; Andrew Morganstern; Ronald Jay Horowitz	1
19-02341	Boca Raton, FL	08/15/2019	02/18/2020	02/27/2020	17490	NatCity Investments Incorporated et al.	Seyfarth Shaw LLP	2941586	Michael H. Gross	KY	None	NO	NO	G	Thomas W. Allen - Chair; Peter Susser; Bart Samuel Cohodas	1

19-01864	Wilmington, DE	07/02/2019	02/19/2020	02/27/2020	3978	Lincoln Financial Advisors Corporation	ISC	1268451; 2335957	Nick Harris Meyers; Philip Ross Stern	NJ; PA	Saretsky Hart et al.	NO	OB		G	James W. (Jim) Geiger	2
19-01688	Denver, CO	06/14/2019	12/16/2019	02/28/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1095610	Steven Philip Southworth	CO	HLBS Law	NO	NO		G	Frances Johnson-Wright, Esq.	2
19-02547	Charlotte, NC	08/26/2019	02/18/2020	03/02/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2561011	Steven Bonetto	NC	Baritz & Colman	NO	OB		G	Douglas Earl McLaren, Esq.	1
19-02336	Birmingham, AL	08/16/2019	02/18/2020	03/03/2020	705	Raymond James & Associates Incorporated	ISC	1248414	David Henderson Anthony	AL	Bressler Amery & Ross	NO	NO/NN		G	G. Maynard Green, JD	1
19-01381	New York, NY	06/12/2019	02/24/2020	03/03/2020	372	Gruntal & Company LLC	No-show	1615042	Jordan Whitney Waring	NJ	AdvisorLaw LLC	NO	NN		G	Elena G. Rodriguez	1
19-01790	Dallas, TX	06/24/2019	02/20/2019	03/03/2020	27060	BBVA Securities Incorporated	Balch & Bingham	5444676	Careena Patel	TX	AdvisorLaw LLC	NO	NO		G	Frances Johnson-Wright, Esq.	1
19-03682	San Francisco, CA	12/13/2019	02/25/2020	03/04/2020	8174	UBS Financial Services Incorporated	ISC	1784265	Neil Bruce Konigsberg	CA	Bressler Amery & Ross	NO	UN		D/W	Laurel Littman Gothelf, MPH	1
19-01911	Atlanta, GA	07/09/2019	02/18/2020	03/04/2020	17499	SunTrust Investment Services Incorporated	Gray Robinson PA	4228606	Michael Shane Godbee	GA	None	NO	NO		G	Cassandra Kimberly Ward, Esq. (fka Cassandra Kimberly Ward-Brown, Esq.) - Chair; Jeffrey Alperin; Jack Walsh	1
19-02062	New York, NY	07/25/2019	02/24/2020	03/04/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1661585	Joseph James Guarneri	NJ	Law Offices of Patrick R. Mahoney PC	NO	NO		G	Madelon M. Rosenfeld, Esq.	1
19-01032	Raleigh, NC	04/16/2019	02/07/2020	03/05/2020	17499	SunTrust Investment Services Incorporated	Gray Robinson PA	5148573	Nicole June Robertson	NC	AdvisorLaw LLC	NO	OB/NO		G	John P. Cullem, Esq.	1
19-02348	San Juan, PR	08/16/2019	02/25/2019	03/05/2020	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	2784555	Francisco Javier Landivar	PR	Toro Colon Mullet PSC	NO	NO		G	Nancy J. Cliff, Esq.	1
19-01806	New York, NY	06/25/2019	01/07/2020	03/06/2020	7616	Cowen & Company	ISC	1095610	Steven Philip Southworth	CO	HLBS Law	NO	NO-D		G/D	Ellyn S. Roth	3
19-02248	Boston, MA	08/08/2019	02/27/2020	03/06/2020	6363	Ameriprise Financial Services Incorporated	ISC	4078745	Michael Scott	MA	Ghabai Law Group LLC	NO	NO		G	Gene M. Bauer, Esq.	1
19-02211	Baltimore, MD	08/07/2019	03/02/2020	03/06/2020	20580	Sanders Morris Harris LLC	ISC	4021878	Edward William Henry Kissinger	MD	Offit Kurman PA	NO	NO		G	Catherine Esther Bocskor	1
19-01917	Boca Raton, FL	07/10/2019	02/20/2020	03/09/2020	43100	Questar Capital Corporation	Wiand Guerra King PA	2015134	William Alan Gruntler	FL	HLBS Law	NO	NO		G/D	Gerald Silverman, Esq.	1
19-03633	Columbus, OH	12/10/2019	02/21/2020	03/09/2020	8174	UBS Financial Services Incorporated	ISC	4593993; 2941432	Steven Edwin LeClair; Leslie Ann Lauer	FL/OH; OH	Bressler Amery & Ross	NO	NO		G	Jeffry Mark Bauer, Esq.	1
19-02061	New York, NY	07/25/2019	03/03/2020	03/09/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1661585	Joseph James Guarneri	NJ	Law Offices of Patrick R. Mahoney PC	NO	NO		G	Sandra J. Mullings, Esq.	1

19-02414	New York, NY	08/21/2019	03/03/2020	03/11/2020	7569	National Securities Corporation	ISC	2590007	Mark Angelo Gassoso	NJ	FA Expungement LLC	NO	NO	G	Howard L. Sobel	1
19-01025	Philadelphia, PA	04/12/2019	11/20/2019	03/12/2020	6627	AXA Advisors LLC	ISC	1986855	Anthony P. Lubrano	PA	Akerman LLP	NO	NO	G	Carol H. Gold, Esq.	2
19-01720	Los Angeles, CA	06/18/2019	02/27/2020	03/13/2020	8361	AGP/Alliance Global Partners	No-show	2075525	Matt Ward	CA	Kalberer LLP	NO	UN	D	Joyce L. Hurley	1
19-02275	Los Angeles, CA	08/12/2019	02/27/2020	03/13/2020	25574	Chase Investment Services Corporation	Duane Morris LLP	2895873	David Christopher Sipe	CA	HLBS Law	NO	NO-D	G	Kirtley M. Thiesmeyer, Esq.	1
19-01804	Kansas City, MO	06/25/2019	01/28/2020	03/13/2020	41528	DH Hill Securities LLP	Markun Zusman et al.	2473459	Todd Franklin Gregory	MO	Ulmer & Berne	NO	NO/NN	G	Susan L. Walker, Esq.	1
19-02217	Portland, OR	08/07/2019	02/25/2020	03/13/2020	45053	Private Consulting Group Incorporated	No-show	2609878	Michael Stephen Myers	OR	AdvisorLaw LLC	NO	OB/NO	D	James John Jurinski, JD	1
19-02191	Los Angeles, CA	08/05/2019	02/19/2020	03/16/2020	10582	Wells Fargo Investments LLC	ISC	2895873	David Christopher Sipe	CA	HLBS Law	NO	NO	G	Benjamin F. Breslauer	1
19-02400	Los Angeles, CA	08/20/2019	01/22/2020	03/16/2020	793	Stifel Nicolaus & Company Incorporated	No-show	1193396	Timothy Charles Metcalf	CA	Gordon Rees et al.	NO	NO	G	Mary M. O'Neil	1
19-02074	Boston, MA	07/27/2019	02/11/2020	03/16/2020	19616	Wells Fargo Clearing Services LLC	ISC	1273078	Lawrence Eppolito	MA	Wolper Law Firm PA	NO	NO	G	Denise L. Presley, Esq.	1
19-02251	Phoenix, AZ	08/08/2019	03/16/2020	03/17/2020	133763	Sagepoint Financial Incorporated	ISC	1336852	Keith Paul DeGreen	AL	Tiffany & Bosco	NO	NO	G	Renee Bryna Gerstman - Chair; Kenneth Layne Morrill; James M. Gerber	1
19-01556	San Francisco, CA	06/04/2019	03/03/2020	03/17/2020	149777	Morgan Stanley	ISC	4321414	Daniella R. Rand	FL	HLBS Law	NO	NO	G	Daniel M. Yamshon, Esq.	1
19-02740	Raleigh, NC	09/11/2019	03/03/2020	03/17/2020	6413; 13787	LPL Financial LLC; UVEST Financial Services Group Incorporated	ISC (LPL); No-show (UVEST)	1743602	Don Michael Rudolph	NC	AdvisorLaw LLC	NO	NO/NN	G	Harvey R. Linder, Esq.	1
19-02697	Columbia, SC	09/06/2019	03/05/2020	03/17/2020	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	3251335; 2456312; 4854409; 2252224	Aaron Justin Gore; Samuel Ray Head; Ronald Franklin Metcalf; David Cameron Monckton	SC; SC; SC; SC	Akerman LLP	NO	OB	G	Richard S. Zaifert, Esq. - Chair; Harvey R. Linder, Esq.; Brian Stafford	1
19-02190	Birmingham, AL	08/05/2019	02/25/2020	03/18/2020	25803	Triad Advisors LLC	ISC	2444532	Christopher Todd Holder	AL	HLBS Law	NO	NO	G	Frances Johnson-Wright, Esq.	1
19-01876	Dallas, TX	07/03/2019	02/18/2020	03/18/2020	241	Woodbury Financial Services Incorporated	ISC	2566829	Michael David Kolacz	TX	The Dale Law Firm	NO	NO	G	Nicole T. LeBoeuf, Esq.	1
19-00096	Boca Raton, FL	01/04/2019	03/02/2020	03/19/2020	630	CIBC World Markets Corporation	ISC	1134795	William Earl Elmore, Jr.	FL	HLBS Law	NO	NO	G	Seth L. Finkel, Esq.	1
18-04350	Philadelphia, PA	12/21/2018	02/06/2020	03/19/2020	19616	Wells Fargo Clearing Services LLC	ISC	4183071	Mary Ellen Wagner	PA	AdvisorLaw LLC	NO	NO/NN	G/D	James W. (Jim) Geiger	1

19-01659	Birmingham, AL	06/12/2019	02/25/2020	03/20/2020	705	Raymond James & Associates Incorporated	ISC	2787106	David Ray Gallahar	AL	Bressler Amery & Ross	NO	NO/NN	G	Harvey R. Linder, Esq.	1
19-01605	New York, NY	06/09/2019	01/07/2020	03/20/2020	25574; 7569	Chase Investment Services Corporation; National Securities Corporation	Satterlee Stephens LLP (CIS); ISC (NS)	5324620	Mark Sam Kolta	NY/FL	FA Expungement LLC	NO	NO	G	Richard W. Vallario, Esq.	2
19-02286	Charlotte, NC	08/13/2019	03/05/2020	03/20/2020	13686	HD Vest Investment Services	ISC	4009416	Dorothy H. Yandle	SC	FA Expungement LLC	NO	OB	G	Leonard E. Benade, PhD	1
19-02325	Jacksonville, FL	08/16/2019	02/13/2020	03/21/2020	149777	Morgan Stanley	ISC	4873382	David James Vigil	FL	HLBS Law	NO	NO/NN	G	Karl A. Vogeler, III	1
19-02037	Phoenix, AZ	07/24/2019	03/04/2020	03/23/2020	29604; 20068	National Planning Corporation; SunAmerica Securities Incorporated	ISC (SAS); Saretsky Hart et al. (NP)	1622349	James Harman Bishopp	AZ	AdvisorLaw LLC	NO	NO-D	G	Walter Steven Schwartz	1
19-02247	New York, NY	08/08/2019	02/25/2020	03/23/2020	119037; 26816	Laidlaw & Company (UK) Limited; Sands Brothers & Company Limited	ISC	2280460	Craig Aaron Bonn	CT	FA Expungement LLC	NO	NO	G	Jill Pilgrim, Esq.	1
19-02324	Jacksonville, FL	08/16/2019	03/10/2020	03/23/2020	8174	UBS Financial Services Incorporated	ISC	4873382	David James Vigil	FL	HLBS Law	NO	NO	G	Brian Michael Kane	1
19-02391	Chicago, IL	08/23/2019	03/19/2020	03/23/2020	12963	Money Concepts Capital Corporation	ISC	1957486	Roch Richard Tranel	IL	Akerman LLP	NO	NN	G	Mark L. Miller, Esq.	1
19-02291	Minneapolis, MN	08/14/2019	02/18/2020	03/23/2020	10205	Securities America Incorporated	ISC	2496814	Tiow Keng Chan	MN	FA Expungement LLC	NO	NO	G	Phyllis Karasov, Esq.	2
19-02656	Boca Raton, FL	09/02/2019	03/12/2020	03/24/2020	7569	National Securities Corporation	ISC	2275878	Carter David Mansbach	FL	FA Expungement LLC	NO	NO	D	David P. Slater, Esq.	1
19-02796	Boca Raton, FL	09/16/2019	03/11/2020	03/24/2020	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	1413495	Marc Allan Silverman	FL	Winget Spadafora & Schwartzberg	NO	OB	G	Mark C. Perry, Esq.	1
19-02959	New York, NY	10/01/2019	03/04/2020	03/25/2020	630	CIBC World Markets Corporation	ISC	2064602	Chuck A. Roberts	FL	AdvisorLaw LLC	NO	OB	G	Paul S. Biederman	1
19-01174	New Orleans, LA	04/26/2019	03/12/2020	03/25/2020	7461; 44848	FSC Securities Corporation; Kovack Securities Incorporated	ISC	1211573	Stanley Jerome Keyes	LA	AdvisorLaw LLC	NO	OB/NO	G/D	Mark C. Watler, JD	1
19-03300	Philadelphia, PA	11/04/2019	03/18/2020	03/25/2020	705	Raymond James & Associates Incorporated	ISC	2788918	Terrence Victor Fant	PA	AdvisorLaw LLC	NO	NO	G	Louis P. Wagman	1
19-02294	Wilmington, DE	08/14/2019	02/27/2020	03/25/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	52858	Richard Joseph Conway	PA/MD	FA Expungement LLC	NO	NO	G	Robert E. Anderson, Esq.	1

19-02230	Phoenix, AZ	08/07/2019	02/25/2020	03/26/2020	14251	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	1899582	Wayne David Kandas	AZ	AdvisorLaw LLC	NO	NO		G	Walter Steven Schwartz	1
19-02682	Phoenix, AZ	09/05/2019	03/02/2020	03/26/2020	6363	Ameriprise Financial Services Incorporated	ISC	2219819	William Patrick O'Connell	AZ	AdvisorLaw LLC	NO	NO		G	Walter Steven Schwartz	1
19-02546	Atlanta, GA	08/26/2019	03/19/2020	03/26/2020	250; 19616	Edward D Jones & Company Limited Partnership; Wells Fargo Clearing Services LLC	ISC	2141392	Scott Alan Tittle	GA	Kalberer LLP	NO	NO/NN		G	James C. Hoover, Esq.	1
19-02720	New Orleans, LA	09/10/2019	03/09/2020	03/26/2020	13686	HD Vest Investment Services	ISC	1835466	Craig Anthony Cheramie	LA	AdvisorLaw LLC	NO	NO		G	Brian P. Jakes, Sr.	1
19-02046	Los Angeles, CA	07/24/2019	03/24/2020	03/26/2020	30833	Centaurus Financial Incorporated	ISC	4625407	Troy Nicholas Tremblay	TN	Keesal Young & Logan	NO	NO		G	Joyce L. Hurley	1
19-02262	Baltimore, MD	08/12/2019	03/23/2020	03/27/2020	129052	PNC Investments	Seyfarth Shaw LLP	5162145	Shaun Michael Blakeslee	MD	AdvisorLaw LLC	NO	NO		G	Jane Kwok Ping Tam	1
19-02060	New York, NY	07/25/2019	03/10/2020	03/27/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1661585	Joseph James Guarneri	NJ	Law Offices of Patrick R. Mahoney PC	NO	NO		G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
19-02297	Milwaukee, WI	08/14/2019	03/19/2020	03/30/2020	61	BC Ziegler & Company	Quarles & Brady	4270102	Michael Alan Kramer	WI	AdvisorLaw LLC	NO	NO		G	Leon Fox, JD	1
19-02859	Tampa, FL	09/23/2019	03/26/2020	03/31/2020	468	Signator Investors Incorporated	ISC	3124826	Kevin Michael Burkart	FL	Wolper Law Firm PA	NO	NO		G	John P. Cullem, Esq.	1
19-02228	New York, NY	08/07/2019	02/13/2020	03/31/2020	7569	National Securities Corporation	ISC	5324620	Mark Sam Kolta	NY/FL	FA Expungement LLC	NO	NO		G	Robert E. Anderson, Esq.	1
19-02186	New York, NY	08/05/2019	02/18/2020	04/01/2020	34171	Windsor Street Capital Limited Partnership	No-show	4562149	Nas Adel Allan	NY	AdvisorLaw LLC	NO	UN		D	Brian John Gallagher	1
19-01362	Cincinnati, OH	05/15/2019	02/11/2020	04/01/2020	173962	Bankers Life Securities Incorporated	Steven K. Huffer & Associates PC	6065805	Ryan Owen Tarjanyi	OH	FA Expungement LLC	OB	UN		D	Joseph R. Soraghan, Esq.	2
19-01944	Boston, MA	07/15/2019	01/24/2020	04/02/2020	10409	MML Investors Services LLC	Stevens & Lee	2125752	Gregory Jude Pinto	MA	Wolper Law Firm PA	NO	NO		G	John Francis Markuns	2
19-02597	New York, NY	08/28/2019	03/10/2020	04/02/2020	25574	Chase Investment Services Corporation	Duane Morris LLP	4746630	Ryan Ackerhalt	NY	FA Expungement LLC	NO	OB/NO		G	Albert Rizzo	1
19-02861	Boston, MA	09/23/2019	03/31/2020	04/03/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1588238	Terence Hugh Hunt	MA	AdvisorLaw LLC	NO	NO		G	Robert J. Ambrogi, Esq.	1
19-02995	New York, NY	10/04/2019	03/26/2020	04/03/2020	79	JP Morgan Securities LLC	Duane Morris LLP	2941440	Baruch Azulay	NJ	Kaufmann Gildin & Robbins	NO	NO		G	Richard W. Vallario, Esq.	1
19-03100	Newark, NJ	10/16/2019	03/23/2020	04/03/2020	25766	Hennion & Walsh Incorporated	ISC	2048378	William Hennion	NJ	ISC	NO	NO		G	Robert E. Anderson, Esq.	1

19-03183	Newark, NJ	10/23/2019	03/24/2020	04/06/2020	25766	Hennion & Walsh Incorporated	ISC	5562238	Marc S. Strafaci	NJ	ISC	NO	NO		D	Jack Friedman, Esq.	1
19-02830	Hartford, CT	09/19/2019	03/30/2020	04/06/2020	6413	LPL Financial LLC	ISC	5444676	Careena Patel	TX	AdvisorLaw LLC	NO	NO		G	Robert E. Anderson, Esq.	1
19-03294	Boca Raton, FL	10/28/2019	03/26/2020	04/07/2020	10205	Securities America Incorporated	ISC	813761	Robert Wayne Warther	FL	Galvin Legal PLLC	NO	NO		G	Robert G. Geeseman, Esq. - Chair; Diane M. Perry, Esq.; Tiffany Ann Taylor	1
19-03102	Newark, NJ	10/16/2019	03/19/2020	04/07/2020	19616	Wells Fargo Clearing Services LLC	ISC	2380078	Nicole McGrouther	NJ	Ghabai Law Group LLC	NO	NO		G	Michael H. DuBoff, Esq.	1
20-00295	New York, NY	01/24/2020	03/27/2020	04/07/2020	7059	Citigroup Global Markets Incorporated	ISC	4364418	Cesar Chicayban Neto	NY	Bressler Amery & Ross	NO	NO		G	Madelon M. Rosenfeld, Esq.	1
19-02551	Boca Raton, FL	08/26/2019	03/18/2020	04/08/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2580309	Kirk L. Gravelle	FL	Stein & Stein	NO	NN		G	Seth L. Finkel, Esq. - Chair; Rosemarie Ann Jannuzzi, Esq.; Gregory S. Tendrich, Esq.	1
19-02739	New York, NY	09/11/2019	03/30/2020	04/08/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1972675	Paula M. Steinberg	NY	AdvisorLaw LLC	NO	NO		G	Michael S. Lazan, Esq.	1
19-03132	Los Angeles, CA	10/17/2019	04/02/2020	04/09/2020	8174	UBS Financial Services Incorporated	Keesal Young & Logan	4398013	Barak Raviv	CA	FA Expungement LLC	NO	NO		G	Richard Maurice Robinson	1
19-02961	New York, NY	10/01/2019	03/30/2019	04/09/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2064602	Chuck A. Roberts	FL	AdvisorLaw LLC	NO	NO		G	Madelon M. Rosenfeld, Esq.	1
19-02585	Chicago, IL	08/28/2019	04/01/2020	04/09/2020	7471	Prudential Equity Group LLC	Paduano & Weintraub	1401784	William Laheta	IL	Lewitas Hyman P.C.	NO	NO		G	Thomas F. Mahoney, Esq.	1
19-03112	New York, NY	10/16/2019	03/26/2020	04/09/2020	7784	Fidelity Brokerage Services LLC	ISC	5548415	Bryan S. Hwang	NJ	Bressler Amery & Ross	NO	OB		G	Richard W. Cutler, Esq.	1
19-03333	Charlotte, NC	11/07/2019	04/08/2020	04/13/2020	8032	Commonwealth Financial Network	ISC	2593939	Robert Carlton Blakely	NC	Shumaker Loop & Kendrick	NO	NO-D		G	Susan L. Luck - Chair; Dwane Edward Vickstrom; Robert T. Allen, Jr.	1
19-01484	Charlotte, NC	05/29/2019	12/17/2019	04/13/2020	241	Woodbury Financial Services Incorporated	ISC	2124713	Steven Matthew Broughton	SC	FA Expungement LLC	NO	NN		G	Michael J. Ahlstrom, Esq.	1
19-02390	Tampa, FL	08/20/2019	03/23/2020	04/14/2020	6413	LPL Financial LLC	ISC	2666498	Shon Edward Flaharty	FL	HLBS Law	NO	NO		G	John P. Cullem, Esq.	1
19-03186	Tampa, FL	10/23/2019	04/08/2020	04/15/2020	18312; 30833	Trustmont Financial Group Incorporated; Centaurus Financial Incorporated	No-show (TFG); ISC (CF)	5525226	Marc Frederick Korsch	FL	HLBS Law	NO	OB		G/D	Karl A. Vogeler, III	1
19-02765	Los Angeles, CA	09/13/2019	04/03/2020	04/16/2020	79	JP Morgan Securities LLC	ISC	4859919	Justin John Pearce	CA	Keesal Young & Logan	NO	NO		G	Elliott David Finkel, Esq.	1

19-01639	Los Angeles, CA	06/11/2019	03/25/2020	04/17/2020	30833; 29604	Centaurus Financial Incorporated; National Planning Corporation	ISC (CF); Saretsky Hart et al. (NP)	2373728	Steven Phillip Margulin	NM	The Law Offices of Tyson W. Kovash	NO	NO-D		G	George L. Tindall	1
19-02767	Houston, TX	09/16/2019	04/15/2020	04/17/2020	15340	Cetera Investment Services LLC	ISC	2898756	Bradley Alan Bowman	TX	AdvisorLaw LLC	NO	NO		G	Lynne M. Gomez, Esq.	1
19-01922	Portland, OR	07/11/2019	04/02/2020	04/17/2020	250	Edward D Jones & Company Limited Partnership	ISC	3006712	Benjamin Alfred Lanphar	WA	Gregory B. Simon Law LLC	NO	NO		G	David William Hickman, JD	1
19-03274	Jacksonville, FL	11/01/2019	04/14/2020	04/20/2020	8209	Morgan Stanley & Company Incorporated	ISC	4467442	Robert R. Franskousky	FL	Wolper Law Firm PA	NO	NO		G	Louis David Huss	1
19-02962	New York, NY	10/01/2019	04/09/2020	04/22/2020	149777	Morgan Stanley Smith Barney LLC	ISC	2064602	Chuck A. Roberts	FL	AdvisorLaw LLC	NO	OB		G	Robert E. Anderson, Esq.	1
19-01650	Charlotte, NC	06/11/2019	01/17/2020	04/23/2020	44337	Kalos Capital Incorporated	ISC	5976309	Steven Andrew Greer	NC	FA Expungement LLC	NO	NO		G	Richard James Igou	2
19-02971	Oklahoma City, OK	10/02/2019	04/17/2020	04/24/2020	6363	Ameriprise Financial Services Incorporated	ISC	4248245	Brandt Thomas Brock	OK	AdvisorLaw LLC	NO	NO		G	C. Sumpter Logan	1
19-01623	Milwaukee, WI	06/10/2019	04/16/2020	04/24/2020	2881	Northwestern Mutual Investment Services LLC	ISC	2480237	Eric David Raether	WI	AdvisorLaw LLC	NO	OB		D	Michael S. Matek, Esq.	1
19-00967	New York, NY	04/09/2019	03/18/2020	04/27/2020	13572	Cetera Advisor Networks LLC	ISC	1432179	Ralph Lawrence Roth	NY	Jardim Meisner & Susser	NO	NN		G	Howard L. Sobel	1
19-02748	Syracuse, NY	09/12/2019	04/15/2020	04/27/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2131707	Michael Christopher Hearn	NY	None	NO	NN		G	Robert E. Anderson, Esq. - Chair; Richard D. Rosenbloom, Esq.; Francis Xavier Daumen	1
19-00217	San Francisco, CA	01/16/2019	08/08/2019	04/28/2020	15667	First Midwest Securities Incorporated	No-show	4412927	Clayton Kwok Shum	CA	HLBS Law	NO	NN		D	Michael Lancaster Garcia	4
19-03182	New York, NY	10/23/2019	04/13/2020	04/30/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1447057	Arthur J. Springer	NY	Deutsch & Lipner	NO	NO		G	Richard W. Cutler, Esq.	1
19-03184	Las Vegas, NV	10/23/2019	04/08/2020	05/01/2020	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2712185	David Marcus Winchell	NV	AdvisorLaw LLC	NO	NO		G	Mary M. O'Neil	1
20-00601	New York, NY	02/20/2020	04/28/2020	05/01/2020	8174	UBS Financial Services Incorporated	ISC	1538649	Mark Kravietz	NY	Bressler Amery & Ross	NO	NO		G	Anna Lascar	1
19-03172	Los Angeles, CA	10/22/2019	04/23/2020	05/04/2020	19616	Wells Fargo Clearing Services LLC	ISC	2660297	Patrick Fernando Infante	CA	AdvisorLaw LLC	NO	NO		G	Benjamin F. Breslauer	1

18-04072	Baltimore, MD	11/30/2018	03/20/2020	05/04/2020	11025	Wells Fargo Advisors Financial Network	ISC	848350	John Kirkland Moy	MD/FL	Crowe & Dunlevy	NO	NO	G	Jane Kwok Ping Tam - Chair; Edward J. Gutman; Joan H. Palmer	1
19-02660	St. Louis, MO	09/03/2019	03/26/2020	05/05/2020	152517	Larson Financial Securities LLC	ISC	4422245	Paul Douglas Larson	MO/FL	AdvisorLaw LLC	NO	OB	D	Michael S. Matek, Esq.	3
19-03341	Newark, NJ	11/08/2019	05/04/2020	05/06/2020	25803	Triad Advisors LLC	ISC	1324495	Timothy Brian Kenyon	NJ	Hamburger Law Firm	NO	NO	D	Robert R. Salzman, Esq. - Chair; Fred S. Pieroni; Francine Barbara Colon	1
19-03053	Denver, CO	10/09/2019	04/07/2020	05/07/2020	6413	LPL Financial LLC	ISC	2844692	Jeffrey Arthur Gore	CO	Ghabai Law Group LLC	NO	NO	G	Philip J. Glick, Esq.	2
19-02661	Chicago, IL	09/03/2019	05/04/2020	05/07/2020	10205	Securities America Incorporated	ISC	4486597	Patricia Mary Loris	MI	AdvisorLaw LLC	NO	NO	G	Donald M. Thompson, Esq.	1
19-02762	Phoenix, AZ	09/13/2019	03/19/2020	05/08/2020	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	1791642	Michael John Osland	AZ	AdvisorLaw LLC	NO	OB/NO	G/D	Jay Lawrence Witkin, Esq.	2
19-02801	Las Vegas, NV	09/17/2019	05/05/2020	05/08/2020	4	AG Edwards & Sons Incorporated	ISC	2976789	Derek David Rosenberg	NV	AdvisorLaw LLC	NO	NN	G	Andrew M. Mintzer, CPA	1
19-03420	Dallas, TX	11/15/2019	05/01/2020	05/08/2020	149777	Morgan Stanley	Keesal Young & Logan	1380125	James D. Stoker II	TX	Berry Odom LLP	NO	NO	G	David A. Schuler	1
19-03390	Las Vegas, NV	11/13/2019	05/06/2020	05/11/2020	25574	Chase Investment Services Corporation	Duane Morris LLP	4805933	Nicholas Joseph Hickly	NV	AdvisorLaw LLC	NO	NO	G	Milton N. Gross	1
19-02738	New York, NY	09/11/2019	04/06/2020	05/13/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1972675	Paula M. Steinberg	NY	AdvisorLaw LLC	NO	NO/NN	G	Carolyn A. Mann	1
19-03261	Philadelphia, PA	10/31/2019	04/27/2020	05/14/2020	6413	LPL Financial LLC	ISC	4136017; 2513167	Gary T. Plessli; Kevin D. Houser	PA; PA	Shumaker Loop & Kendrick	NO	OB	G	John J. Jordan, Esq. - Chair; Stephen J. Scherf; Dale A. Pope	2
19-03458	Detroit, MI	11/19/2019	05/13/2020	05/15/2020	19616	Wells Fargo Advisors LLC	ISC	4361735	David Anthony Smith	MI	Joseph H. Spiegel PLLC	NO	NO-D	G	Jeffry Mark Bauer, Esq.	1
19-02880	New York, NY	09/25/2019	05/12/2020	05/15/2020	816	Credit Suisse Securities (USA) LLC	ISC	2931369	Glenn Paul Wittpenn	NY	AdvisorLaw LLC	NO	NO	G	Roger B. Jacobs	1
19-03155	Newark, NJ	10/21/2019	04/27/2020	05/19/2020	6363	Ameriprise Financial Services Incorporated	ISC	2525791	Matthew Romolo Rotella	NJ	AdvisorLaw LLC	NO	NN	G	Michael H. DuBoff, Esq.	1
19-03118	Orlando, FL	10/17/2019	05/14/2020	05/20/2020	149777	Morgan Stanley	ISC	4188786	Gregory D. Velho	FL	HLBS Law	NO	NO	G	John P. Cullem, Esq.	1
19-02958	New York, NY	10/01/2019	04/27/2020	05/26/2020	27870	M.J. Whitman Incorporated	No-show	2064602	Chuck A. Roberts	FL	AdvisorLaw LLC	NO	NO	G	Alice E. Winkler, Esq.	1
19-03283	Newark, NJ	11/01/2019	05/12/2020	05/26/2020	8174	UBS Financial Services Incorporated	ISC	709165	Michael Greenstone	FL/NY	Law Offices of Patrick R. Mahoney PC	NO	NN	G	Linda J. Baer, Esq.	1
19-03020	New York, NY	10/07/2019	04/30/2020	05/26/2020	7569	National Securities Corporation	ISC	4837400	Adam Ruben Figueroa	NJ	FA Expungement LLC	NO	NO	G	Richard W. Cutler, Esq.	1
19-03133	Los Angeles, CA	10/17/2019	05/26/2020	05/27/2020	705	Raymond James & Associates Incorporated	ISC	1979568	Lisa Ann Detanna	CA	RMO LLP	NO	NO	G	Robert E. Jenks	1

19-03744	Hartford, CT	12/19/2019	04/28/2020	05/27/2020	6363	Ameriprise Financial Services Incorporated	ISC	2552360	Robert John Lucarelli	CT	Saretsky Hart et al.	NO	NO	G	Thomas Matthew Madden	1
19-02657	New York, NY	08/29/2019	03/27/2020	05/27/2020	14503	VSR Financial Services Incorporated	ISC	1131557	Marc Alan Seeherman	NY	Winget Spadafora & Schwartzberg	NO	NO/NN	G	Ted M. Rosen, Esq.	1
19-02515	Seattle, WA	08/23/2019	05/05/2020	05/27/2020	250	Edward D Jones & Company Limited Partnership	ISC	4694647	Heather Alleyn Lewis	WA	McDougal Law Group P.S.	NO	OB/NO	G	Joseph C. Roberts, Esq. - Chair; Kenneth James Pedersen; Robert E. Meston	1
19-03699	Charlotte, NC	12/16/2019	05/19/2020	05/28/2020	19616	Wells Fargo Clearing Services LLC	ISC	1816494	Keith Gregory Kepley	NC	Womble Bond Dickinson (US) LLP	NO	NO	G	Patricia Horan Latham, Esq.	1
19-03489	Newark, NJ	11/21/2019	05/19/2020	05/29/2020	31194	RBC Capital Markets LLC	Dorsey & Whitney	4562310	Ross Evan Feigen	FL	Maryana Feigen, Attorney-at-Law	NO	OB	G	Paul Allan Massaro	1
20-00297	New Orleans, LA	01/24/2020	05/21/2020	05/29/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1456435	Theodore John Longo	MS	Crowe & Dunlevy	NO	NO	G	Lynne M. Gomez, Esq. - Chair; Brian P. Jakes, Sr.; Eric M. Schorr	1
19-03402	Raleigh, NC	11/13/2019	05/04/2020	05/29/2020	15296	Securian Financial Services Incorporated	Faegre Drinker et al.	2593939	Robert Carlton Blakely	NC	Shumaker Loop & Kendrick	NO	NO	G	John P. Cullem, Esq. - Chair; Joseph Aloysius Newcomb; Charles K. ReCorr	2
19-03843	Boca Raton, FL	12/27/2019	05/21/2020	05/29/2020	5397	David Lerner Associates Incorporated et al.	ISC	2127565; 5034416	Gerard Crean; Darren Nomberg	NY; FL	Thompson Hine LLP	NO	NO	G	Carl Shechter, Esq.	1
19-02555	Boca Raton, FL	08/26/2019	05/22/2020	06/01/2020	7059; 11025	Citigroup Global Markets Incorporated); Wells Fargo Advisors Financial Network LLC	Kauff Laton Miller LLP (CGM); ISC (WFAN)	3198765	Michael Joseph Cowan	FL	HLBS Law	NO	NO	G/D	Leslie L. Cooney, Esq.	1
19-03059	Birmingham, AL	10/10/2019	04/22/2020	06/01/2020	705	Raymond James & Associates Incorporated	ISC	869210	Eugene Temple Millsap	GA/AL	Bressler Amery & Ross	NO	NO	G	Brock Bingham Gordon, Sr.	2
19-03192	Denver, CO	10/23/2019	05/28/2020	06/02/2020	6627	AXA Advisors LLC	ISC	4739051	Rex C. Emery	CO	HLBS Law	NO	NO	D	Susan L. Walker, Esq.	1
19-02781	Los Angeles, CA	09/16/2019	05/12/2020	06/04/2020	79	JP Morgan Securities LLC	Satterlee Stephens LLP	5673101	Luis-Diego Quiroz	CA	HLBS Law	NO	NO	G	Robert D. Sussin, Esq.	1
19-03263	San Francisco, CA	10/31/2019	05/26/2020	06/04/2020	250	Edward D Jones & Company Limited Partnership	ISC	4752191	Andrew Lane Howard	CA	HLBS Law	NO	NN	G	Daniel M. Yamshon, Esq.	1

19-03019	New York, NY	10/07/2019	05/12/2020	06/08/2020	7569; 35459; 40982	National Securities Corporation; Joseph Stevens & Company Incorporated; John Thomas Financial	ISC (NS); No-show (JS&C, JTF)	4699678	Felippe Teixeira Alves	FL	FA Expungement LLC	NO	NO		D	William G. Binckes, Esq.	1
19-03636	Dallas, TX	12/10/2019		06/08/2020	566; 13787; 39543; 6413	Keybanc Capital Markets Incorporated; UVEST Financial Services Group Incorporated; Cambridge Investment Research Incorporated; LPL Holdings Incorporated	Ulmer & Berne (KCM); ISC (UVEST); No-show (CIR & LPL)	2864199	James T. Buto	PA	Knox McLaughlin et al.	E	UN		D	Nicole T. LeBoeuf, Esq.	0
20-00090	Columbia, SC	01/09/2020	05/29/2020	06/08/2020	6413	LPL Financial LLC	ISC	5786421	Christopher Bryan Mise	SC	FA Expungement LLC	NO	NO		G	Maurice M. Feller, Esq.	1
19-03452	Newark, NJ	11/19/2019	06/03/2020	06/09/2020	23910	First Institutional Securities LLC	Dorsey & Whitney	1127337	David William Manning	NJ	AdvisorLaw LLC	NO	NO		G	Joan M. Traub, Esq.	1
19-03396	Phoenix, AZ	11/13/2019	05/19/2020	06/10/2020	20068	SunAmerica Securities Incorporated	ISC	3024634	Todd Michael Foster	AZ	AdvisorLaw LLC	NO	NO		G	Jay Lawrence Witkin, Esq.	1
19-02072	Hartford, CT	07/26/2019	06/03/2020	06/10/2020	10409	MML Investors Services LLC	Stevens & Lee	5735299; 6678142	Justin T Podielski; Xochil A. Rivera	CT; CT	O'Connell Attmore & Morris	NO	NO		G	Mark Stuart Gurevitz - Chair; Samuel Harrison Chorches, Esq.; Dale S. Cronnell, CFP	1
19-02717	Washington, DC	09/09/2019	04/20/2020	06/10/2020	7471	Prudential Equity Group LLC	Paduano & Weintraub	1091024	Scott Shulman	FL/MD	AdvisorLaw LLC	NO	NO/NN		G/D	Patricia Horan Latham, Esq.	1
19-03156	New York, NY	10/21/2019	06/02/2020	06/10/2020	31194	RBC Capital Markets LLC	Dorsey & Whitney	1232727	John Bernard Moran	NJ	Offit Kurman	NO	NO		G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
19-02825	Las Vegas, NV	09/19/2019	05/28/2020	06/10/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2976789	Derek David Rosenberg	NV	AdvisorLaw LLC	NO	NO		G	Kirtley M. Thiesmeyer, Esq.	1
19-03322	San Juan, PR	11/06/2019	05/21/2020	06/10/2020	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	1619094	Haydee M. Delgado	PR	Toro Colon Mullet PSC	NO	NO		G	Martin A. Feigenbaum, Esq.	1
19-01658	Birmingham, AL	06/12/2019	04/20/2020	06/11/2020	705	Raymond James & Associates Incorporated	ISC	2062655	Karen Lynn Gallahar	AL	Bressler Amery & Ross	NO	NO		G	Michael J. Ahlstrom, Esq.	2
19-03308	Los Angeles, CA	11/05/2019	06/02/2020	06/11/2020	4	AG Edwards & Sons Incorporated	ISC	4768202	Aaron Jeffrey Clark	CA	HLBS Law	NO	NN		G	Barbara M. Zak, Esq.	1
19-03617	San Francisco, CA	12/06/2019	06/03/2020	06/12/2020	628	Fifth Third Securities Incorporated	ISC	2811386	Virgil John Threlkeld	CA	Barr & Young	NO	NO		G/W	Daniel M. Yamshon, Esq.	1

19-02937	Charlotte, NC	09/30/2019	04/27/2020	06/12/2020	103857; 17839	USA Financial Securities Corporation; The Investment Center Incorporated	ISC	2286666	Gerald Best Hanifan, Jr.	NC	AdvisorLaw LLC	NO	OB/NO	G/D	Richard E. Miley	1
19-03369	Las Vegas, NV	11/12/2019	05/12/2020	06/12/2020	6413	LPL Financial LLC	ISC	2536023	Craig Brimhall Nelson	UT	AdvisorLaw LLC	NO	NO	G	Erik R. Siering	1
19-02315	Newark, NJ	08/15/2019	03/24/2020	06/12/2020	7059; 7691	Citigroup Global Markets Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Kauff Laton Miller LLP (CGM); Bressler Amery & Ross (MLPFS)	3184790	Stephen P. O'Donnell, Sr.	WY	AdvisorLaw LLC	NO	OB	G	Robert E. Anderson, Esq.	2
19-03092	Tampa, FL	10/15/2019	06/02/2020	06/15/2020	149777	Morgan Stanley	ISC	4271240	Stephen Overton	FL	HLBS Law	NO	NO	G	Martin M. Van Luven	1
19-03526	Little Rock, AR	11/27/2019	06/02/2020	06/16/2020	250	Edward D Jones & Company Limited Partnership	Bressler Amery & Ross	5876965	David Michael Butler	AR	AdvisorLaw LLC	NO	OB	G	Julie Marie Miller	2
19-03379	Denver, CO	11/12/2019	06/02/2020	06/16/2020	10299; 6413	Cetera Advisors LLC; LPL Financial LLC	ISC	1708804	Kevin Scott Sanderford	CO	HLBS Law	NO	NO	G/D	Frances Johnson-Wright, Esq.	1
19-03247	Boca Raton, FL	10/29/2019	05/29/2020	06/16/2020	19616	Wells Fargo Advisors LLC	ISC	2879802	Michele Elaine Kief	FL	Stein & Stein	NO	NO-D	G	Will Murphy, Esq. - Chair; Mark Allen Bilawsky; Sandra J. Bakalus	1
19-03580	Los Angeles, CA	12/04/2019	05/27/2020	06/16/2020	8361; 166401	A.G.P./Alliance Global Partners; Digital Offering LLC	Kaufman Dolowich & Voluck (AGP); ISC (DO)	5380092	Hemant Kathuria	NV	Kalberer LLP	NO	OB/NO	G	Milton N. Gross	1
19-01358	New York, NY	05/15/2019	05/28/2020	06/16/2020	6627; 4039	AXA Advisors LLC; The Equitable Life Assurance Society of the United States	ISC	1651751	Ferdinand Alexander Ruplin	NY	FA Expungement LLC	NO	NO	G	Sam Antar, Esq.	1
19-03045	New York, NY	10/09/2019	05/14/2020	06/17/2020	40982	John Thomas Financial	No-show	4647779	Evan S. Taub	NJ	FA Expungement LLC	NO	NO	G	William E. Nuckel	1
19-03368	Salt Lake City, UT	11/12/2019	05/27/2020	06/17/2020	23131	Royal Alliance Associates Incorporated	ISC	2536023	Craig Brimhall Nelson	UT	AdvisorLaw LLC	NO	NO	G	Mary Margaret Bush, Esq.	1
19-02021	Wilmington, DE	07/22/2019	03/25/2020	06/18/2020	8408	Capital Financial Services Incorporated	Corporate Legal LLC	4196238	Kevin Michael Fox	PA	AdvisorLaw LLC	NO	NO/NN	G	Patrick Richard Westerkamp, Esq.	1
20-01079	Memphis, TN	04/01/2020	06/11/2020	06/18/2020	4161	Morgan Keegan & Company LLC	ISC	1771384	John Emory Wilfong	TN	Bressler Amery & Ross	NO	NO	G	Harvey R. Linder, Esq.	1
19-03589	Chicago, IL	12/05/2019	06/03/2020	06/19/2020	6363	Ameriprise Financial Services Incorporated	ISC	2468877	Jacob Thomas Fitzgerald	IL	Saretsky Hart et al.	NO	NO	G	Theodore W. Wroblewski, Esq.	2
19-03334	Los Angeles, CA	11/07/2019	06/16/2020	06/22/2020	15340	Cetera Investment Services LLC	ISC	5750600	Doris C. Lau	CA	Winget Spadafora & Schwartzberg	NO	NO	G	Andrew M. Mintzer, CPA	1

19-01937	Charlotte, NC	07/12/2019	03/03/2020	06/22/2020	8032	Commonwealth Financial Network	No-show	3185032	Suzanne Ross Street Banzet	NC	Fitzgerald Litigation	NO	NO	G	Mary E. Woytek, Esq. - Chair; Marie Paulette Levine; Stephen Edwin Anderson	1
19-02911	New York, NY	09/30/2019	05/21/2020	06/22/2020	25574; 8076	Chase Investment Services Corporation; Gilford Securities Incorporated	Duane Morris LLP (CIS); No-show (GS)	2793924	Joseph A. Medina	NY	FA Expungement LLC	NO	NO	G	Susan A. Romano	1
19-02195	Newark, NJ	08/05/2019	05/22/2020	06/23/2020	149777; 8174	Morgan Stanley; UBS Financial Services Incorporated	ISC	2128560	Ralph Brian Marra	FL	Kaufman Dolowich & Voluck	NO	NO/NN	G	Michael H. DuBoff, Esq.	1
19-03522	Boston, MA	11/20/2019	05/28/2020	06/24/2020	7462	MHA Financial Corporation	No-show	248217	C. William Hoilman Jr.	MA	AdvisorLaw LLC	NO	NO	G	Howard N. Gorney	1
19-03671	Kansas City, MO	12/12/2019	06/16/2020	06/25/2020	149777	Morgan Stanley	Keesal Young & Logan	862005	Thomas Arthur Saunders Jr.	MO	AdvisorLaw LLC	NO	OB/NO	G	David A. Schuler	1
19-02866	New York, NY	09/24/2019	06/18/2020	06/25/2020	104065	NewBridge Securities Corporation	Kaufman Dolowich & Voluck	2749073	Maxim Yutis	NY	Sallah Astarita & Cox	NO	OB/NO	G/D	Sam Antar, Esq.	1
19-02399	New York, NY	09/26/2019	06/12/2020	06/26/2020		Customers only	Customer	3020510	Stephen John Caruso	FL	Malecki Law	NO	NO	G	Howard L. Sobel - Chair; Harvey Barrison, Esq.; Shelley Teitelbaum, Esq.	1
19-00446	Wilmington, DE	02/08/2019	06/17/2020	06/26/2020	45053	Private Consulting Group Incorporated	No-show	1343003	Alan Charles Gottlob	NJ	The Gilmore Firm LLC	NO	NN	D	Gordon M. Wase, Esq. - Chair; Robert E. Anderson, Esq.; Alan J. Blocher	1
19-03527	Columbia, SC	11/27/2019	06/18/2020	06/26/2020	6255	Scott & Stringfellow LLC	Murphy & McGonigle	4781204	Eric Justin Morris	SC	AdvisorLaw LLC	NO	NO	G	Stuart K. Furman	1
19-03802	Houston, TX	12/31/2019	05/28/2020	06/26/2020	8174	UBS Financial Services Incorporated	Pratt & Flack	4794584	Nicholas Laws Erwin	TX	.S. Capital Advisors LLC	NO	NO	G	Thomas A. Martin, Esq.	1
19-03374	Hartford, CT	11/12/2019	06/17/2020	06/29/2020	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	4143396	Steven Todd Jacques	CT	None	NO	NO	G	Mark Stuart Gurevitz - Chair; Samuel Harrison Chorchos, Esq.; Eileen Devaney Leo	1
19-03364	Boca Raton, FL	11/11/2019	06/24/2020	06/29/2020	249	Oppenheimer & Company Incorporated	ISC	1355024	Craig Mitchell Goldstone	FL	None	NO	NO-D	G	Kimberly A. Gilmour, Esq. - Chair; Michael D. Felton, Esq.; Bernard S. Carrey, Esq.	1
19-02063	Newark, NJ	07/26/2019	05/13/2020	06/29/2020	6413	LPL Financial LLC	ISC	2905111	Peter Neuberger	NJ	Hamburger Law Firm LLC	NO	OB/NO	G/D	Jay Alan Kranis - Chair; Bryan David Glass; Ron Greenfield	2
19-02594	Los Angeles, CA	08/28/2019	06/10/2020	06/30/2020	6413	LPL Financial LLC	ISC	1482819	Ross Robert Pake	CA	FA Expungement LLC	NO	NO	G	Barbara M. Zak, Esq.	1
19-02735	Boca Raton, FL	09/11/2019	06/17/2020	06/30/2020	20804	United Planners' Financial Services of America	ISC	4314368	Aaron Pierce Sevigny	FL	FA Expungement LLC	NO	NO	G	Robert G. Geeseman, Esq.	1
19-03506	Portland, OR	11/22/2019	05/14/2020	06/30/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4811945	Mary Martha Caldwell	OR	AdvisorLaw LLC	NO	OB/NO	D	James John Jurinski, JD	1

19-03428	Philadelphia, PA	11/15/2019	06/23/2020	06/30/2020	10111	PFS Investments Incorporated	ISC	1394956	Howard Bruce Lashner	PA	Maynard Cooper & Gale	NO	NO	G	Diane Ciccone, Esq.	1
19-02595	San Francisco, CA	08/28/2019	05/08/2020	07/02/2020	19616	Wells Fargo Clearing Services LLC	ISC	2250204	John Kurt Baughman	CA	FA Expungement LLC	NO	NO	G	Philip Aaron Tymon, JD	1
19-03036	New York, NY	10/08/2019	05/15/2020	07/02/2020	11025	Wells Fargo Advisors Financial Network	Faegre Drinker et al.	3078584	Steven Matthew Kavall	NJ	Deutsch & Lipne	NO	NO	G	Joan M. Traub, Esq.	1
19-03255	Chicago, IL	10/31/2019	06/25/2020	07/03/2020	31194	RBC Capital Markets Corporation	Dorsey & Whitney	2670097	John Henry Piemonte	IL	Roche & Hormozi	NO	NO	G	Lynn Hirschfeld Brahlin, Esq.	1
19-03688	San Francisco, CA	12/13/2019	06/23/2020	07/06/2020	19616	Wells Fargo Clearing Services LLC	ISC	2381225	Brian Patrick Carey	CA	HLBS Law	NO	NO	G	Daniel M. Yamshon, Esq.	1
19-03319	Los Angeles, CA	11/06/2019	06/25/2020	07/07/2020	19616	Wells Fargo Clearing Services LLC	ISC	4768202	Aaron Jeffrey Clark	CA	HLBS Law	NO	NN	G	Andrew M. Mintzer, CPA	1
19-02593	Charlotte, NC	08/28/2019	05/05/2020	07/07/2020	11025	Wells Fargo Advisors Financial Network	ISC	1789031	Stephen Linden Thomas	NC	FA Expungement LLC	NO	NO	D	Joyce A. Mitchell, Esq.	1
20-00327	San Juan, PR	01/28/2020	06/25/2020	07/07/2020	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	5827677	Jose E. Chaves	PR	Toro Colon et al.	NO	NO	G	Martin A. Feigenbaum, Esq.	1
19-03476	San Francisco, CA	11/20/2019	06/22/2020	07/08/2020	19616	Wells Fargo Clearing Services LLC	ISC	3237843	Joseph Frederick Eschleman	CA	HLBS Law	NO	OB/NO	G/D	Daniel M. Yamshon, Esq.	1
20-00077	New York, NY	01/08/2020	06/25/2020	07/08/2020	5397	David A. Lerner Associates Incorporated et al.	ISC	1494481	Robert Spencer Cavanagh	NY	Thompson Hine LLP	NO	NO	G	Michael H. DuBoff, Esq.	1
20-00190	New York, NY	01/20/2020	06/24/2020	07/08/2020	149777	Morgan Stanley	ISC	2327790	Neil I. Canell	NY	Kalberer LLP	NO	NO	G	Joan M. Traub, Esq.	1
19-03285	Newark, NJ	11/01/2019	06/29/2020	07/09/2020	8174	UBS Financial Services Incorporated	ISC	709165	Michael Frank Greenstone	FL/NJ	Law Offices of Patrick R. Mahoney PC	NO	OB	G	Michael H. DuBoff, Esq.	1
19-03453	Seattle, WA	11/19/2019	06/10/2020	07/10/2020	18387	Thrivent Investment Management Incorporated	Bryan Cave et al.	5570151	Kevin Jean Pentz	WA	AdvisorLaw LLC	NO	NO	G	Daniel B. MacLeod, Esq.	1
19-02983	Los Angeles, CA	10/03/2019	06/15/2020	07/14/2020	8174	UBS Financial Services Incorporated	ISC	3111426	Robert Anthony Daly	CA	Elkins Kalt et al.	NO	NO	G	Cherie S. Lewis - Chair; Maureen Weston; Michael Lawrence Chappell	2
19-02957	New York, NY	10/01/2019	07/09/2020	07/15/2020	8174	UBS Financial Services Incorporated	ISC	2064602	Chuck A. Roberts	FL	AdvisorLaw LLC	NO	NN	G	Joan M. Traub, Esq.	1
19-03791	Orlando, FL	12/23/2019	06/23/2020	07/15/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2187541	David A. Cohen	FL	Shumaker Loop & Kendrick	NO	NO-D	G	Stuart K. Furman - Chair; Martin M. Van Luven; Thomas Roe Oldt	1
19-03566	Detroit, MI	12/03/2019	07/14/2020	07/15/2020	5685	Pruco Securities LLC	Paduano & Weintraub	2163766	Todd Michael Praschan	MI	HLBS Law	NO	NO	G	Carl E. Ver Beek, JD	1

20-00122	Charlotte, NC	01/13/2020	07/09/2020	07/15/2020	133763	Sagepoint Financial Incorporated	ISC	3222439	Christopher R. Bice	NC	AdvisorLaw LLC	NO	NO	G	Michael J. Ahlstrom, Esq.	1
20-00016	Newark, NJ	12/31/2019	07/09/2020	07/15/2020	7569	National Securities Corporation	ISC	5849065	Matthew Fleissner	NJ	FA Expungement LLC	NO	NO	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
19-03480	Phoenix, AZ	11/20/2019	06/29/2020	07/17/2020	6627	AXA Advisors LLC	ISC	1930617	Paul Thomas Rutkowski	AZ	AdvisorLaw LLC	NO	UN	D	Walter Steven Schwartz	1
19-02764	Denver, CO	09/13/2019	06/11/2020	07/17/2020	14503	VSR Financial Services Incorporated	ISC	4767535	Robert Charles Bragg	CO	HLBS Law	NO	OB/NO	G/D	Milton N. Gross	2
19-03656	New York, NY	12/11/2019	05/19/2020	07/17/2020	18487	American Portfolios Financial Services Incorporated	ISC	3260491	Jimmy William Kuhn	NY	RJM Counsel PLLC	NO	NO	G	Josian Antoine, Esq.	1
19-03158	Charleston, WV	10/22/2019	07/01/2020	07/17/2020	11025	Wells Fargo Advisors Financial Network LLC	ISC	3165624	Christopher William Hall	OH	AdvisorLaw LLC	NO	OB/NO	G/D	Michael J. Ahlstrom, Esq.	1
20-00644	Cincinnati, OH	02/25/2020	07/09/2020	07/17/2020	44337	Kalos Capital Incorporated	ISC	5106137	Curvin Elwood Miller IV	OH	FA Expungement LLC	NO	NO	G	Paul Lansing, Esq.	1
20-00191	New York, NY	01/20/2020	07/14/2020	07/17/2020	18718	JP Morgan Securities Incorporated	Duane Morris LLP	3236803	Jason E. Latos	SC	Kalberer LLP	NO	NO	G	Gerald M. Levine	1
19-03021	New York, NY	10/07/2019	06/30/2020	07/20/2020	41258	Trident Partners Limited	ISC	2562134	James S. Dolan	NY	Weltz Kakos et al.	NO	NO	G	Steven C. Kasarda	1
20-00136	Philadelphia, PA	01/14/2020	07/14/2020	07/20/2020	7452	Vanguard Marketing Corporation	ISC	6105014; 5204250	Christopher E. Goudey; Michael P. Squier	PA; AZ	Stradley Ronon et al.	NO	NO	G	James W. (Jim) Geiger	1
20-00226	San Juan, PR	01/21/2020	07/14/2020	07/20/2020	8174	UBS Financial Services Incorporated	ISC	4313868	Ricardo Eboli-Kodesh	PR	McConnell Valdes LLC	NO	NO	G	Christopher J. Klein, Esq.	1
19-03287	Newark, NJ	11/01/2019	07/14/2020	07/21/2020	8174	UBS Financial Services Incorporated	ISC	709165	Michael Frank Greenstone	FL/NJ	Law Offices of Patrick R. Mahoney PC	NO	NO	G	Robert E. Anderson, Esq.	1
19-03427	Philadelphia, PA	11/15/2019	07/14/2020	07/21/2020	10111	PFS Investments Incorporated	ISC	1394956	Howard Bruce Lashner	PA	Maynard Cooper & Gale	NO	NO	G	Carol H. Gold, Esq.	1
19-03405	Washington, DC	11/03/2019	06/25/2020	07/22/2020	39543; 10409	Cambridge Investment Research Incorporated; MML Investors Services LLC	ISC (CIR); Stevens & Lee (MML)	4460975	Casey Douglas Craig	DC	AdvisorLaw LLC	NO	NO	G	Jane C. Carney, CPA	1
19-03717	Boca Raton, FL	12/17/2019	07/15/2020	07/22/2020	8174	UBS Financial Services Incorporated	ISC	4368051	Gonzalo Castano	FL	Bressler Amery & Ross	NO	NO	G	Leslie L. Cooney, Esq.	1
19-02598	Orlando, FL	08/28/2019	05/08/2020	07/23/2020	42046	Kestra Investment Services LLC	D'Amura & Zaidman	3195375	Mitchell Brian Walk	FL	HLBS Law	NO	NO	D	Martin M. Van Luven	3
20-00446	Boca Raton, FL	02/06/2020	07/13/2020	07/23/2020	19616	Wells Fargo Clearing Services LLC	ISC	2315727; 2269265	Michael Smith Kelleher; Peter V. Caruso	MA; MA	Stein & Stein	NO	NO-D	G	Carl Shechter, Esq. - Chair; Robert G. Falbisaner; Robert J. Harvey	1

20-00789	New York, NY	03/09/2020	07/14/2020	07/23/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	6049928	Christopher J. Battaglia	NY	FA Expungement LLC	NO	NO		G	Susan A. Romano	1
19-03478	Phoenix, AZ	11/20/2019	07/07/2020	07/24/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1930617	Paul Thomas Rutkowski	AZ	AdvisorLaw LLC	NO	NN		G	Erik R. Siering	1
20-00441	San Francisco, CA	02/05/2020	06/16/2020	07/24/2020	6413	LPL Financial LLC	ISC	869077	Jane Alison Scarbrough	CA	Ghabai Law Group LLC	NO	OB		G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	2
20-00669	San Francisco, CA	02/27/2020	07/16/2020	07/24/2020	134502	Ni Advisors	ISC	2821380	Suihock Goy	CA	Ulmer & Berne LLP	NO	NO		G	Dean J. Dietrich, Esq.	1
19-03022	New York, NY	10/08/2019	07/14/2020	07/24/2020	44791; 15007	JD Nicholas & Associates Incorporated; Aegis Capital Corporation	ISC	2809819	Daniel Dvorznak	FL	Weltz Kakos et al.	NO	NO		G	Howard D. Jacob, Esq.	1
19-01880	Newark, NJ	07/03/2019	07/07/2020	07/24/2020	149777	Morgan Stanley Smith Barney	ISC	2217533	Matthew Farley Lane	NJ	Giordano Halleran & Ciesla	NO	NO		G	Robert E. Anderson, Esq. - Chair; Jay Alan Kranis; Richard Gaspare Dragotta	1
19-03758	Houston, TX	12/20/2019	07/22/2020	07/24/2020	8174	UBS Financial Services Incorporated	ISC	2490148	Dax P. McCracken	TX	Bressler Amery & Ross	NO	UN		D	Brian James Tagtmeier	1
20-00005	Minneapolis, MN	01/02/2020	07/21/2020	07/27/2020	10205	Securities America Incorporated	ISC	4055761	Dustin Neil Christopherson	MN	AdvisorLaw LLC	NO	NO		G	William M. Azkoul, JD	1
19-03695	Chicago, IL	12/16/2019	07/27/2020	07/28/2020	2881	Northwestern Mutual Investment Services LLC	ISC	1950510	Timothy Patrick McGrath	IL	AdvisorLaw LLC	NO	NO		G	Thomas F. Mahoney, Esq.	1
19-03650	San Francisco, CA	12/11/2019	07/14/2020	07/29/2020	13092	Mutual Service Corporation	Markun Zusman et al.	2321023	Thane Roland Walton	AZ	FA Expungement LLC	NO	NN		G	William Michael Samsel	1
20-00390	Jacksonville, FL	02/03/2020	07/28/2020	07/30/2020	4161; 6694	Morgan Keegan & Company LLC; Raymond James Financial Services Incorporated	ISC	4539293	Gregory Alan Scott	FL	FA Expungement LLC	NO	UN		D	Maurice M. Feller, Esq.	1
20-00645	Jacksonville, FL	02/25/2020	07/28/2020	07/30/2020	4161; 6694	Morgan Keegan & Company Incorporated; Raymond James Financial Services Incorporated	ISC	4539293	Gregory Alan Scott	FL	FA Expungement LLC	NO	UN		D	Maurice M. Feller, Esq.	1
19-03708	Washington, DC	12/16/2019	07/27/2020	07/31/2020	125437	BI Investments LLC	Kaufman Dolowich & Voluck	1063549	Carolyn Louise DiPrinzio	FL	AdvisorLaw LLC	NO	UN		D	Jane C. Carney, CPA	1
19-03715	Boca Raton, FL	12/17/2019	07/30/2020	08/05/2020	8174	UBS Financial Services Incorporated	ISC	4368051; 2532575	Gonzalo Castano; Miguel Benigno Carrillo	FL; FL	Bressler Amery & Ross	NO	NO		G	Mark Allen Bilawsky	1

20-00412	Philadelphia, PA	02/04/2020	08/03/2020	08/07/2020	19616	Wachovia Securities LLC	ISC	4299223	Jason Wayne Gonter	NJ	Lex Nova Law LLC	NO	NO	G	Mark H. Stein, JD - Chair; Emily Kay Declercq; Scott Steven Morrison (Dissents)	1
20-00011	New York, NY	12/30/2019	07/21/2020	08/07/2020	24795	Joseph Gunnar & Company LLC	John E. Lawlor, Attorney-at-Law	2423097	James V. Lombardo II	NY	FA Expungement LLC	NO	NN	G/D	Brian John Gallagher	1
20-00397	Pittsburgh, PA	02/04/2020	07/28/2020	08/09/2020	19616	Wells Fargo Clearing Services LLC	ISC	1064157	Josephine Frances Mastilak	PA	AdvisorLaw LLC	NO	NO	G	Catherine Stewart, Esq.	1
20-00045	Salt Lake City, UT	01/03/2020	07/02/2020	08/11/2020	115368	Parkland Securities LLC	ISC	3180636	Timothy Lee Pearson	UT	AdvisorLaw LLC	OB	NO	G	Terry M. Lloyd, CPA, CFA	1
20-00494	Buffalo, NY	02/11/2020	08/05/2020	08/12/2020	13609	Berthel Fisher & Company Financial Services Incorporated	ISC	5251079	Alexander L. Skabry	NY	AdvisorLaw LLC	NO	NO	G	Tracy L. Allen, Esq.	1
19-03288	Newark, NJ	11/01/2019	08/06/2020	08/13/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	709165	Michael Greenstone	FL/NJ	Law Offices of Patrick R. Mahoney PC	NO	OB	G	Martin R. Cramer	1
20-00712	Newark, NJ	03/03/2020	08/04/2020	08/13/2020	7461	FSC Securities Corporation	ISC	2922639	Christopher Paul Scalse	PA	AdvisorLaw LLC	NO	NO	G	Joan M. Traub, Esq.	1
19-02883	New York, NY	09/25/2019	07/27/2020	08/14/2020	16569	Allied Millennial Partners LLC	ISC	2702276	Thomas Edwards Grimm	NC	Weltz Kakos et al.	NO	OB/NO	G	Robert E. Anderson, Esq.	1
19-03757	Los Angeles, CA	12/20/2019	07/21/2020	08/17/2020	18697	Girard Securities Incorporated	ISC	1622477	Matthew Jon Lum	CA	HLBS Law	NO	NO	G	Gregory Douglas Stone	1
19-03711	Richmond, VA	12/16/2019	08/11/2020	08/17/2020	6413	LPL Financial LLC	ISC	1063549	Carolyn Louise DiPrinzio	FL	AdvisorLaw LLC	NO	NO	G	JoAnne Lewis Nolte	1
19-03093	Baltimore, MD	10/23/2019	08/04/2020	08/17/2020	7059; 6555; 14977	Citigroup Global Markets Incorporated; Legg Mason Wood Walker Incorporated; Morgan Stanley Smith Barney LLC	Kauff Laton Miller LLP (CGM); No-show (LMWW, MSSB)	1485343	Gary Theodore Padussis	NJ	Niles Barton & Wilmer	NO	NO/NN	G/D	David L. Ruderman, Esq.	1
20-00196	Orlando, FL	01/21/2020	08/12/2020	08/18/2020	10205	Securities America Incorporated	ISC	2986573	Dale Lawrence Cebert	FL	HLBS Law	NO	OB/NO	G	Mauricio Arcadier, JD	1

19-00003	New York, NY	01/29/2019	11/14/2019	08/18/2020	146251; 119037; 30407; 113525; 28759; 29285; 30709	Spartan Capital Securities LLC; Laidlaw & Company (UK) Limited; Prestige Financial Center Incorporated; EKN Financial Services Incorporated; Empire Financial Group Incorporated; AR Baron & Company Incorporated; Tasin & Company Incorporated	ISC (L&C); No-show (PFC, EKNFS, EFG, ARB&C, T&C)	2648082	Kerry Patrick Raheb	VT	Giordano Halleran & Ciesla	OB/NO	NN		G/D	Noel B. Berman, Esq.	3
20-00421	Honolulu, HI	02/05/2020	08/07/2020	08/19/2020	1763	H. Beck Incorporated	ISC	4884942	Katie Christine Buck	HI	HLBS Law	NO	OB/NO		G/D	Arocles Aguilar	1
19-03709	New Orleans, LA	12/16/2019	08/11/2020	08/19/2020	13686	HD Vest Investment Services	ISC	4622036	Steven Ross Johnson	LA	FA Expungement LLC	NO	NO		G	Daniel J. Pagnano, Esq.	1
20-01107	New Orleans, LA	04/03/2020	07/24/2020	08/19/2020	7059; 149777; 8174	Citigroup Global Markets Incorporated; Morgan Stanley; UBS Financial Services Incorporated	ISC	41219	Albert Edward Carpenter	LA	Bressler Amery & Ross	NO	OB/NO		G	David A. Schuler	1
19-03610	Seattle, WA	12/06/2019	07/23/2020	08/19/2020	19616	Wells Fargo Clearing Services LLC	ISC	1688192	Susan Hamblin Lawrence	UT/FL	AdvisorLaw LLC	NO	NO		G	James E. Bartels	1
20-00120	Los Angeles, CA	01/13/2020	08/03/2020	08/20/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3259997	Terance T. Power	CA	HLBS Law	NO	NO		G	Michael D. Harrison, Esq.	1
20-00356	Los Angeles, CA	01/29/2020	08/05/2020	08/20/2020	43177	JP Turner & Company LLC	ISC	4061842	Mark John Williams	CA	Gordon Rees et al.	NO	OB		G	Robert E. Jenks	1
20-00685	Orlando, FL	02/28/2020	08/12/2020	08/20/2020	11025	Wells Fargo Advisors Financial Network LLC	ISC	2991508	James Walter Pillow Jr.	FL	Shumaker Loop & Kendrick	NO	NO		G	Stuart K. Furman - Chair; John Winslow Griesser; Bernard Hornick	1
20-00502	Detroit, MI	02/12/2020	08/12/2020	08/20/2020	6413	LPL Financial LLC	ISC	4540365	Joshua M. Barron	MI	Saretsky Hart et al.	NO	NO		G	Jeffry Mark Bauer, Esq.	1
20-00148	Wilmington, DE	01/15/2020	08/12/2020	08/20/2020	241	Woodbury Financial Services Incorporated	ISC	2260319	Robert Willis Bruner	PA	AdvisorLaw LLC	NO	NO		G	Robert E. Anderson, Esq.	1
19-03166	Detroit, MI	10/22/2019	08/13/2020	08/21/2020	149777	Morgan Stanley	ISC	3189535	David Michael Himich	MI	HLBS Law	NO	NO		G	Tracy L. Allen, Esq.	1
19-03030	New York, NY	10/08/2019	08/10/2020	08/24/2020	249	Oppenheimer & Company Incorporated	ISC	1805575	Laurence Marc Stanger	CT	Weltz Kakos et al.	NO	OB/NO		G	Eric Goldman	1

20-00678	Buffalo, NY	02/27/2020	08/17/2020	08/24/2020	6627	AXA Advisors LLC	ISC	4733436	Lynda Martinsen	FL	AdvisorLaw LLC	NO	OB	G	Michael D. McDowell	1
20-00250	Cincinnati, OH	01/23/2020	08/18/2020	08/24/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2520884	William Troy Neat	OH	AdvisorLaw LLC	NO	NO	G	Gregory P. Szuter, Esq.	1
19-03108	New York, NY	10/16/2019	06/19/2020	08/24/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5254786	Alan T. Zee	TX	AdvisorLaw LLC	NO	OB	G	Ted M. Rosen, Esq.	1
20-00745	New York, NY	03/05/2020	08/11/2020	08/25/2020	249	Oppenheimer & Company Incorporated	ISC	4804419	Petar Arizanov	NY	Lax & Neville	NO	NO	G	Richard W. Cutler, Esq.	1
20-00570	New York, NY	02/18/2020	08/18/2020	08/25/2020	10641	Cadaret Grant & Company Incorporated	ISC	2386267	Eugene James Long	PA	FA Expungement LLC	NO	NO	G	Susan A. Romano	1
19-03038	New York, NY	10/08/2019	08/25/2020	08/26/2020	249; 8175	Oppenheimer & Company Incorporated; UBS Financial Services Incorporated	ISC	2039083	Paul Elias Colchamiro	NY	Weltz Kakos et al.	NO	NO	G/W	Michael H. DuBoff, Esq.	1
20-00224	Louisville, KY	01/22/2020	08/24/2020	08/27/2020	6694	Raymond James Financial Services Incorporated	ISC	860749	Thomas Parmelee Dupree Jr.	KY	AdvisorLaw LLC	NO	NO	G	James W. (Jim) Geiger	1
19-02975	Milwaukee, WI	10/03/2019	08/19/2020	08/27/2020	8174	UBS Financial Services Incorporated	ISC	1155215	Patricia Carlin Anderson	WI	AdvisorLaw LLC	NO	NO	G	Michael F. Jordan, Esq.	1
19-03375	New York, NY	11/12/2019	08/18/2020	08/28/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1849289	Paul Selvin	NJ	Law Offices of Patrick R. Mahoney PC	NO	NO	G	Arthur Neil Tolciss, Esq.	1
20-00497	Cincinnati, OH	02/12/2020	08/19/2020	08/28/2020	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	729670	Shaun Perry Nicholson	OH	HLBS Law	NO	NN	G	Mark Alexander Sipper	1
20-00117	Washington, DC	01/13/2020	07/28/2020	08/28/2020	1763	H. Beck Incorporated	D'Amura & Zaidman	735608	Phylp Arthur Wagner	VA	AdvisorLaw LLC	NO	NO	G	Mary E. Woytek, Esq.	1
19-03693	Kansas City, MO	12/16/2019	08/20/2020	08/31/2020	15840	Walnut Street Securities Incorporated	ISC	1175958	Paul Wayne Ewing	FL	AdvisorLaw LLC	NO	NO	G	Michael S. Matek, Esq.	1
19-03716	Boca Raton, FL	12/17/2019	08/26/2020	09/01/2020	8174	UBS Financial Services Incorporated	ISC	2532575	Miguel Benigno Carrillo	FL	Bressler Amery & Ross	NO	NO	G	Elena G. Rodriguez	1
19-03718	Boca Raton, FL	12/17/2019	08/20/2020	09/03/2020	8174	UBS Financial Services Incorporated	ISC	4368051	Gonzalo Castano	FL	Bressler Amery & Ross	NO	NO	G	Seth L. Finkel, Esq.	1
19-03649	Los Angeles, CA	12/11/2019	07/28/2020	09/04/2020	6694; 43177	Raymond James Financial Services Incorporated; JP Turner & Company LLC	ISC	2393598	Robert Joseph Binkele	CA	FA Expungement LLC	NO	NN	G	Barbara M. Zak, Esq.	1

20-00698	Tampa, FL	03/02/2020	09/02/2020	09/04/2020	6363	Ameriprise Financial Services Incorporated	ISC	5167229	Armand Anthony Atkinson	FL	Wolper Law Firm PA	NO	NO	G	Mimi B. Osiason	1
20-00087	Detroit, MI	01/09/2020	08/13/2020	09/04/2020	6627	AXA Advisors LLC	Miller Canfield et al.	6237532	Thomas Joseph Vandoorne, Jr.	MI	Saretsky Hart et al.	NO	NO	G	Terrance J. Dorcy	1
20-00444	San Juan, PR	02/06/2020	08/20/2020	09/04/2020	8174	UBS Financial Services Incorporated	ISC	858500; 2269112	Anita M. Brennan; Marina Sonya Tudela	PR; TX	McConnell Valdes LLC	NO	NO	G	Martin A. Feigenbaum, Esq.	1
20-00073	Washington, DC	01/08/2020	08/25/2020	09/08/2020	250	Edward D Jones & Company Limited Partnership	ISC	3212000	Nicholas John Onder	MD	FA Expungement LLC	NO	UN	D	Tina E. Patterson	1
20-00798	San Diego, CA	03/10/2020	08/27/2020	09/10/2020	102280	Burch & Company Incorporated	Berkowitz Oliver LLP	4884717	Sam Bhushan	CA	HLBS Law	NO	NO	G	Kevin K. Forrester, Esq.	1
19-03647	New York, NY	12/11/2019	08/18/2020	09/10/2020	105061	Casimir Capital Limited Partnership	No-show	2968208	Wayde C. Walker	NJ	FA Expungement LLC	NO	NO	G	Joan M. Traub, Esq.	1
20-00434	Los Angeles, CA	02/05/2020	08/24/2020	09/11/2020	615	New England Securities	No-show	4531836	Ryan O. Haslam	CA	HLBS Law	NO*	NO	G	Morris S. Getzels, Esq.	1
19-02853	Minneapolis, MN	09/23/2019	09/03/2020	09/11/2020	17868	US Bancorp Investments Incorporated	Dorsey & Whitney	2610363	Craig Steven Zeeb	MN	AdvisorLaw LLC	E, OB	UN	D	Thomas J. Gmeinder, Esq.	1
19-03694	Kansas City, MO	12/16/2019	08/26/2020	09/14/2020	10332	Vestax Securities Corporation	No-show	1175958	Paul Wayne Ewing	FL	AdvisorLaw LLC	NO	NO/NN	G	Gregory D. Hoffmann	1
20-00081	Tampa, FL	01/09/2020	09/09/2020	09/14/2020	30613	Investors Capital Corporation	ISC	2127800	William Blair Gordon	FL	Baritz & Colman	NO	UN	D	Martin M. Van Luven	1
19-02718	Pittsburgh, PA	09/10/2019	09/10/2020	09/14/2020	8174	UBS Financial Services Incorporated	ISC	703998	Ahmiel Eliezer Baum	FL/PA	AdvisorLaw LLC	NO	UN	D	Patrick Richard Westerkamp, Esq.	1
20-00882	Detroit, MI	03/17/2020	09/11/2020	09/14/2020	250	Edward D Jones & Company Limited Partnership	Law Offices of Robert J. Morad	5467385	Alicia M. McGovern	MI	, Miller Canfield et al.	NO	NO	G	Barry Goldman, Esq.	1
20-00563	Boston, MA	02/17/2020	09/01/2020	09/14/2020	149777; 7471	Morgan Stanley; Prudential Equity Group LLC	ISC (MS); Paduano & Weintraub (PEG)	2047180	John Brennan Zitzmann	RI	Kalberer LLP	NO	NO/NN	G	Michael P. Breton	1
19-03276	New York, NY	11/01/2019	09/02/2020	09/16/2020	7471	Prudential Equity Group LLC	Paduano & Weintraub	709165	Michael Frank Greenstone	FL/NJ	Law Offices of Patrick R. Mahoney PC	NO	NO/NN	G	Michael H. DuBoff, Esq.	1
20-00572	Columbus, OH	02/18/2020	09/08/2020	09/16/2020	149777	Morgan Stanley	ISC	2430537	Dean Thomas Schockling	OH	FA Expungement LLC	NO	NO	G/D	Robert J. Scafuri, Esq.	1
19-02890	Phoenix, AZ	09/26/2019	08/31/2020	09/17/2020	8174	UBS Financial Services Incorporated	ISC	721241	Andrew Joel Meyer	AZ	AdvisorLaw LLC	NO	NO	G	Walter Steven Schwartz	1
20-00797	Los Angeles, CA	03/10/2020	08/26/2020	09/17/2020	137608	Cabin Securities Incorporated	ISC	4884717	Sam Bhushan	CA	HLBS Law	NO	NO	G	Robert D. Sussin, Esq.	1

20-00362	Denver, CO	01/30/2020	09/01/2020	09/17/2020	6363	Ameriprise Financial Services Incorporated	ISC	2906329	Scott Erwin Arrasmith	CO	HLBS Law	NO	NO		G	Frances Johnson-Wright, Esq.	1
20-00996	Boca Raton, FL	03/26/2020	09/14/2020	09/17/2020	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	4841421	Joshua Matthew Garrett	FL	HLBS Law	NO	NO		G	Edward R. Niederriter, Esq.	1
20-00714	New York, NY	03/03/2020	09/08/2020	09/17/2020	13475	Summit Brokerage Services Incorporated	ISC	2922639	Christopher Paul Scalese	PA	AdvisorLaw LLC	NO	NO		G	Anna Lascar	1
20-00810	Philadelphia, PA	03/10/2020	08/26/2020	09/17/2020	103857	USA Financial Securities Corporation	ISC	2568693	Jeffrey Earl Bush Sr.	PA	FA Expungement LLC	NO	NO		G	Gregory J. Spadea	1
20-00126	New York, NY	01/14/2020	09/03/2020	09/18/2020	79	JP Morgan Securities LLC	Satterlee Stephens LLP	2955206	Anthony Joseph Caravetta	FL	FA Expungement LLC	NO	OB		G	Robert E. Anderson, Esq.	1
20-00449	Orlando, FL	02/07/2020	09/09/2020	09/18/2020	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	2555473	Frankie Ricardo Brin	FL	HLBS Law	NO	NO		G	Gail E. Sasnett, MS, JD (fka Gail E. Sasnett-Stauffer, MS, JD)	1
20-01968	Newark, NJ	06/22/2020	09/09/2020	09/18/2020	149777	Morgan Stanley	ISC	1827228	Jeffrey Michael Alecci	FL	Bressler Amery & Ross	NO	NO/NN		G	Joan M. Traub, Esq.	1
19-03814	Atlanta, GA	12/23/2019	09/02/2020	09/18/2020	705	Raymond James & Associates Incorporated	ISC	1311034	Mark David Kopkin	GA	Smiley Bishop & Porter	NO	NO		G	Michael J. Ahlstrom, Esq.	1
20-00484	Boston, MA	02/11/2020	09/15/2020	09/18/2020	298	Gleacher & Company Securities Incorporated	No-show	1548196	John W. Ohl	MA	AdvisorLaw LLC	NO	NO		G	Howard N. Gorney	1
20-00623	Newark, NJ	02/21/2020	09/15/2020	09/18/2020	25766	Hennion & Walsh Incorporated	ISC	3093471	John Vincent Wallace	NJ	ISC	NO	NO		G	Louis H. Miron, Esq.	1
20-00823	Buffalo, NY	03/11/2020	09/01/2020	09/18/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2224330	Mark Anthony Eidlin	NY	AdvisorLaw LLC	NO	NO		G	Richard W. Dissen, Esq.	1
20-00771	Columbia, SC	03/06/2020	09/16/2020	09/18/2020	16164	Transamerica Financial Advisors Incorporated	ISC	1267522	Noel Bateman Swain	SC	FA Expungement LLC	NO	NO		G	Gary E. Marcus	1
20-00626	Seattle, WA	02/21/2020	09/11/2020	09/18/2020	7870	TD Ameritrade Incorporated	Kutak Rock LLP	5134319	Robert Dainard	WA	Eversheds Sutherland (US) LLP	NO	NO		G	Kenneth James Pedersen - Chair; David William Hickman, JD; David E. Crowe	1
20-00725	Washington, DC	03/03/2020	09/15/2020	09/21/2020	39543	Cambridge Investment Research Incorporated	ISC	1150948	John Edward Girouard	DC	AdvisorLaw LLC	NO	NO		G	Patricia Horan Latham, Esq.	1
20-00639	Louisville, KY	02/25/2020	09/09/2020	09/21/2020	705	Raymond James & Associates Incorporated	ISC	2285559	Robert A.A. Brewer	KY	Maynard Cooper & Gale	NO	OB/NO		G/D	C. William (Bill) Swinford, Jr., Esq.	1
20-01212	Los Angeles, CA	04/14/2020	09/11/2020	09/21/2020	8174	UBS Financial Services Incorporated	ISC	714105; 3128429	David Joseph Van Acker; Paul Joseph Van Acker	MT; CA	Keesal Young & Logan	NO	NO		G	Robert E. Jenks	1

19-03189	Newark, NJ	10/23/2019	09/09/2020	09/21/2020	25766	Hennion & Walsh Incorporated	ISC	1919574	Stephen George Kowalski	NJ	ISC	NO	NO	G	Michael H. DuBoff, Esq.	1
20-00423	Newark, NJ	02/05/2020	09/02/2020	09/23/2020	8112	First Union Brokerage Services Incorporated	ISC	1625705	Sylvester Knox	NJ	AdvisorLaw LLC	NO	NO	G	Louis H. Miron, Esq.	1
20-00884	New York, NY	03/17/2020	09/22/2020	09/24/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2785640	Robert Alan Franchini	CT	AdvisorLaw LLC	NO	NN	G	Joan M. Traub, Esq.	1
20-00197	Orlando, FL	01/21/2020	09/10/2020	09/24/2020	29604	National Planning Corporation	Saretsky Hart et al.	2986573	Dale Lawrence Cebert	FL	HLBS Law	NO	NO/NN	G	John P. Cullem, Esq.	1
20-00948	Nashville, TN	03/23/2020	09/10/2020	09/24/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1482201	Montee Allan Sneed	TN	AdvisorLaw LLC	NO	NO	G	Michael J. Ahlstrom, Esq.	1
20-00683	New York, NY	02/28/2020	09/09/2020	09/25/2020	131431	McBarron Capital LLC	No-show	2640596	E. Stewart Johnson	CT	Locke Lord LLP	NO	OB	G	Jill Pilgrim, Esq. - Chair; Betty Chen; Jay L. Zelesnick	1
19-03454	Detroit, MI	11/19/2019	09/22/2020	09/25/2020	14754	QA3 Financial Corporation	No-show	4193481	John Douglas VanDyke	MI	HLBS Law	NO	NO	G	Tracy L. Allen, Esq.	1
20-01133	Newark, NJ	04/06/2020	09/22/2020	09/25/2020	3978	Lincoln Financial Advisors Corporation	ISC	1701376	Bruce Duncan Linger	NJ	Stradley Ronon et al.	NO	NO	G	Louis H. Miron Esq.	1
20-01184	New York, NY	04/10/2020	09/24/2020	09/25/2020	249	Oppenheimer & Company Incorporated	ISC	4742917	Michael Alexander Lackwood	NY	Sichenzia Ross Ference LLP	NO	NO	G	Michael S. Lazan, Esq.	1
20-00052	Chicago, IL	01/06/2020	09/17/2020	09/28/2020	6413	LPL Financial LLC	ISC	1507864	Bradley Joseph Armstrong	IL	FA Expungement LLC	NO	NO	G	Ray J. Grzebielski, Esq.	1
20-00746	Chicago, IL	03/05/2020	09/24/2020	09/29/2020	19616	Wells Fargo Clearing Services LLC	ISC	716052	Edward Lee Patzer	MI	AdvisorLaw LLC	NO	NO	G	Theodore W. Wroblecki, Esq.	1
20-00571	Chicago, IL	02/18/2020	09/24/2020	10/01/2020	8032	Commonwealth Financial Network	ISC	5727948	Scott Anthony Biestek	IL	FA Expungement LLC	NO	NO	G	Steven H. Vogel, Esq.	1
20-00757	Charlotte, NC	03/06/2020	09/29/2020	10/01/2020	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	4247705	Stanley Michael Ciotoli	NC	AdvisorLaw LLC	NO	NO	G	Harvey R. Linder, Esq.	1
20-00542	Dallas, TX	02/17/2020	09/23/2020	10/01/2020	13686	Avantax Investment Services Incorporated	ISC	3120830	Jeffrey Thomas Dobyms	TN	AdvisorLaw LLC	NO	NO	G	Frances Johnson-Wright, Esq.	1
20-00031	Kansas City, MO	01/03/2020	09/15/2020	10/02/2020	8174; 19616	UBS Financial Services Incorporated; Wells Fargo Clearing Services LLC	ISC	2466629	Christopher Lee Walker	MO	FA Expungement LLC	NO	NO	G	Philip J. Glick, Esq.	1
20-00506	Tampa, FL	02/14/2020	09/28/2020	10/05/2020	7684	Investacorp Incorporated	ISC	1619835	Alan Douglass	FL	Kaufman Dolowich & Voluck	NO	NO	G	Martin M. Van Luven	1
20-00666	Orlando, FL	02/27/2020	09/24/2020	10/05/2020	14503	VSR Financial Services Incorporated	ISC	1333876	Lawrence Aloysius Breen III	FL	HLBS Law	NO	NO	G	Stuart K. Furman	1

20-00791	Philadelphia, PA	03/09/2020	09/23/2020	10/05/2020	6363	Ameriprise Financial Services Incorporated	ISC	2582613	Steven Jablonski	PA	FA Expungement LLC	NO	NO	G	Joseph J. Dougherty, JD	1
19-03113	Los Angeles, CA	10/16/2019	09/16/2020	10/07/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1423763	Matthew Todd Yonally	CA	HLBS Law	NO	NO/NN	G	Michael D. Harrison, Esq.	1
19-03712	Atlanta, GA	12/16/2019	08/05/2020	10/08/2020	19948	IFG Network Securities Incorporated	ISC	1795639	Roger Scott Green	GA	AdvisorLaw LLC	NO	OB/NO	G/D	Michael J. Ahlstrom, Esq.	1
19-03547	New York, NY	11/30/2019	09/10/2020	10/08/2020	36451; 519	Great American Advisors Incorporated; Lincoln Investment	ISC (GAA); Winget Spadafora & Schwartzberg (LI)	2156683	Anthony Thomas Becker	NY	Law Office of Brian Kennedy	NO	NO	G	Steven C. Kasarda - Chair; Daniel Adam Schlein; Joanne Basso Mack	1
20-00627	San Francisco, CA	02/21/2020	09/17/2020	10/09/2020	7870	TD Ameritrade Incorporated	Kutak Rock LLP	2119957; 4706510	Daniel Chang; Steve Kim	CA; OR	Eversheds Sutherland (US) LLP	NO	NO	D	Mary Margaret Bush, Esq. - Chair; Shawn Ridgell; Gary William England	2
20-01003	Boca Raton, FL	03/26/2020	10/05/2020	10/09/2020	43981	Austin Atlantic Capital Incorporated	ISC	1008086	Rodger David Shay Jr.	FL	HLBS Law	NO	NO	G	James W. Geiger, Esq.	1
20-01127	Houston, TX	04/07/2020	09/29/2020	10/12/2020	19616	Wells Fargo Clearing Services LLC	ISC	4979717	Dustin Elliott	TX	FA Expungement LLC	NO	NO	G	G. Maynard Green, JD	1
20-00428	Newark, NJ	02/05/2020	10/07/2020	10/14/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1625705	Sylvester Knox	NJ	AdvisorLaw LLC	NO	OB/NO	D	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-00263	Los Angeles, CA	01/23/2020	09/21/2020	10/15/2020	7717	Independent Financial Group LLC	ISC	1456630	Cynthia Mary Couyoumjian	CA	HLBS Law	NO	OB	G	Robert B. Hansohn	1
20-01060	Orlando, FL	04/01/2020	10/13/2020	10/16/2020	43559	Taylor Capital Management Incorporated	No-show	1091819	Dean Robert Nowak	FL	HLBS Law	NO	NO	G	Mitchel Weiss, Esq.	1
20-00592	New York, NY	02/19/2020	10/09/2020	10/16/2020	8209	Morgan Stanley & Company LLC	ISC	1653675	Dominick John DiBona	FL/NY	AdvisorLaw LLC	NO	NO-D	G	Robert E. Anderson, Esq.	1
20-00969	Minneapolis, MN	03/25/2020	10/15/2020	10/16/2020	6413	LPL Financial LLC	ISC	4534950	Michael David Hess	MN	AdvisorLaw LLC	NO	NO	G	Tracy L. Allen, Esq.	1
20-00927	San Juan, PR	03/20/2020	09/28/2020	10/16/2020	8174	UBS Financial Services Incorporated	ISC	858500; 2269112	Anita M. Brennan; Marina Sonya Tudela	PR; TX	McConnell Valdes LLC	NO	NO	G	Elena G. Rodriguez	1
20-00688	Denver, CO	02/28/2020	09/15/2020	10/19/2020	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	1094557	Joseph Sylvester Sturniolo	CO	HLBS Law	NO	NO	G	Frances Johnson-Wright, Esq.	1
19-03816	Newark, NJ	12/26/2019	10/02/2020	10/19/2020	6363	Ameriprise Financial Services Incorporated	ISC	2156419	Timothy Morgan Burklow	NJ	AdvisorLaw LLC	NO	NO	G	Micalyn S. Harris, Esq.	1
20-00903	Newark, NJ	03/18/2020	10/06/2020	10/19/2020	30613	Investors Capital Corporation	ISC	2328614	William Scott Sheehan	NY	AdvisorLaw LLC	NO	NO/NN	G	Joan M. Traub, Esq.	1
20-00054	Kansas City, MO	01/08/2020	10/06/2020	10/20/2020	36354	George K Baum & Company	ISC	1546820	Gregory Robert Schaff	KS	FA Expungement LLC	NO	NO	G	C. Sumpter Logan	1

20-00915	Cincinnati, OH	03/20/2020	09/30/2020	10/20/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2076400	Gregory Gerrard Achten	OH	Kalberer LLP	NO	OB	G	David F. Barrett	1
20-00958	Denver, CO	03/23/2020	10/08/2020	10/21/2020	79	JP Morgan Securities LLC	Duane Morris LLP	4719669	Kelly Marie Stewart	CO	HLBS Law	NO	OB/NO	G/D	Philip J. Glick, Esq.	1
20-00972	Denver, CO	03/25/2020	09/28/2020	10/21/2020	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	2275508	Lawrence Paul Finch	CO	HLBS Law	NO	UN	D	Frances Johnson-Wright, Esq.	1
20-00664	Orlando, FL	02/27/2020	10/09/2020	10/21/2020	15708	ProEquities Incorporated	Wiand Guerra King PA	1333876	Lawrence Aloysius Breen III	FL	HLBS Law	NO	NN	G	John P. Cullem, Esq.	1
19-03546	Newark, NJ	11/27/2019	10/14/2020	10/21/2020	30613; 43177; 104065	Investors Capital Corporation; JP Turner & Company LLC; NewBridge Securities Corporation	ISC (IC, JPT&C); Kaufman Dolowich Voluck LLC (NBS)	4274243	John Owen Slipek	NJ	Holcomb & Ward LLP	NO	NO	G	Sam Antar, Esq.	1
20-01359	New York, NY	04/29/2020	10/16/2020	10/21/2020	43177	JP Turner & Company LLC	ISC	2489732	Rocco Guidici Pietro	NJ	Holcomb + Ward LLP	NO	NO	G	Howard D. Jacob, Esq.	1
20-00537	New York, NY	02/14/2020	10/05/2020	10/21/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	4257966	Anthony Kenneth Greier	NY	AdvisorLaw LLC	NO	NO	G	Robert E. Anderson, Esq.	1
20-00489	Detroit, MI	02/12/2020	10/06/2020	10/22/2020	4	AG Edwards & Sons Incorporated	ISC	1748899	Gerard Thaddeus Taylor	MI	HLBS Law	NO	NN	G	Lee Hornberger, JD	1
20-01029	Detroit, MI	03/30/2020	10/19/2020	10/23/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1444222	John William Boukamp III	FL/MI	Saretsky Hart et al.	NO	OB?	D	Jeffry Mark Bauer, Esq.	1
20-00962	Baltimore, MD	03/24/2020	10/20/2020	10/26/2020	6413	LPL Financial LLC	ISC	2547477	Vladimir Michael Greben	MD	AdvisorLaw LLC	NO	OB	G	Richard E. Lauziere, CPA	1
20-00955	Boca Raton, FL	03/23/2020	10/15/2020	10/27/2020	79	JP Morgan Securities LLC	ISC	5811066	Juan Carlos Freile Franco	FL	Leon Cosgrove LLP	NO	OB	G	Carl Shechter, Esq.	1
20-00902	Columbia, SC	03/18/2020	10/14/2020	10/27/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2761389	Michael Charles Pearson	NC	AdvisorLaw LLC	NO	NO-D	G	Michael J. Ahlstrom, Esq.	1
20-00427	Newark, NJ	02/05/2020	10/05/2020	10/27/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1625705	Sylvester Knox	NJ	AdvisorLaw LLC	NO	UN	D	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-00503	New York, NY	02/12/2020	10/21/2020	10/27/2020	119037	Laidlaw & Company (UK) Limited	ISC	4656189	James Ahern	NY	Sichenzia Ross Ference LLP	NO	NO	G	Howard D. Jacob, Esq.	1
20-00901	Houston, TX	03/18/2020	10/14/2020	10/27/2020	20580	Sanders Morris Harris Incorporated	ISC	1507901	James Allen Neuwenschwander	TX	AdvisorLaw LLC	NO	NO	G	Lynne M. Gomez, Esq.	1
19-03029	New York, NY	10/08/2018	09/30/2020	10/28/2020	44791; 41258	JD Nicholas & Associates Incorporated; Trident Partners Limited	No-show	2871712	Nicholas George Tsikitas	FL/NY	Weltz Kakos et al.	NO	OB/NO	G	Elyn S. Roth	3

20-00435	Newark, NJ	02/05/2020	10/09/2020	10/28/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1625705	Sylvester Knox	NJ	AdvisorLaw LLC	NO	UN		D	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-00239	New York, NY	01/22/2020	10/01/2020	10/28/2020	19616	Wells Fargo Clearing Services LLC	ISC	2146487	Robert Lawrence Slovinsky	NY	Law Offices of Alan S. Brodherson	NO	NO		G	Gerald M. Levine	1
20-01199	Boca Raton, FL	04/13/2020	10/22/2020	10/29/2020	6413; 133763; 2225	LPL Financial LLC; Sagepoint Financial Incorporated; SII Investments Incorporated	ISC (LPL, SF); Saretsky Hart et al. (SII)	1282026	Kevin William McBarron	CA	Louviere Law Firm	NO	NO		G	Kimberly A. Gilmour, Esq.	1
20-01158	Hartford, CT	04/08/2020	10/22/2020	10/29/2020	39543; 13980	Cambridge Investment Research Incorporated; Portsmouth Financial Services	ISC	2538140	Michael Edward Chadwick	CT	FA Expungement LLC	NO	NO		G	Steven R. Rolnick, Esq.	1
20-01365	Wichita, KS	04/30/2020	10/21/2020	10/29/2020	42046	Kestra Investment Services LLC	D'Amura & Zaidman	1757281	Jeffrey Allen Breault	KS	AdvisorLaw LLC	NO	OB		G	Joseph Neal Richardson	1
20-00131	Seattle, WA	01/14/2020	08/18/2020	10/29/2020	16164	Transamerica Financial Advisors Incorporated	ISC	4841832	Matthew Thomas Bumstead	WA	AdvisorLaw LLC	NO	NO		G	Stephany Adriene Watson, Esq.	2
20-00905	Seattle, WA	03/18/2020	10/06/2020	10/29/2020	10582	Wells Fargo Investments LLC	ISC	2385261	George Charter Harrison IV	WA	AdvisorLaw LLC	NO	NO		G	Kenneth James Pedersen	1
20-00119	Los Angeles, CA	01/13/2020	09/25/2020	10/30/2020	8174	UBS Financial Services Incorporated	ISC	3259997	Terance T. Power	CA	HLBS Law	NO	OB/NO		G	Erik R. Siering	1
19-02747	Boca Raton, FL	09/11/2019	10/23/2020	10/30/2020	17499	SunTrust Investment Services Incorporated	Gray Robinson Attorneys at Law	1972795	Vincent John Luongo	FL	None	NO	NN		G	S. Ronald Daniels - Chair; Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.); Everett Scott Youngberg	1
20-00445	Orlando, FL	02/06/2020	10/19/2020	10/30/2020	615	New England Securities	No-show	2555473	Frankie Ricardo Brin	FL	HLBS Law	NO	NO		G	Gayle B. Carlson, Esq.	1
20-00886	Orlando, FL	03/17/2020	10/23/2020	10/30/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	4166514	Heather D. Churchill	FL	HLBS Law	NO	NO/NN		G	John P. Cullem, Esq.	1
20-00988	Jacksonville, FL	03/26/2020	10/28/2020	10/30/2020	250	Edward D Jones & Company Limited Partnership	ISC	5609753	Gregory M. Smith	FL	Wiand Guerra King PA	NO	NO		G	Maurice M. Feller, Esq. - Chair; Mitchel Weiss, Esq.; Suzanne E. Reynolds-Brady	1
20-01600	Orlando, FL	05/19/2020	10/20/2020	10/30/2020	8174	UBS Financial Services Incorporated	ISC	2008236	Victor Lizardi Jr.	FL	Todd A. Zuckerbrod PA	NO	NO		G	Thomas Joseph Atkinson, Sr., JD - Chair; Ron Pekoe; Ken Ziesenheim, Esq.	1
20-00803	Augusta, ME	03/10/2020	10/07/2020	10/30/2020	6413	LPL Financial LLC	ISC	2786981	Thomas Owen Shepard	ME	AdvisorLaw LLC	NO	UN		D	Richard W. Dissen, Esq.	1
20-01545	Buffalo, NY	05/15/2020	10/15/2020	10/30/2020	18487	American Portfolios Financial Services Incorporated	No-show	3185829	Daniel Kautz	NY	RJM Counsel PLLC	NO	NO		G	Tracy L. Allen, Esq.	1

20-01031	Detroit, MI	03/30/2020	10/29/2020	11/02/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1444222	John William Boukamp III	FL; MI	Saretsky Hart et al.	NO	NO	1	D	Jeffry Mark Bauer, Esq.	1
20-00499	Chicago, IL	02/12/2020	10/14/2020	11/02/2020	25574	Chase Investment Services Corporation	Ulmer & Berne	2081518	Barry Alan Krumwiede	IL	AdvisorLaw LLC	OB/NO	E	3	G	Susanne J. Hollander, Esq.	1
19-03523	Charlotte, NC	11/27/2019	09/23/2020	11/02/2020	19616	Wells Fargo Clearing Services LLC	ISC (WF); Bressler Amery & Ross (BoAIS); No-show (LMWW); Ulmer & Berne (KC)	2774470	Joseph Patrick Roop	NC	AdvisorLaw LLC	UN	OB/NO	6	D/W	Richard H. Potter, PhD	2
20-01688	Philadelphia, PA	05/29/2020	10/13/2020	11/02/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Norton Rose Fulbright US LLP	4343206 3079418	Omar Farouk Rasheed; Brian Patrick Pugh	PA PA	McGuireWoods LLP	NO	NO	2	G	John J. Jordan, Esq. - Chair; Allen Mark Kerpan, Esq.; Michael Allen Zeiler	1
20-01171	Los Angeles, CA	04/09/2020	10/22/2020	11/04/2020	19616	Wells Fargo Clearing Services LLC	ISC	4854160	Robert Michael Tomlinson	CA	HLBS Law	NO	NO	1	G	Robert D. Sussin, Esq.	1
20-01109	Salt Lake City, UT	04/06/2020	10/21/2020	11/04/2020	6413	LPL Financial LLC	ISC	2627265	Steven Craig Adams.	UT	AdvisorLaw LLC	NO	NO	1	G	Donald Dreyfus	1
20-01254	Jacksonville, FL	04/20/2020	10/29/2020	11/05/2020	250	Edward Jones	ISC	4751588	Heikki Erik von Hellens	GA	AdvisorLaw LLC	NO	NO	1	G	John P. Cullem, Esq.	1
20-00010	San Francisco, CA	12/30/2019	09/22/2020	11/06/2020	152974	Client One Securities LLC	Quarles & Brady	6050826	Roberto Antonio Trejo	CA	FA Expungement	NN	NO	1	G	Thomas D. Reese, Esq.	1
20-00820	Los Angeles, CA	03/12/2020	10/27/2020	11/06/2020	40397	Pacific Cornerstone Capital Incorporated	No-show	2956661	Edward Eric Fernandez	CA	HLBS Law	NO	NO	1	G	Robert D. Sussin, Esq.	1
20-00830	New York, NY	03/12/2020	11/03/2020	11/06/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5702678	Manuel Jeremy Rose	FL	FA Expungement	NO	NO	1	G	David I. Goldblatt, Esq.	1
20-02659	Louisville, KY	08/18/2020	11/02/2020	11/06/2020	8174	UBS Financial Services Incorporated	ISC	4873116	Matthew Robert Powell	KY	Bressler Amery & Ross	NO	NO	1	G	Jeffry Mark Bauer, Esq.	1
20-00868	Minneapolis, MN	03/16/2020	11/04/2020	11/06/2020	13158; 7556	AIG Capital Services Incorporated; Morgan Stanley DW Incorporated	Shook Hardy & Bacon (AIGCS); ISC (MSDW)	4195546	Steven Thomas Ferretti	MT	FA Expungement	NO	NO	1	G	Steven M. Bialick	1
20-02373	San Francisco, CA	07/27/2020	10/29/2020	11/06/2020	79	JP Morgan Securities LLC	Keesal Young & Logan	1200206	Kurt E. Maier	NV	Bressler Amery & Ross	UN	NO	2	D	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-00612	Washington, DC	02/20/2020	11/02/2020	11/06/2020	149777	Morgan Stanley	ISC	2823828	Adam Thomas Rorrer	VA	AdvisorLaw LLC	NO	NO	1	G	Patricia Horan Latham, Esq.	1
19-03165	Chicago, IL	10/22/2019	11/05/2020	11/09/2020	7560; 816	Pershing LLC; Credit Suisse Securities (USA) LLC	No-show (Pershing); ISC (CSS)	2271394	Christopher Jerome Prassas	IL	AdvisorLaw LLC	NO	NO	2	G/D	Susan L. Walker, Esq.	1
20-01005	Kansas City, MO	03/27/2020	11/05/2020	11/09/2020	39543	Cambridge Investment Research Incorporated	ISC	4986486	Brad C. Lawing	KS	AdvisorLaw LLC	OB/NO NN	NO	10	D	C. Sumpter Logan	1

19-03752	New York, NY	12/19/2019	10/14/2020	11/09/2020	19616	Wells Fargo Clearing Service LLC	ISC	2501390	Donald W. Robbins	NJ	Herrick Feinstein LLP	NO/NN	NO	2	G	Cheryl H. Agris, PhD - Chair; Sandra J. Mullings, Esq.; Thomas E. Duggan, Esq.	2
20-01925	Newark, NJ	06/18/2020	11/06/2020	11/09/2020	8174	UBS Financial Services Incorporated	ISC	1796163	Paul Stevens	NJ	ISC	NO	NO	1	G	Joan M. Traub, Esq.	1
19-02287	Cleveland, OH	08/14/2019	10/15/2020	11/09/2020	10299	Cetera Advisors LLC	ISC	1742952	Jess W. Hurst II.	OH	Reminger Co. LPA	NO	NO	1	G	Michael S. Matek, Esq.	1
20-00811	Portland, OR	03/10/2020	10/02/2020	11/09/2020	3960; 2882	Veravest Investments Incorporated; Voya Financial Advisors incorporated	ISC (VI); Winget Spadafora & Schwartzberg (VFA)	1803427; 3139332	Frank Bain; Mark Bain	OR; OR	Wolper Law Firm PA	NO	NO	6	G	David William Hickman, JD	1
20-01105	Salt Lake City, UT	04/03/2020	10/20/2020	11/09/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2627265	Steven Craig Adams	UT	AdvisorLaw LLC	NO	NO	1	G	Merton E. Marks, Esq.	1
19-03231	Richmond, VA	10/28/2019	10/06/2020	11/09/2020	1588	Davenport & Company LLC	ISC	2306577	Alfred LaFayette Stratford III.	VA	Holcomb + Ward LLP	NO	NO	2	G	Richard James Igou	1
20-00718	San Francisco, CA	03/03/2020	10/22/2020	11/10/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2595676	Michael Grant Matthews	CA	HLBS Law	NO	NO	1	G	Philip Aaron Tymon, JD	1
20-01467	Boston, MA	05/08/2020	10/29/2020	11/10/2020	6413	LPL Financial LLC	ISC	419641	Dushyant J. Shah	MA	Ghabai Law Group LLC	NO	NO	1	G	Richard J. Grahm, Esq.	1
20-00438	Dallas, TX	02/06/2020	11/06/2020	11/10/2020	8174	UBS Financial Services Incorporated	Keesal Young & Logan	2197844	Walter M. Stucker	TX	AdvisorLaw LLC	NO	NO	2	G	Frances Johnson-Wright, Esq.	1
20-00649	Salt Lake City, UT	02/25/2020	11/05/2020	11/10/2020	7717	Independent Financial Group LLC	ISC	4902355	Robert Eran Shelton	UT	AdvisorLaw LLC	NO	NO	1	D	Howard R. Gaines, Esq.	1
20-00057	Charlotte, NC	01/06/2020	10/22/2020	11/11/2020	19616	Wells Fargo Clearing Services LLC	ISC	5442335	Michael Francis Wiercinski.	NC	AdvisorLaw LLC	NO	NO	1	G	James C. Hoover, Esq.	1
20-00904	New York, NY	03/18/2020	10/02/2020	11/11/2020	16878	Omni Brokerage Incorporated	No-show	2328614	William Scott Sheehan	NY	AdvisorLaw LLC	NO	NO	2	G	Lynne M. Reid-McQueen, Esq.	1
20-01068	New York, NY	04/01/2020	11/05/2020	11/11/2020	104065	NewBridge Securities Corporation	Kaufman Dolowich & Voluck LLP	4988088	Joseph Varvara	NY	FA Expungement	NO	NO	1	G	Donna Christina Chin	1
19-03707	San Francisco, CA	12/16/2019	09/21/2020	11/12/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2571093	Stan Borgquist Leavitt	CA	HLBS Law	NO	NO	2	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-01052	New York, NY	03/31/2020	10/16/2020	11/12/2020	15007	Aegis Capital Corporation	ISC	2719671	Elliot Hough Sherer	NY	Weltz Kakos et al.	OB	NO	1	G	Anna M. Fanelli, Esq.	1
19-03660	Los Angeles, CA	12/11/2019	11/02/2020	11/13/2020	8209	Morgan Stanley & Company LLC	Keesal Young & Logan	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison PC	NO	NO	1	G	Joyce L. Hurley	1
20-00525	Denver, CO	02/14/2020	09/24/2020	11/13/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2956948	Norman A. Lautrup	CO	HLBS Law	NO	NO	1	G	Michael Jeffrey Norton, Esq.	1
20-01033	Detroit, MI	03/30/2020	10/26/2020	11/13/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1444222	John William Boukamp III	FL; MI	Saretsky Hart et al.	OB/NO	NO	1	D	Terrance J. Dorcy	2

20-01544	Charleston, WV	05/15/2020	11/05/2020	11/13/2020	115368	Parkland Securities LLC	ISC	2545585	John Thomas Halterman	WV	Louviere Law Firm PA	NO	NO	3	G	Edward Blumstein, Esq.	1
20-02609	Boston, MA	08/13/2020	11/09/2020	11/16/2020	8174	UBS Financial Services Incorporated	ISC	1644480	James Stewart Smith	MA	Bressler Amery & Ross	NO	NO	1	G	Gerard S. Marsan, Esq.	1
20-00741	Houston, TX	03/05/2020	11/05/2020	11/16/2020	10410	WS Griffith Securities Incorporated	No-show	1066149	Dennis R. Greensage	TX	AdvisorLaw LLC	NN	NO	1	G	Lynne M. Gomez, Esq.	1
20-00887	Houston, TX	03/17/2020	11/09/2020	11/16/2020	6363	Ameriprise Financial Services Incorporated	ISC	2610051	Charles Travis Saacke	TX	AdvisorLaw LLC	NO/NN	NO	2	G	Lynne M. Gomez, Esq.	1
20-01372	Dallas, TX	05/01/2020	11/09/2020	11/16/2020	19616	Wells Fargo Clearing Services LLC	ISC	2282401	James Dellard Stanford	TX	AdvisorLaw LLC	NO	NO	1	G	Frances Johnson-Wright, Esq.	1
19-03630	Los Angeles, CA	12/10/2019	11/10/2020	11/17/2020	35747; 8174	Purshe Kaplan Sterling Investments Incorporated; UBS Financial Services Incorporated	ISC (PKS); Keesal Young & Logan (UBS)	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison PC	NO	NO	1	G	George L. Tindall	1
19-03632	Los Angeles, CA	12/10/2019	10/27/2020	11/17/2020	8209	Morgan Stanley & Company LLC	Keesal Young & Logan	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison PC	NO	NO	1	G	Elliott David Finkel, Esq.	1
20-01580	San Francisco, CA	05/19/2020	11/11/2020	11/17/2020	8032	Commonwealth Financial Network	ISC	1791118	Jeffrey Wayne Deboer	CA	Saretsky Hart et al.	NN	NO	1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-00448	Orlando, FL	02/07/2020	10/27/2020	11/17/2020	42467	High Mark Securities Incorporated	No-show	2555473	Frankie Ricardo Brin	FL	HLBS Law	NO	NO	1	G	John P. Cullem, Esq.	1
20-00942	Kansas City, MO	03/23/2020	11/12/2020	11/17/2020	249; 19616	Oppenheimer & Company Incorporated; Wells Fargo Clearing Services LLC	ISC	1546820	Gregory Robert Schaff	KS	FA Expungement	NO	NO	3	G	John R. Loss, Esq.	1
20-00976	Pittsburgh, PA	03/25/2020	11/13/2020	11/17/2020	6363	Ameriprise Financial Services LLC	ISC	2421338	Matthew David Orman	PA	AdvisorLaw LLC	NN	NO	1	G	Mark Alexander Sipper	1
20-01242	Philadelphia, PA	04/17/2020	11/06/2020	11/17/2020	6413	LPL Financial LLC	ISC	5971765	Christopher David Tuck	PA	AdvisorLaw LLC	OB	NO	2	G	Louis P. Wagman	1
20-01631	Milwaukee, WI	05/22/2020	11/13/2020	11/17/2020	6413	LPL Financial LLC	ISC	5278627	Anne Caroline Sapienza	WI	Ghabai Law Group LLC	NO	NO	1	G	Susan L. Walker, Esq.	1
20-01638	Milwaukee, WI	06/03/2020	11/12/2020	11/17/2020	79	JP Morgan Securities LLC	ISC	2907254	Douglas M. Bray	WI	Duane Morris LLP	NO	NO	1	G	Robert J. Scafuri, Esq.	1
20-01782	Phoenix, AZ	06/04/2020	10/22/2020	11/18/2020	6363	Ameriprise Financial Services LLC	ISC	2219819	William Patrick O'Connell	AZ	Murphy & Anderson	NO	NO	1	G	Richard Kent Mahrle	1
20-00145	New York, NY	01/15/2020	11/12/2020	11/18/2020	7059; 149777	Citigroup Global Markets Incorporated; Morgan Stanley	Kauff Laton Miller LLP (CGM); ISC (MSSB)	715624	Warren Howard Rivetz	NY	Law Offices of Amy Bard	OB/NO	NO	4	G	Eugene G.P. Byrne, Esq.	3

20-01197	New York, NY	04/13/2020	11/06/2020	11/18/2020	2881	Northwestern Mutual Investment Services	ISC	2968694	Michael Scott Schwartz	NY	AdvisorLaw LLC	NO	NO	2	G	Josian Antoine, Esq.	1
20-01381	Wilmington, DE	05/01/2020	10/27/2020	11/19/2020	1763	H Beck Incorporated	ISC	5402280	Kristina Frenier Connell	MD	AdvisorLaw LLC	NO	NO	1	G	Louis H. Miron, Esq.	1
20-00153	Tampa, FL	01/16/2020	11/13/2020	11/20/2020	16023; 106594	Aragon Financial Services Incorporated; Veritrust Financial LLC	No-show	2171208	Steven Lloyd Holland	FL	HLBS Law	UN	NO	5	D	Darryl C. Wilson, Esq.	1
20-00964	Baltimore, MD	03/24/2020	11/10/2020	11/20/2020	43177	JP Turner & Company LLC	ISC	2547477	Vladimir Michael Greben	MD	AdvisorLaw LLC	OB	NO	1	G	David L. Ruderman, Esq.	1
20-01299	Chicago, IL	04/24/2020	11/13/2020	11/20/2020	149777	Morgan Stanley Smith Barney LLC	ISC	2244863; 3071833	Joseph Nicholas Silich; James Thomas Ziniel.	MI; IL	Lewitas Hyman PC	NO	NO	2	G	Larry Carlson, Esq.	1
19-01685	New York, NY	07/12/2019		11/20/2020	39914	Westpark Capital Incorporated	ISC	1877750	Harry S. Datys	NY	Weltz Law	NN	NO	13	D	Sandra J. Mullings, Esq.	0
20-00935	New York, NY	03/21/2020	10/30/2020	11/20/2020	15007	Aegis Capital Corporation	ISC	2719671	Elliot Hough Sherer	NY	Weltz Kakos et al.	NO/NN	NO	4	G	Steven C. Kasarda	1
20-01449	Columbia, SC	05/06/2020	11/10/2020	11/20/2020	4161	Morgan Keegan & Company LLC	ISC	4492052	Edwin Gabriel Waingart.	SC	AdvisorLaw LLC	OB/NO	NO	1	G	John P. Cullem, Esq.	1
20-01058	Orlando, FL	04/01/2020	11/12/2020	11/22/2020	13475	Summit Brokerage Services Incorporated	Winget Spadafora & Schwartzberg LLP	1091819	Dean Robert Nowak	FL	HLBS Law	NO	NO	1	G	John P. Cullem, Esq.	1
20-02267	Phoenix, AZ	07/20/2020	11/17/2020	11/23/2020	79	JP Morgan Securities LLC, as Successor-in-interest to Wamu Investments Incorporated fka Wm Financial Services Incorporated	Keesal Young & Logan	1257449	Michael Joseph Marshall	AZ	Galvin Legal PLLC	NO	NO	1	G	Timothy J. Kroll, MS	1
20-01375	Atlanta, GA	05/01/2020	11/19/2020	11/23/2020	6627	AXA Advisors LLC	ISC	2863985	Steven Meade Howell	GA	Louviere Law Firm PA	NO	NO	1	G	Harvey R. Linder, Esq.	1
20-01355	Wichita, KS	04/30/2020	11/04/2020	11/24/2020	6413	LPL Financial LLC	ISC	2194381	Mike C. Spencer.	FL; KS	Ghabai Law Group LLC	NO	NO	2	G	Charles G. Michaels, Esq.	1
20-01376	Newark, NJ	05/01/2020	11/10/2020	11/24/2020	6363; 8174	Ameriprise Financial Services LLC; UBS Financial Services Incorporated	ISC	2069841	Edmund Iannaccone	NJ	FA Expungement	NO	NO	3	G	Martin R. Cramer	1
20-00026	New York, NY	12/24/2019	09/22/2020	11/24/2020	43177; 44962	JP Turner & Company; vFinance Investments Incorporated	ISC	3082625	Joseph Biondillo	NY	Holcomb + Ward LLP	NO	NO	2	G/D	David I. Goldblatt, Esq.	1
20-00950	Houston, TX	03/24/2020	10/12/2020	11/24/2020	35567	IMS Securities Incorporated	No-show	2354523	Christopher David Gammon	TX	Freeman Mathis & Gray	NO/NN	NO	3	G	Sherry R. Wetsch, Esq.	2
20-01670	New York, NY	05/28/2020	11/17/2020	11/25/2020	249	Oppenheimer & Company Incorporated	ISC	2932226	Yan Binder	FL	Shumaker Loop & Kendrick	NO	NO	1	G	Richard W. Cutler, Esq. - Chair; John Franklin Udochi; Ellen Slipp, Esq.	1

20-00726	Detroit, MI	03/04/2020	11/23/2020	11/25/2020	39550	Citizens Securities Incorporated	Adler Pollock & Sheehan	5080295	Russell William Strickler	MI	HLBS Law	NO	NO	1	G	Patrick R. Sughroue, Esq.	1
20-01662	Minneapolis, MN	05/28/2020	11/23/2020	11/25/2020	6363	Ameriprise Financial Services Incorporated	ISC	6073001	Michael John Schumacher	MN	Heilmuth & Johnson	NO	NO	1	G	Phyllis Karasov, Esq.	1
20-01872	Montpelier, VT	06/12/2020	11/17/2020	11/25/2020	8174	UBS Financial Services Incorporated	ISC	5117420	David Joseph Maher	VT	None	NO	NO	2	G	Julius Z. Frager	1
20-01436	Los Angeles, CA	05/06/2020	11/18/2020	11/27/2020	10582	Wells Fargo Investments LLC	ISC	4516263	Elliot Evans Ichinose	CA	HLBS Law	NO NN	NO	3	G	George L. Tindall	1
20-02552	Boca Raton, FL	08/10/2020	11/17/2020	11/27/2020	8174	UBS Financial Services Incorporated	ISC	2218373; 5445420	Ettore D. Ventrice; Noah D. Rubin	FL FL	Bressler Amery & Ross	OB	NO	2	G	Mark Allen Bilawsky	1
20-00663	New Orleans, LA	02/26/2020	11/24/2020	11/27/2020	34815; 2882	Voya Financial Partners LLC; Voya Financial Advisors Incorporated	Wnget Spadafora Schwartzberg LLP	2603981	Daniel George Misse	LA	AdvisorLaw LLC	NO	NO	1	G	Sherry R. Wetsch, Esq.	1
20-02065	Newark, NJ	06/30/2020	11/19/2020	11/27/2020	8174	UBS Financial Services Incorporated	ISC	1903657	John Robert Morris	NJ	UBS Business Solutions US LLC	NO	NO	1	G	Linda J. Baer, Esq.	1
20-00975	Minneapolis, MN	03/25/2020	11/25/2020	11/29/2020	23131	Royal Alliance Associates Incorporated	ISC	1750967	Debra Marie Kuper	MN	AdvisorLaw LLC	UN	NO	1	D	Susan L. Walker, Esq.	1
20-01462	Boca Raton, FL	05/08/2020	11/06/2020	11/30/2020	249	Oppenheimer & Company Incorporated	ISC	1544728	Timothy Roger Atyeo	FL	Zadanosky & Associates PA	NO	NO	1	G	Randy R. Freedman, Esq.	1
20-01160	Boca Raton, FL	04/08/2020	11/09/2020	12/01/2020		None	No-show	4837498	Altin Tirana	CT	Greenberg Traurig LLP	NO	NO	1	D	Monica I. Salis, Esq.	1
20-01265	New York, NY	04/20/2020	11/18/2020	12/01/2020	39543	Cambridge Investment Research Incorporated	ISC	1420362	Dean Michael Giella	NY	AdvisorLaw LLC	NO	NO	1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-01804	Philadelphia, PA	06/08/2020	11/19/2020	12/01/2020	14869	Ameritas Investment Company LLC	ISC	1432309	Brian Patrick Wilson	SC	FA Expungement	NO	NO	1	G	John F. Burns, Esq.	1
20-00943	New York, NY	03/21/2020	10/23/2020	12/02/2020	15007	Aegis Capital Corporation	ISC	2719671	Elliot Hough Sherer	NY	Weltz Kakos et al.	NO	NO	3	G	A. Rene Hollyer, Sr.	1
20-00846	Washington, DC	03/06/2020	09/28/2020	12/02/2020	6363	Ameriprise Financial Services LLC	ISC	2374238	Sharon Sue Meyer	VA	AdvisorLaw LLC	NO	NO	2	G	Kelli J. Jareaux, Esq.	2
20-01514	San Diego, CA	05/13/2020	11/30/2020	12/03/2020	6413	LPL Financial LLC	ISC	1926613	Sandeep Varma	CA	HLBS Law	OB/NO NN	NO	3	G	Randy R. Maher, JD	1
20-00463	Newark, NJ	01/31/2020	11/23/2020	12/03/2020	8174	UBS Financial Services Incorporated	Bressler Amery & Ross	1765438	Andrew Ross Bodner	FL	AdvisorLaw LLC	OB/NO	NO	3	G	Linda J. Baer, Esq.	1
20-01476	Boca Raton, FL	05/08/2020	11/10/2020	12/03/2020	7471	Prudential Equity Group LLC	Reyes Kurson Ltd.	1067376	Kevin Bruce Wolf	FL	Bruce W. Barnes PA	NO/NN	NO	6	G	Leslie L. Cooney, Esq.	1

20-00776	St. Louis, MO	03/09/2020	11/18/2020	12/03/2020	32460; 16164	First Heartland Capital Incorporated; Transamerica Financial Advisors Incorporated	ISC	1501352	Christopher John Jacob.	MO	FA Expungement	NN	NO	1	G	Robert J. Gryzmala, Esq.	1
20-01170	Los Angeles, CA	04/09/2020	11/16/2020	12/04/2020	8174	UBS Financial Services Incorporated	ISC	4854160	Robert M. Tomlinson	CA	HLBS Law	NO	NO	1	G	Robert E. Jenks	1
20-01088	Chicago, IL	04/02/2020	12/01/2020	12/04/2020	421	Woodbury Financial Services Incorporated	ISC	2230271	Marc Gregory Minor.	FL	AdvisorLaw LLC	OB	NO	1	D	Susan L. Walker, Esq.	1
20-00957	New York, NY	03/23/2020	10/29/2020	12/04/2020	6627	AXA Advisors LLC	ISC	1327992	Maurice James Acriche	NY	AdvisorLaw LLC	OB	NO	1	G	Selma Moy, JD	1
20-01078	New York, NY	04/01/2020	11/27/2020	12/04/2020	8174	UBS Financial Services Incorporated	ISC	2039083	Paul Elias Colchamiro.	NY	Weltz Kakos et al.	NN	NO	1	G	Karen Isabel Bedrosian-Richardson	1
20-01414	Denver, CO	05/05/2020	11/17/2020	12/04/2020	10299	Cetera Advisors LLC	ISC	4546896	Michael Glen Nielson	UT	HLBS Law	NO	NO	1	G	Donald Neil Tolin	1
20-01610	Boca Raton, FL	05/20/2020	12/02/2020	12/07/2020	16986	The Huntington Investment Company	Ulmer & Berne	2535792	James Lebaron Springer	FL	Stein & Stein	NN	NO	2	G	Kimberly A. Gilmour, Esq. - Chair; David P. Slater, Esq.; Rosemarie Elizabeth Stoffo	1
20-02036	Rochester, NY	06/26/2020	11/13/2020	12/07/2020	2881	Northwestern Mutual Investment Services	ISC	2850384	Francis James Clement	NY	None	NO	NO	1	D	Kathleen Hoey Gorr, Esq. - Chair; Clifford Chance Rohde; Corinne A. Cox	1
20-00947	New York, NY	03/23/2020	12/01/2020	12/08/2020	7569	National Securities Corporation	ISC	2757868	Daniel John Fred	CT	FA Expungement	NO	NO	1	G	Howard L. Sobel	1
19-03841	Tampa, FL	12/30/2019	12/04/2020	12/08/2020	7471; 7691; 19616; 149777	Prudential Securities Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated; Wachovia Securities LLC; Morgan Stanley	Paduano & Weintraub (PEG); Bressler Amery & Ross (WFA); ISC (WS & MSSB)	2311373	Alex Muscati III	FL	Kalberer LLP	NO	NO	7	D/W	Mimi B. Osiason	1
20-00436	Newark, NJ	02/05/2020	10/19/2020	12/08/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1625705	Sylvester Knox	NJ	AdvisorLaw LLC	NO	NO	6	G/D	Robert E. Anderson, Esq.	1
20-03201	Philadelphia, PA	09/11/2020	12/02/2020	12/08/2020	8174	UBS Financial Services Incorporated	ISC	3275375	Bradford S. Bernstein	PA	Bressler Amery & Ross	NO/NN	NO	2	G	Julie K. Chapin	1
20-01276	Dallas, TX	04/22/2020	12/02/2020	12/08/2020	7461	FSC Securities Corporation	ISC	821409	Jan Thomas Mohamed	TX	AdvisorLaw LLC	OB/NO	NO	2	G	David A. Schuler	1
20-01530	Boca Raton, FL	05/14/2020	12/03/2020	12/09/2020	250	Edward D Jones & Company Limited Partnership	Bressler Amery & Ross	5834701	Ronald J. Radner	FL	Fisher & Phillips	NO	NO	2	G	Louis David Huss	1
20-01537	Newark, NJ	05/14/2020	11/23/2020	12/09/2020	129052	PNC Investments	Seyfart Shaw LLP	4697488	Emil Baczyk	NJ	Coss & Momjian	NO	NO	1	G	Patrick Richard Westerkamp, Esq.	1

20-01714	Newark, NJ	06/01/2020	11/12/2020	12/09/2020	43177; 11764	JP Turner & Company LLC; Grayson Financial LLC	ISC (JPT&C; No-show (GF)	2865619	Raymond Clark.	NJ	Holcomb + Ward LLP	NO NN	NO	5	G	Sam Antar, Esq.	1
20-01034	Wilmington, DE	03/27/2020	12/04/2020	12/09/2020	7461; 120894	FSC Securities Corporation; Geneos Wealth Management Incorporated	ISC (FSCS); Kutak Rock (GWM)	4113886	Samuel Robert Monchik	PA	AdvisorLaw LLC	OB/NO	NO	2	G/D	Guillermo L. Bosch, Esq.	1
20-01988	Dallas, TX	06/24/2020	12/07/2020	12/09/2020	10205	Securities America Incorporated	ISC	4204833	Brian Kirkham Smoot	TX	FA Expungement	NO	NO	1	G	Jeff Howard Abrams	1
20-01995	Boca Raton, FL	06/24/2020	12/04/2020	12/10/2020	15296	Securian Financial Services Incorporated	Sichenzia Ross Ference LLP	2754528	Jay Brian Fischer	FL	Jenks & Harvey	NO	NO	1	G	Mark Allen Bilawsky	1
20-00381	Chicago, IL	02/03/2020	12/01/2020	12/10/2020	6363; 5979	Ameriprise Financial Services Incorporated; Ameriprise Advisor Services Incorporated; Olde Discount Corporation	ISC	2943012	Steven C. Lopez	IL	Eccleston Law LLC	NO	NO	1	G	Kenneth N. Adamson, Esq. - Chair; Raymond P. Buschmann, Esq.; Frank Samuelsohn	1
20-01182	Charlotte, NC	04/10/2020	12/08/2020	12/10/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	703554	David H. Pottenger III	NC	AdvisorLaw LLC	NO	NO	1	G	Jason Alexander Diamond	1
20-00995	Syracuse, NY	03/26/2020	12/04/2020	12/10/2020	5685	Pruco Securities LLC	Paduano & Weintraub	4199324	Matthew Michael Dauksza	NY	AdvisorLaw LLC	NO	OB	4	G	John James McGovern, Jr., Esq.	1
20-01406	Buffalo, NY	05/04/2020	12/02/2020	12/10/2020	46214	Next Financial Group Incorporated	ISC	2672193	Michael Steven Lomas	NY	Arbitration Evaluation Services LLC	NO	NO	4	D	Jeffrey Mark Bauer, Esq.	1
20-00929	Philadelphia, PA	03/20/2020	11/02/2020	12/10/2020	10111	PFS Investments Incorporated	ISC	1175708	Richard Thomas Towey Sr.	PA	AdvisorLaw LLC	NO	NO	5	G	Diane Ciccone, Esq.	1
20-01243	Philadelphia, PA	04/17/2020	12/04/2020	12/10/2020	6413	LPL Financial LLC	ISC	2087726	Scott Jay Kleiman	PA	AdvisorLaw LLC	NO	NO	1	G	Diane Ciccone, Esq.	1
20-01589	San Francisco, CA	05/18/2020	12/01/2020	12/11/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2728034	Lorena Michelle Moudi	CA	Gonser Law PC	NO	NO	1	G	Michael Lancaster Garcia	1
20-01574	St. Louis, MO	05/19/2020	11/23/2020	12/11/2020	39543	Cambridge Investment Research Incorporated	ISC	867340	Sheldon Jay Harber	MO	AdvisorLaw LLC	NO	NO	1	G	Tracy L. Allen, Esq.	1
20-01217	San Juan, PR	04/15/2020	12/02/2020	12/11/2020	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	4685974	Federico Lopez Juarbe	PR	McConnell Valdes LLC	NO	NO	1	G	Louis David Huss	1
20-01141	Milwaukee, WI	04/07/2020	12/10/2020	12/11/2020	115333	Baker Tilly Capital LLC	Chapman & Cutler	2143662	Steven Nicholas Hooyman	WI	AdvisorLaw LLC	NO	NO	1	G	Leon Fox, JD	1

20-02528	Milwaukee, WI	08/07/2020	12/09/2020	12/11/2020	7870	TD Ameritrade Incorporated	ISC	4220528	Manohar Lal Khatri	WI	Miles & Stockbridge	NO	NO	1	G	Jonathan B. Gilbert, Esq.	1
20-00900	Houston, TX	03/18/2020	11/19/2020	12/14/2020	19948	IFG Network Securities Incorporated	ISC	1507901	James Allen Neuenschwander	TX	AdvisorLaw LLC	NO/NN	NO	1	G	Thomas A. Martin, Esq.	1
20-01441	San Diego, CA	05/06/2020	11/03/2020	12/15/2020	10205	Securities America Incorporated	ISC	2281065; 2536565	J. Graydon Coghlan; Joshua Abraham Willard	CA CA	Freeman Mathis & Gray	NO	NO	2	G	Kevin K. Forrester, Esq.	1
20-01453	Boca Raton, FL	05/07/2020	12/09/2020	12/15/2020	19616	Wells Fargo Clearing Services LLC	ISC	2706401	Christopher Lee Facka	FL	HLBS Law	NO	NO	1	G	Mark Allen Bilawsky	1
20-02773	Chicago, IL	08/25/2020	12/08/2020	12/15/2020	250	Edward Jones	Quarles & Brady	5137580	Ross M. Siegel	IL	Bressler Amery & Ross	NO	NO	1	G	Theodore W. Wroblecki, Esq.	1
20-01203	Washington, DC	04/14/2020	12/07/2020	12/15/2020	6627	AXA Advisors LLC	ISC	5229635	Mark Steven Dolfis	VA	AdvisorLaw LLC	NO	NO	1	G	Douglas Earl McLaren, Esq.	1
20-02265	Phoenix, AZ	07/20/2020	12/03/2020	12/16/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1257449	Michael Joseph Marshall	AZ	Galvin Legal PLLC	NO	NO	1	G	Thomas E. Shuck, Esq.	1
20-01151	Detroit, MI	04/09/2020	12/14/2020	12/16/2020	79	JP Morgan Securities LLC	Ulmer & Berne	5133281	Daniel Aaron Wohl	MI	Saretsky Hart et al.	NO	NO	1	G	Erane C. Washington-Kendrick	1
19-03651	Los Angeles, CA	12/11/2019	12/08/2020	12/17/2020	8209	Morgan Stanley & Company LLC	Keesal Young & Logan	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison PC	NO	NO	1	G	Robert E. Jenks	1
20-01608	Boca Raton, FL	05/20/2020	12/14/2020	12/17/2020	8174	UBS Financial Services Incorporated	ISC	2535792	James Lebaron Springer	FL	Stein & Stein	NO	NO	4	G	Kimberly A. Gilmour, Esq. - Chair; Marie G. Peterson, CPA; Robert S. Natiss	1
20-01493	Jersey City, NJ	05/11/2020	12/04/2020	12/17/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2229485	Dennis Robert Hall	NJ	Kelleher Weisfelner Law Group LLC	NO	NO	1	G	Linda J. Baer, Esq.	1
20-01697	New York, NY	05/29/2020	12/10/2020	12/17/2020	5167	NYLife Securities LLC	Lubarsky Law Firm PLLC	4588999	Chander Goel	NY	DeVita & Associates	NO NN	NO	2	G	Jill Pilgrim, Esq.	1
20-01015	Wilmington, DE	03/27/2020	11/30/2020	12/17/2020	7461; 120894	FSC Securities Corporation; Geneos Wealth Management Incorporated	ISC (FSCS); Kutak Rock LLP (GWM)	1023227	Richard Mark Braverman	PA	AdvisorLaw LLC	OB/NO	NO	5	G	Robert E. Anderson, Esq.	1
20-01153	Columbia, SC	04/08/2020	12/08/2020	12/17/2020	32460; 15708	First Heartland Capital Incorporated; Proequities Incorporated	ISC	1726947	Ricky Mills Higgins	SC	AdvisorLaw LLC	NO	NO	1	G	Richard S. Zaifert, Esq.	1
20-01348	Dallas, TX	04/29/2020	12/14/2020	12/17/2020	6413; 46214; 421	LPL Financial LLC; Next Financial Group Incorporated; Woodbury Financial Services Incorporated	ISC	2951430	Andrew Scott Butler.	TX	AdvisorLaw LLC	NO/NN	NO	2	G	Eric Ross Cromartie	1
20-01273	Boca Raton, FL	04/21/2020	12/14/2020	12/18/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1815830	Philip Austin Jordan	FL	Zadanosky & Associates PA	NO	NO	4	G	Edward R. Niederriter, Esq.	1
20-01336	Milwaukee, WI	04/28/2020	12/14/2020	12/18/2020	2225	SII Investments Incorporated	Saretsky Hart et al.	2633729	Kassie Ann Soulek	WI	FA Expungement	NO	NO	1	D	Lynn Hirschfeld Brahin, Esq.	1

20-00735	Boca Raton, FL	03/04/2020	12/15/2020	12/21/2020	43285	M Holdings Securities Incorporated	Markun Zusman et al.	4546937	Daniel Ryan Shannon	FL	Ulmer & Berne	NO	NO	1	G	Edward R. Niederriter, Esq.	1
20-01030	Detroit, MI	03/30/2020	12/01/2020	12/21/2020	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1444222	John William Boukamp III	FL; MI	Saretsky Hart et al.	UN	NO	1	D	Gerald W. Hepp	1
20-00925	Buffalo, NY	03/20/2020	12/01/2020	12/22/2020	6627	AXA Advisors LLC	ISC	1390201	Gregg E. Martinsen	FL	AdvisorLaw LLC	NO/NN	NO	4	G	Tracy L. Allen, Esq.	1
20-01596	Detroit, MI	05/20/2020	12/21/2020	12/22/2020	13686	Avantax Investment Services Incorporated	ISC	5101151	Christopher John Michalak	MI	FA Expungement	NO	NO	1	G	William M. Azkoul, JD	1
20-00504	New York, NY	02/12/2020	11/18/2020	12/22/2020	119037	Laidlaw & Company (UK) Limited	ISC	3267261	Matthew D. Eitner.	NJ	Sichenzia Ross Ference LLP	NO	NO	2	G	Harvey Barrison, Esq.	1
20-02193	New York, NY	07/10/2020	12/17/2020	12/22/2020	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3176533	Jeffrey Allan Karitis	NY	Law Offices of Amy Bard	NO	NO	1	G	David I. Goldblatt, Esq.	1
20-02295	Buffalo, NY	07/20/2020	12/16/2020	12/22/2020	6627	Equitable Advisors LLC	ISC	4816478	Jeffrey M. McCabe	NY	Paduano & Weintraub	OB/NO	NO	2	G	Gregory P. Szuter, Esq.	1
20-00837	Columbus, OH	03/13/2020	10/08/2020	12/22/2020	421	Woodbury Financial Services Incorporated	ISC	2692833	Geoffrey Scott McCash	OH	Markun Zusman et al.	NO	NO	1	G	Michael L. Lyons, Esq.	1
20-01238	Baltimore, MD	04/16/2020	12/16/2020	12/22/2020	10409	MML Investors Services LLC	Stevens & Lee	1449020	Robert John Langan	PA	AdvisorLaw LLC	OB/NO NN	NO	3	G	David L. Ruderman, Esq.	1
20-01837	San Francisco, CA	06/10/2020	12/08/2020	12/23/2020	32444	First Allied Securities Incorporated	ISC	5555399	Christine R. McBroom	CA	Scott & Allayee	NO	NO	1	G	Peter H. Daly	1
20-01793	Wilmington, DE	06/05/2020	12/15/2020	12/23/2020	39543; 15296	Cambridge Investment Research Incorporated; Securian Financial Services Incorporated	ISC (CIR); Sichenzia Ross Ference LLP (FSF)	5001611	Todd Ashley Roselle	DE	FA Expungement	NO	NO	1	G	Patrick Richard Westerkamp, Esq.	1
20-01758	New York, NY	06/03/2020	12/10/2020	12/23/2020	10205	Securities America Incorporated	ISC	1409368	Richard Eller	FL; CT	FA Expungement	NO	NO	2	G/D	Ellyn S. Roth	1
20-03098	Atlanta, GA	09/10/2020	12/09/2020	12/23/2020	8174	UBS Financial Services Incorporated	ISC	2231682; CRD# 6089585	Jon Paul LeDoyen; Jeremy W. Mykulak	GA; GA	Bressler Amery & Ross	NO	NO	2	G	Harvey R. Linder, Esq.	1
20-01482	Reno, NV	05/08/2020	12/08/2020	12/23/2020	13572	Cetera Advisor Networks LLC	ISC	4457945	Joanna Moran	NV	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Philip Aaron Tymon, JD	1
20-00828	New York, NY	03/12/2020	11/17/2020	12/23/2020	24795	Joseph Gunnar & Company LLC	ISC	2423097	James V. Lombardo II	NY	Judex Law LLC	NO	NO	3	G	Joan M. Traub, Esq.	1
20-00949	New York, NY	03/23/2020	12/08/2020	12/23/2020	39375; 114338	Solid ISG Capital Markets LLC; Westrock Advisors Incorporated	No-show	1834687	Anil Ishwar Jethmal	NY	Judex Law LLC	NO	NO	2	G/D	Steven Gary Leventhal	1

20-02228	New York, NY	07/15/2020	12/21/2020	12/23/2020	6627	Equitable Advisors LLC	ISC	4865562	Joseph R. DiMauro	NY	Imbesi Law Group PC	NO	NO	1	G	Evdokia Sofos, Esq.	1
20-02568	New York, NY	08/11/2020	12/11/2020	12/23/2020	41791	Santander Securities LLC	Santiago Pietrantoniet al.	3129454	Beatriz Luna Vida	VA	Bressler Amery & Ross	NO	NO	4	G	Richard W. Cutler, Esq.	1
20-03242	San Francisco, CA	09/11/2020	12/11/2020	12/24/2020	8174	UBS Financial Services Incorporated	ISC	2358181	Marcus Christian Fagersten	CA	Bressler Amery & Ross	NO	NO	1	G	Arocles Aguilar	1
20-02097	Indianapolis, IN	07/02/2020	12/15/2020	12/24/2020	112697	American Portfolios Financial Services Incorporated	ISC	1096559	Thomas Wayne Perry.	IN	RJM Counsel PLLC	NO	NO	2	G	Philip J. Glick, Esq.	1
20-00749	Phoenix, AZ	03/04/2020	11/18/2020	12/29/2020	19616	Wells Fargo Clearing Services LLC	K&L Gates LLP	1210222	Deeann Jo Griebel	AZ	Tiffany & Bosco	NO	NO	7	G	Elliott David Finkel, Esq. - Chair; Kenneth L. Mann; Kenneth R. Johnston	2
20-02859	Hartford, CT	08/28/2020	12/17/2020	12/29/2020	133763	Sagepoint Financial Incorporated	ISC	2253639	Christopher J. Calandra.	CT	None	NO	NO	1	G	Samuel Harrison Chorches, Esq.	1
20-01890	New York, NY	06/15/2020	12/21/2020	12/30/2020	705	Raymond James & Associates Incorporated	ISC	1729538	Jeff D. Wolk	NY	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Denise L. Quarles, Esq.	1
20-01457	Phoenix, AZ	05/08/2020	12/09/2020	12/31/2020	15724	Capital Investment Group Incorporated	ISC	4918409	Kelly Gene Richards	AZ	AdvisorLaw LLC	NO	NO	1	G	Merton E. Marks, Esq.	1
20-02422	Louisville, KY	07/29/2020	12/18/2020	12/31/2020	705	Raymond James & Associates Incorporated	ISC	2237620	William H. Borders II.	KY	Bressler Amery & Ross	NO	NO	1	G	Mark Alexander Sipper	1
20-01371	New Orleans, LA	04/30/2020	12/16/2020	12/31/2020	250	Edward Jones	ISC	2602300	Ian Eugene James	TX	AdvisorLaw LLC	NO	NO	2	G	C. Sumpter Logan	1
20-01606	Boca Raton, FL	05/20/2020	12/10/2020	01/08/2021	8174	UBS Financial Services Incorporated	ISC	2535792	James L. Springer	FL	Stein & Stein	NO	NO	7	G	Edward R. Niederritter, Esq. - Chair; Justin Wallace Askins; Sheryl Sagel	2
20-01350	Dallas, TX	04/29/2020	01/07/2021	01/11/2021	2525	Deutsche Bank Securities Incorporated	Paduano & Weintraub	2083670	Douglas Scott Wall	TX	AdvisorLaw LLC	OB	NO	1	D	Eric Ross Cromartie	1
20-01317	Jersey City, NJ	05/15/2020	12/15/2020	01/12/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1425397	Lori Reisman Sackler	NJ	Lawrence R. Gelber Attorney-at-Law	NO	NO	1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-01298	New York, NY	04/23/2020	12/21/2020	01/12/2021	15007	Aegis Capital Corporation	ISC	2997006	Christopher Adam Knutson	NY	Warren Law Group	NO	NO	1	D	Edward W. Morris, Jr., Esq.	1
20-02062	Phoenix, AZ	06/30/2020	12/09/2020	01/13/2021	110301	Union Capital Company	ISC	1575694	Francisco B. Almada	AZ	Warren Law Group	NO	NO	1	G	Howard R. Gaines, Esq.	1
20-01328	Minneapolis, MN	04/28/2020	01/12/2021	01/13/2021	18387	Thrivent Investment Management Incorporated	Bryan Cave et al.	1272316	Gary Arthur Tangwall.	MN	AdvisorLaw LLC	NO	NO	1	G	Leonard Arthur Nelson, Esq.	1
20-01426	Jersey City, NJ	05/05/2020	01/06/2021	01/13/2021	5167	NYLife Securities LLC	Lubarsky Law Firm PLLC	2877282	James Edward Dy.	NJ	AdvisorLaw LLC	NN	NO	1	G	Robert E. Anderson, Esq.	1
20-02227	New York, NY	07/15/2020	12/15/2020	01/13/2021	6627	Equitable Advisors LLC	ISC	4865562	Joseph R. DiMauro	NY	Imbesi Law Group PC	NO	NO	1	G	Joan Maxine Secofsky	1

20-01789	Chicago, IL	06/05/2020	01/13/2021	01/14/2021	250	Edward D. Jones & Company Limited Partnership	ISC	6390253	Kyle Kenneth Stone.	FL	Gregory B. Simon Law LLC	NO	NO	1	G	Leonard Arthur Nelson, Esq.	1
20-01712	Chicago, IL	06/01/2020	01/07/2021	01/14/2021	149777; 1252	Morgan Stanley; William Blair & Company LLC	ISC (MSSB); Ulmer & Berne (WB)	1228369	Brian Lance Kasal	IL	Law Offices of Joshua B. Kons LLC	OB NN	NO	3	G	Michael S. Matek, Esq.	1
20-02042	Manchester, NH	06/28/2020	12/16/2020	01/14/2021	10111	PFS Investments Incorporated	ISC	1336226	Thomas McWilliams	NH	Stephano Sharma	NO	NO	1	G	James W. (Jim) Geiger - Chair; John James McGovern, Jr., Esq.; Patrick W. McKeon, Esq.	1
19-03667	New York, NY	12/11/2019	12/09/2020	01/15/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1956050	Richard Harrison Streisfeld	NY	Law Offices of Amy Bard	NO	NO	2	G	James M. Rhodes	1
20-00945	New York, NY	03/23/2020	12/15/2020	01/15/2021	40982	John Thomas Financial	No-show	2933979	Wade Theodore Papapanagiotu	NY	FA Expungement	NO	NO	1	G	Brian John Gallagher	1
20-02117	Cincinnati, OH	07/03/2020	12/17/2020	01/15/2021	8174; 11025	UBS Financial Services Incorporated; Wells Fargo Advisors Financial Network	ISC	2385447	Timothy Patrick Lofton	OH	FA Expungement	NO	NO	4	G	John C. Aten	1
20-02069	Portland, OR	06/30/2020	12/14/2020	01/15/2021	2493	Somerset Securities Incorporated	No-show	4143693	Brian Thomas Horn	OR	AdvisorLaw LLC	NO	NO	1	G	Katherine Hendricks, Esq.	1
20-02262	Dallas, TX	07/17/2020	01/11/2021	01/15/2021	44707	Pro-Integrity Securities Incorporated	ISC	2873081	Gerald Marvin Hast	TX	Galvin Legal PLLC	NO	NO	2	G	Jeff Howard Abrams	1
20-01448	Indianapolis, IN	05/07/2020	01/07/2021	01/19/2021	14251	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	1038929	James Robert Holt Jr.	IN	AdvisorLaw LLC	NO/NN	NO	5	G/W	Lynn Hirschfeld Brahlin, Esq.	1
20-01729	Salt Lake City, UT	06/02/2020	12/22/2020	01/19/2021	6627	AXA Advisors LLC	ISC	4900161	Joseph Andrew Davis	UT	AdvisorLaw LLC	NO	NO	1	G	Donald Neil Tolin	1
20-01132	New York, NY	04/06/2020	12/21/2020	01/20/2021	44791	JD Nicholas & Associates Incorporated	No-show	2871712	Nicholas George Tsikitas.	FL; NY	Weltz Kakos et al.	NO	NO	1	G	Richard Gee	1
20-01198	Atlanta, GA	04/14/2020	01/05/2021	01/20/2021	2543	B Riley Wealth Management	ISC	1372000	Chesley Venable Morton Jr.	GA	AdvisorLaw LLC	NO	OB	1	G	Michael J. Ahlstrom, Esq.	1
20-01069	Los Angeles, CA	04/01/2020	01/07/2021	01/21/2021	10409	MML Investors Services LLC	Stevens & Lee	5964207	Brian Michael Brennan	CA	Judex Law LLC	NO	NO	1	G	Anita Rae Shapiro, Esq.	1
20-01949	New York, NY	06/19/2020	01/05/2021	01/22/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1673373	Frank Lyon Polk III	FL; NY	FA Expungement	NO	NO	3	D	Matthew Fenster	1
19-02481	Boston, MA	08/22/2019	11/19/2020	01/22/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4216474	Salvatore Mansueto	MA	Bartell Law PLLC	NO	NO	1	G	Gene M. Bauer, Esq. - Chair; Jeffrey P. Petrucelly, Esq.; Tristan Nicholas Ostronic	1
20-02244	New York, NY	07/16/2020	01/19/2021	01/22/2021	6363	Ameriprise Financial Services LLC	ISC	1779887	Gary Richard Nuccio	NY	Louviere Law Firm PA	NO/NN	NO	4	G	Anna Lascar	1
20-02183	Houston, TX	07/10/2020	01/20/2021	01/22/2021	43285	M Holdings Securities Incorporated	ISC	268144	Michael Bruce Kentor	TX	AdvisorLaw LLC	OB UN	NO	2	D	Thomas A. Martin, Esq.	1

20-01860	Richmond, VA	06/11/2020	01/15/2021	01/22/2021	23131	Royal Alliance Associates Incorporated	ISC	5555399	Thomas C. West	VA	Troutman Pepper et al.	NO	NO	1	G	Tina E. Patterson - Chair; David Edward Upton; Glenn H. Catalano	1
20-01867	Memphis, TN	06/12/2020	12/08/2020	01/25/2021	4	AG Edwards & Sons Incorporated	ISC	2250844	Joseph Clay Young IV	AR	FA Expungement	NO NO-D	NO	3	G	Hon. A.J. Seier	1
20-01047	Los Angeles, CA	03/30/2020	01/07/2021	01/25/2021	7461	FSC Securities Corporation	Freeman Mathis & Gray	1624126	Ralph Gerard Adamo	CA	HLBS Law	NN	NO	1	G	Michael M. Hachigian, Esq.	1
20-02191	New Orleans, LA	07/10/2020	01/19/2021	01/25/2021	13572	Cetera Advisor Networks LLC	ISC	1206789	David Carl Stokes.	LA	AdvisorLaw LLC	NO/NN	NO	3	G	David A. Schuler	1
20-01643	Boca Raton, FL	05/26/2020	01/19/2021	01/25/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2414071	Daniel Cohen	NH	Zadanosky & Associates PA	NO	NO	2	G	Kimberly A. Gilmour, Esq.	1
20-01980	Manchester, NH	06/23/2020	01/13/2021	01/25/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2199987	Paul Francis Barry	NH	Louviere Law Firm PA	NO	NO	1	G	Robert J. Ambrogi, Esq.	1
20-02264	San Juan, PR	07/17/2020	01/20/2021	01/25/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2180310	Angel M. Canabal	PR	McConnell Valdes LLC	NO	NO	1	G	Louis David Huss	1
20-00437	Houston, TX	02/06/2020	01/12/2021	01/25/2021	39543	Cambridge Investment Research Incorporated	ISC	3239144	Kyle Andrew Sadler	TX	None	NO	NO	1	G	G. Dennis Sheehan - Chair; Danielle L. Hargrove, Esq.; Oren L. Connaway, JD	1
20-02154	Los Angeles, CA	07/08/2020	01/12/2021	01/26/2021	7461	FSC Securities Corporation	Freeman Mathis & Gray	1283719	James Wynn Regitz Jr.	CA	HLBS Law	NN	NO	1	G	Michael D. Harrison, Esq.	1
20-02207	Los Angeles, CA	07/13/2020	12/12/2020	01/26/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	711963	Phillips M. Huffman	CA	Keesal Young & Logan	UN	NO	1	D	Thomas E. Shuck, Esq.	1
20-01735	Milwaukee, WI	06/03/2020	01/14/2021	01/26/2021	6363	Ameriprise Financial Services LLC	ISC	1806466	John Francis Lynch	FL	AdvisorLaw LLC	OB/NO	NO	5	G	Lynn Hirschfeld Brahini, Esq.	1
20-02123	Boston, MA	07/06/2020	01/20/2021	01/26/2021	149777	Morgan Stanley	ISC	3179934	Leo Anthony Robinson Jr.	FL; MA	AdvisorLaw LLC	NO	NO	1	G	Gerard S. Marsan, Esq.	1
20-01832	Chicago, IL	06/10/2020	01/19/2021	01/26/2021	250	Edward D Jones & Company Limited Partnership	ISC	4622646	Matthew Roman Kneifl	IA	Gregory B. Simon Law LLC	NO	NO	1	G	Lynn Hirschfeld Brahini, Esq.	1
20-01785	Cincinnati, OH	06/05/2020	01/19/2021	01/26/2021	149777	Morgan Stanley	ISC	2879982	Raymond M. Stacy	KY	FA Expungement	NO	NO	2	D	John W. Eichleay, Jr., Esq.	1
20-02141	Boston, MA	07/07/2020	01/21/2021	01/26/2021	6413	LPL Financial LLC	ISC	2788457	Mary L. McDonald	MA	Ghabai Law Group LLC	NO	NO	1	G	Michael P. Breton	1
20-02595	Hartford, CT	08/12/2020	01/20/2021	01/26/2021	5167	NyLife Securities LLC	Lubarsky Law Firm PLLC	6040892	Jeffrey Still	MA	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Robert B. Titus	1
20-01362	New York, NY	04/30/2020	12/16/2020	01/26/2021	41791; 6413	Santander Securities LLC; LPL Financial LLC	Ghabai Law Group LLC (SS); ISC (LPL)	5499059	Safet Musovic	NY	Sichenzia Ross Ference LLP	OB/NO	NO	2	G	Robert E. Anderson, Esq.	1

20-01599	Cincinnati, OH	05/20/2020	01/19/2021	01/26/2021	131282	USA Advanced Planners Incorporated	No-show	2958719	Bryon Keith Spicer	OH	AdvisorLaw LLC	OB	NO	1	G	John F. Burns, Esq.	1
20-01862	Los Angeles, CA	06/12/2020	01/12/2021	01/27/2021		None.	Customer	5524250	Richard Ramos	CA	None	NO	NO	1	G	Steven H. Gourley, Esq. - Chair; McKinley Perkins, III; Jeffrey E. Skogsbergh, Esq.	1
20-01180	Boston, MA	04/10/2020	01/19/2021	01/27/2021	8032	Commonwealth Financial Network	ISC	4406581	Nathaniel Jay Tilton.	MA	Judex Law LLC	NO	NO	1	G	Gerard S. Marsan, Esq.	1
20-01465	San Francisco, CA	05/08/2020	01/12/2021	01/28/2021	16361; 7691	Banc of America Investment Services Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2882035	Brian John Addington	CA	FA Expungement	NO	NO	1	G	John J. Flynn	1
20-02229	New York, NY	07/15/2020	01/07/2021	01/28/2021	6627	Equitable Advisors LLC	ISC	4865562	Joseph R. DiMauro	NY	Imbesi Law Group PC	NO	NO	1	G	Ira A. Auerbach	1
20-01592	San Francisco, CA	05/19/2020	12/21/2020	01/29/2021	5249	John Hancock Distributors LLC	ISC	848798	Richard Evan Baer	CA	HLBS Law	NO	NO	1	G	Kevin C. Coleman, JD	1
20-02147	Boca Raton, FL	07/07/2020	01/25/2021	01/29/2021	149777	Morgan Stanley	ISC	3053046	Jason Erik Stephens	FL	HLBS Law	NO	NO	1	G	Kimberly A. Gilmour, Esq.	1
20-01820	Boston, MA	06/09/2020	01/05/2021	01/29/2021	5167	NYLife Securities LLC	Lubarsky Law Firm PLLC	5331067	Douglas L. Padden	MA	Louviere Law Firm PA	NO	NO	1	G	Howard N. Gorney	1
20-02448	New York, NY	07/30/2020	01/25/2021	01/29/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4035624	Brian Schiller	NJ	Law Offices of Amy Bard	NO	NO	1	G	Robert E. Anderson, Esq.	1
20-01128	New York, NY	04/06/2020	01/06/2021	01/29/2021	17412	Gould Ambrosio & Associates Limited	ISC	859012	Jay A. Ambrosio	NY	AdvisorLaw LLC	NO	NO	8	G	Joseph I. Liebman, Esq.	1
20-01927	New York, NY	06/18/2020	01/21/2021	01/29/2021	149777	Morgan Stanley	ISC	4464190	Brandon Matthew Sobel	NY	AdvisorLaw LLC	NO	NO	1	G	Joan M. Traub, Esq.	1
20-01850	Portland, OR	06/11/2020	01/19/2020	01/29/2021	6363	Ameriprise Financial Services LLC	ISC	2740109	Daniel John Ruediger	OR	Saretsky Hart et al.	NO	NO	1	G	Kenneth James Pedersen	1
20-01466	Philadelphia, PA	05/08/2020	10/28/2020	01/29/2021	5685	Pruco Securities LLC	Reyes Kurson Ltd.	5685303	Kevin Patrick Janus	PA	Louviere Law Firm PA	NO	NO	2	G	Carol H. Gold, Esq.	2
20-01761	Boca Raton, FL	06/04/2020	01/19/2021	02/01/2021	12984	INVEST Financial Corporation	Saretsky Hart et al.	5277483	Vincent Montanti	FL	Fowler White Burnett PA	NO	NO	1	G	Mark Allen Bilawsky	1
20-02067	Chicago, IL	07/01/2020	02/01/2021	02/01/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2974339	Peter A. Schallmoser	IL	None	NN	NO	1	D	Thomas P. Valenti - Chair; Jerome F. Crotty, Esq.; Alicia Hilton	1
20-01593	San Francisco, CA	05/19/2020	01/20/2021	02/02/2021	165828	Lion Street Financial LLC	No-show	848798	Richard Evan Baer	CA	HLBS Law	NO	NO	1	D	Kevin C. Coleman, JD	1
20-01016	Detroit, MI	03/30/2020	11/02/2020	02/02/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1444222	John William Boukamp III	FL; MI	Saretsky Hart et al.	NO	NO	1	G	Carl E. Ver Beek, JD	2
20-02334	Columbus, OH	07/24/2020	01/27/2021	02/02/2021	628	Fifth Third Securities Incorporated	No-show	4774894	Titus D. Allen	OH	Louviere Law Firm PA	NO	NO	1	G	John F. Burns, Esq.	1

20-01021	Seattle, WA	03/30/2020	01/12/2021	02/02/2021	6413	LPL Financial LLC	ISC	4590715	Kirk Mitchell Balin	WA		Kalberer LLP	NO	NO	2	G	Katherine Hendricks, Esq.	1	
20-02212	Salt Lake City, UT	07/13/2020	01/21/2021	02/02/2021	6363	Ameriprise Financial Services LLC	ISC	5236571	Jacob Robert Goddard	WA		Galvin Legal PLLC	NO	NO	1	G	Jeffrey M. Allen, Esq.	1	
20-01622	Chicago, IL	05/21/2020	02/01/2021	02/03/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3053388 1874637	David C. Eidell; Derek D. Christian	FL; IL	IL	AdvisorLaw LLC	NO	NO	2	G	Philip J. Glick, Esq.	1	
20-02672	Atlanta, GA	08/19/2020	02/01/2021	02/03/2021	46173	Park Avenue Securities LLC	ISC	1571020	Ralph Lamar Barden	GA		AdvisorLaw LLC	NO	NO	2	G	Lita S. Menkin, JD	1	
20-01869	Boston, MA	06/05/2020	01/26/2021	02/03/2021	35747	Purshe Kaplan Sterling Investments	ISC	2656136	Jason Todd Skolnick	MA		AdvisorLaw LLC	NO	NO	1	G	Denise L. Presley, Esq.	1	
19-03818	Jersey City, NJ	12/26/2019	02/01/2021	02/03/2021	249	Oppenheimer & Company Incorporated	ISC	4830089	Daniel Lawrence Katz	NJ		Bressler Amery & Ross	NO	NO	1	G	Michael H. DuBoff, Esq. - Chair; Robert E. Anderson, Esq.;	Richard Morse	1
20-02081	New York, NY	07/01/2020	01/22/2021	02/03/2021	15007	Aegis Capital Corporation	ISC	2447817	Dominick Joseph Diorio Jr.	NY		Weltz Kakos et al.	NO NN	NO	4	G	Karen Isabel Bedrosian-Richardson	1	
20-02363	New York, NY	07/26/2020	01/25/2021	02/03/2021	149777	Morgan Stanley	ISC	2993676	Kamesh Nagarajan	NY		D'Costa Law	NO	NO	1	G	William E. Nuckel	1	
20-02136	Salt Lake City, UT	07/07/2020	01/07/2021	02/03/2021	10409	MML Investors Services LLC	Stevens & Lee	2182796	Brian Glen Kasteler	UT		AdvisorLaw LLC	NO/NN	NO	3	G/D	Suanne M. Parro, CPA	1	
20-01838	Los Angeles, CA	06/10/2020	01/21/2021	02/04/2021	30833; 2881	Centaurus Financial Incorporated; Northwestern Mutual Investment Services LLC	ISC	2665577	James V. Peters	CA		FA Expungement	OB.NO	NO	2	G	Andrew M. Mintzer, CPA	1	
19-02864	Boca Raton, FL	09/23/2019	12/11/2020	02/04/2021	149777; 119037; 119037;	Morgan Stanley; Cantella & Company Incorporated; Laidlaw & Company (UK) Limited; GunnAllen Financial Incorporated	ISC (MSSB, Cantella & L&CUK); No-show (GAF)	1125274	Philip E. Rosensweig	FL		Sallah Astarita & Cox LLC	NO/NN	NO	11	G/W	Will Murphy, Esq.	2	
20-01664	New York, NY	05/27/2020	01/26/2021	02/04/2021	79	JP Morgan Securities LLC	Ulmer & Berne	5939621; 1399171	Zachary Aaron Morris; Jeffrey Stephen Diamond.	GA	GA	Eugene L. Small PC	OB	NO	2	G	Kent L. Benziger, Esq. - Chair; Josian Antoine, Esq.;	Thomas M. Amadio	1
20-01479	Houston, TX	05/11/2020	01/22/2021	02/04/2021	7471; 19616	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Reyes Kurson Limited (PEG); ISC (WFCS)	312672; 1144198	Howard Steven Lorch; Patricia McMahon Bonnot.	TX	TX	Berry Odom LLP	NO	NO	4	G	G. Maynard Green, JD	2	
20-02820	Boca Raton, FL	08/27/2020	02/03/2021	02/05/2021	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	2138803	Donna Prisciantelli DeSanctis	FL		Kaufman Dolowich & Voluck LLP	OB	NO	3	G	Will Murphy, Esq.	1	
20-01630	Atlanta, GA	05/22/2020	02/02/2021	02/05/2021	31194	RBC Capital Markets LLC	Dorsey & Whitney	2432414	Marc Aubrey Alexander	GA		Smiley Bishop & Porter LLP	NO	NO	1	G	Scott A. Schweber	1	

20-03080	Columbia, SC	09/09/2020	01/29/2021	02/05/2021	11025	Wells Fargo Advisors Financial Network LLC	Robinson Bradshaw & Hinson	2366552	Jeffrey Lamar Burton.	SC	McCullough Khan LLC	OB	NO	1	G	John P. Cullem, Esq. - Chair; Richard S. Zaifert, Esq.; Christopher Cecil Lamb	1
20-01941	Jersey City, NJ	06/18/2020	01/14/2021	02/08/2021	41282	The Jeffrey Matthews Financial Group LLC	ISC	1563513	David Anthony Chieco	NJ	Jardim Meisner & Susser	NO	NO	2	G	Marvin L. Schuldiner	1
20-01324	Richmond, VA	04/27/2020	12/17/2020	02/08/2021	6627	AXA Advisors LLC	ISC	4719301	Trevor Tye Roberts	VA	AdvisorLaw LLC	NO	NO	1	G	William F. Etherington, Esq.	1
20-01974	San Francisco, CA	06/23/2020	01/27/2021	02/09/2021	8209	Morgan Stanley & Company LLC	Keesal Young & Logan	2028654	Russell Alan Abbott.	CA	HLBS Law	OB	NO	1	G	Laurel Littman Gothelf, MPH	1
19-03579	Hartford, CT	12/04/2019	01/19/2021	02/09/2021	6413	LPL Financial LLC	Baritz & Colman	4128808	Kevin C. Fretz	CT	Herskovits PLLC	OB/NO NN	OB/NO	4	D	Robert B. Titus	1
20-01720	Chicago, IL	06/02/2020	02/04/2021	02/09/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1208564	Wesley D. Tate	FL	Herskovits PLLC	NO UN	NO	2	D	Lynn Hirschfeld Brahini, Esq.	1
20-02259	Chicago, IL	07/20/2020	01/28/2021	02/09/2021	7995	Ausdal Financial Partners Incorporated	Kaufman Dolowich & Voluck LLP	2845238	Kraig R. Mickelsen	IL	David A. Genelly Limited	OB	NO	1	D	Lynn Hirschfeld Brahini, Esq.	1
20-01296	New York, NY	04/23/2020	02/08/2021	02/09/2021	5685	Pruco Securities LLC	Reyes Kurson Ltd.	6108594	Zachary Brody.	NJ	Law Office of Brian Kennedy	NO	NO	1	G	Joan M. Traub, Esq.	1
20-02314	Jersey City, NJ	07/22/2020	02/03/2021	02/09/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2281000	Christopher Mark Paglia	NJ	Louviere Law Firm PA	OB	NO	1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-01102	San Francisco, CA	04/14/2020	02/02/2021	02/10/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	816890	James Patrick Kirwan	CA	HLBS Law	OB	NO	1	D	Mary Margaret Bush, Esq.	1
20-00701	Washington, DC	03/02/2020	01/19/2021	02/10/2021	6555	Legg Mason Wood Walker Incorporated	No-show	1230244	Sheila Spainhour Shaffer	WV	AdvisorLaw LLC	NO	NO	1	G	Kelli J. Jareaux, Esq.	1
20-02491	Phoenix, AZ	08/04/2020	02/09/2021	02/11/2021	5979	Ameriprise Advisor Services Incorporated	ISC	2454877	Stephen Hendrie Ledyard	AZ	AdvisorLaw LLC	NO	NO	2	G	Howard R. Gaines, Esq.	1
20-02163	Chicago, IL	07/09/2020	02/04/2021	02/11/2021	6363	Ameriprise Financial Services LLC	ISC	2186611	Scott D. Smith.	IN	Saretsky Hart et al.	NO	NO	1	G	Steven H. Vogel, Esq.	1
20-02622	Minneapolis, MN	08/17/2020	02/05/2021	02/11/2021	39543; 144131	Cambridge Investment Research Incorporated; Spire Securities LLC	ISC (CIR); Stark & Stark (SS)	2385266	James David Goodland	MN	FA Expungement	NO	NO	2	G/D	Gregory G. Gocek	1
20-01772	New York, NY	06/03/2020	01/26/2021	02/11/2021	104065	NewBridge Securities Corporation	Kaufman Dolowich & Voluck LLP	1834687	Anil I. Jethmal	NY	Judex Law LLC	NO	NO	2	G	Veronica Ann Williams	1
20-02436	New York, NY	07/29/2020	02/09/2021	02/12/2021	8174	UBS Financial Services Incorporated	ISC	1812829	Jason I. Feldman	NY	Law Offices of Amy Bard	NO	NO	1	G	Howard L. Sobel	1
20-01624	Philadelphia, PA	05/21/2020	01/21/2021	02/12/2021	3978	Lincoln Financial Advisors Corporation	ISC	3102817	David Mark Ellowitch	PA	Stradley Ronon et al.	OB	NO	1	G	James W. (Jim) Geiger	1
20-02531	Helena, MT	08/07/2020	02/11/2021	02/15/2021	6413	LPL Financial LLC	ISC	4350095	Sarah J. Hussey	MT	Ghabai Law Group LLC	NO	NO	1	G	Laurel Littman Gothelf, MPH	1

20-02379	Dallas, TX	07/28/2020	02/10/2021	02/16/2021	79	JP Morgan Securities LLC	Ulmer & Berne	1630685	Matthew Reese Mason	AZ	Louviere Law Firm PA	NO	NO E	1	G	Eric Ross Cromartie	1
20-01573	New York, NY	05/18/2020	02/02/2021	02/16/2021	7569	National Securities Corporation	ISC	4179988	Tuan Phan	FL	Judex Law LLC	NO	NO	4	G	Josian Antoine, Esq.	1
20-02133	Columbus, OH	07/07/2020	02/02/2021	02/16/2021	6363	Ameriprise Financial Services Incorporated nka Ameriprise Financial Services LLC	ISC	2854001	Richard Lee Pierce	OH	AdvisorLaw LLC	NO	NO	1	G	Mark Alexander Sipper	1
20-02456	San Francisco, CA	08/04/2020	02/03/2021	02/17/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	703012	Steven Kent Quinly	CA	Gonser Law PC	NO	NO	1	G	Peter H. Daly	1
20-02257	Jacksonville, FL	07/17/2020	02/04/2021	02/17/2021	6413	LPL Financial LLC	ISC	1536627	Michael Scott McCranie	FL	Shumaker Loop & Kendrick	NO	NO	1	G	John P. Cullem, Esq. - Chair; Mitchel Weiss, Esq.; Joan Stearns-Johnsen, Esq.	1
20-01505	Minneapolis, MN	05/13/2020	02/09/2021	02/17/2021	8408; 20804	Capital Financial Services Incorporated; United Planners Financial Services	ISC	2527905	Jason Christopher Erickson	SD	FA Expungement	UN	NO	1	D	Mark S. Gleason, Esq.	1
20-02128	Oklahoma City, OK	07/07/2020	02/09/2021	02/17/2021	6413	LPL Financial LLC	ISC	4506880	Bill Emory Thompson	TX	AdvisorLaw LLC	NO/NN	NO	2	G	Sherry R. Wetsch, Esq.	1
20-02311	Seattle, WA	07/22/2020	02/01/2021	02/17/2021	25574	Chase Investment Services Corporation	Keesal Young & Logan	4771994	Aaron M. Easter	WA	FA Expungement	NO-D	NO	1	D	James E. Bartels	1
20-02828	Indianapolis, IN	08/28/2020	01/25/2021	02/18/2021	5393	Charles Schwab & Company Incorporated	ISC	6419941		IN	Galvin Legal PLLC	NO	NO	1	G	Carl E. Ver Beek, JD	1
20-00939	Kansas City, MO	03/23/2020	02/09/2021	02/18/2021	665	Piper Jaffray Incorporated	ISC	1728514	James Richard Azeltine	KS	Judex Law LLC	NO	NO	1	G	John R. Loss, Esq.	1
20-01856	San Juan, PR	06/11/2020	02/10/2021	02/18/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	4313868	Ricardo Eboli-Kodesh	PR	McConnell Valdes LLC	NO	NO	1	G	Christopher J. Klein, Esq.	1
20-02621	Dallas, TX	08/17/2020	02/16/2021	02/18/2021	250	Edward D Jones & Company Limited Partnership	Quarles & Brady	2144260	Randall Victor Childress	TX	FA Expungement	NO	NO	2	G	William E. Hartsfield, Esq.	1
20-01830	Tampa, FL	06/10/2020	02/04/2021	02/19/2021	14251	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	4193397	Mario Govic	CA	HLBS Law	OB	NO	1	G	Thomas J. Patka, Esq.	1
20-02823	Boca Raton, FL	08/27/2020	02/16/2021	02/19/2021	154327	MSEC LLC	ISC	1320067	Faith Read Xenos	FL	Baritz & Colman	NO	NO	1	G	Louis David Huss	1
20-02668	New York, NY	08/18/2020	01/27/2021	02/19/2021	79	JP Morgan Securities LLC	Duane Morris LLP	5366233	Kurt Peter Kempkes	NY	AdvisorLaw LLC	NO	NO	1	G	Roger M. Deitz, Esq.	1

20-02742	San Juan, PR	08/21/2020	02/08/2021	02/19/2021	8174	UBS Financial Services Incorporated	McConnell Valdes LLC	4638012	Jeffrey Rodriguez-Aponte	PR, FL	Herskovits PLLC	NO	NO	4	G	Gerald Silverman, Esq.	1
20-01292	Boca Raton, FL	04/23/2020	02/11/2021	02/22/2021	14251	MetLife Securities Incorporated	Harris & Affiliates Ltd.	3160832	Andrew Ryan Goldberg	FL	D'Costa Law PC	NO NN	NO	3	G/D	Mark Allen Bilawsky	1
20-02289	New York, NY	07/20/2020	02/17/2021	02/22/2021	8174	UBS Financial Services Incorporated	ISC	2263684	Mark Allen Zeller	FL	Law Offices of Amy Bard	NO	NO	1	G	Joan M. Traub, Esq.	1
20-01157	Detroit, MI	04/09/2020	02/08/2021	02/22/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1444222	John William Boukamp III	FL; MI	Saretsky Hart et al.	UN	NO	1	D	Michele Renee Zinn	1
20-02954	New York, NY	09/02/2020	02/11/2021	02/22/2021	146251	Spartan Capital Securities LLC	No-show	3243141	Michael A. Darvish	NY	Ulmer & Berne	NO	NO	1	G	Jill Pilgrim, Esq.	1
20-02266	Phoenix, AZ	07/20/2020	11/30/2020	02/23/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1257449	Michael Joseph Marshall	AZ	Galvin Legal PLLC	UN	NO	1	D	Benjamin F. Breslauer	1
20-02506	Hartford, CT	08/05/2020	02/03/2021	02/23/2021	30833; 43100	Centaurus Financial Incorporated; Questar Capital Corporation	ISC (CF); Guerra King PC (QC)	2101383	Stephen Edward Bohan	CT	FA Expungement	NO	NO	3	G	Mark Stuart Gurevitz	1
20-01779	Kansas City, MO	06/05/2020	11/30/2020	02/23/2021	31194	RBC Capital Markets LLC	Dorsey & Whitney	3207685	Kevin Wayne Piker	KS	AdvisorLaw LLC	OB	NO	1	G	Maxel B. (Bud) Silverberg, Esq.	2
20-00493	Detroit, MI	02/12/2020	11/02/2020	02/23/2021	13475	Summit Brokerage Services Incorporated	Winget Spadafora & Schwartzberg LLP	1748899	Gerard Thaddeus Taylor	MI	HLBS Law	NO	NO	3	G	Tracy L. Allen, Esq.	2
20-01412	St. Louis, MO	05/05/2020	02/18/2021	02/23/2021	132995	Rainmaker Securities LLC	ISC	6275277	Amy Boyet Besse	MO	AdvisorLaw LLC	NO	NO	1	G	Tracy L. Allen, Esq.	1
20-02477	Boston, MA	08/03/2020	02/17/2021	02/24/2021	8174	UBS Financial Services Incorporated	ISC	3141863	Timothy Burr Davis	MA	Louviere Law Firm PA	NO	NO	1	G	Robert J. Ambrogi, Esq.	1
20-00491	Detroit, MI	02/12/2020	10/28/2020	02/24/2021	11025	Wells Fargo Advisors Financial Network LLC	ISC	1748899	Gerard Thaddeus Taylor	MI	HLBS Law	NO/NN	NO	2	G	Patrick R. Sughroue, Esq.	2
20-02582	Philadelphia, PA	08/11/2020	02/04/2021	02/24/2021	17839	The Investment Center Incorporated	ISC	1454586	Jeffrey Scott Heinel	NJ	Winget Spadafora & Schwartzberg LLP	NO	NO	1	G	Gregory J. Spadea - Chair; Dean L. Scarpa	1
20-02760	Birmingham, AL	08/24/2020	02/18/2021	02/25/2021	27060	BBVA Securities Incorporated	No-show	1321602	Robert Dudley Smith	AL	Bressler Amery & Ross	NO	NO	5	G	Michael J. Ahlstrom, Esq.	1
19-00339	Los Angeles, CA	01/29/2019	01/19/2021	02/25/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2963891	Michelle L. Marquez	CA	Aidikoff Uhl & Bakhtiari	NO	NO	1	G	Joyce L. Hurley	1
20-01667	Tampa, FL	05/28/2020	02/12/2021	02/26/2021	173962	Bankers Life Securities Incorporated	S.K. Huffer & Associates PC	6277823	Primo Bushati	FL	D'Costa Law	NO	NO	2	G	Brian G. Mooney, Esq.	1
20-02518	Tampa, FL	08/06/2020	02/18/2021	02/26/2021	628	Fifth Third Securities Incorporated	Dinsmore & Shohl LLP	4761782	David Lloyd Bennett	FL	Guerra King PA	NO NO-D	NO	2	G	Thomas J. Patka, Esq. - Chair; Joel F. Martineau; Howard B. Scherer	1
20-02396	Kansas City, MO	07/29/2020	02/16/2021	02/26/2021	13572	Cetera Advisor Network LLC	ISC	4497085	James V. Regier	KS	Rees Kincaid and Stanfield Law	NO	NO	3	G	John R. Loss, Esq.	1

20-03225	Detroit, MI	09/11/2020	02/12/2021	02/26/2021	39543; 144994	Cambridge Investment Research Incorporated; MKD Wealth Coaches LLC	ISC	4531242	Joseph Edgar Mackey	MI	Bressler Amery & Ross	NO	NO	1	G	Patrick R. Sughroue, Esq.	1
20-02883	Jersey City, NJ	08/31/2020	02/11/2021	02/26/2021	25766	Hennion & Walsh Incorporated	ISC	4565805	Lauren Christine Frahn	NJ	Hennion & Walsh Incorporated	NO	NO	3	G	Louis H. Miron, Esq.	1
20-01893	Baltimore, MD	06/16/2020	02/12/2021	03/01/2021	3978	Lincoln Financial Advisors Corporation	ISC	2183286; 4888498	Chadwick Kingsley Watson; Jeffrey John Furniss.	MD MD	Saretsky Hart et al.	NO	NO	2	G	Thomas J. Dolina	1
20-00501	New York, NY	02/12/2020	02/24/2021	03/01/2021	119037	Laidlaw & Company (UK) Limited	ISC	2396336	Todd Anthony Cirella	NY	Sichenzia Ross Ference LLP	NO	NO	9	G/W	John F. Duane, Esq.	1
20-02043	New York, NY	06/29/2020	02/25/2021	03/02/2021	8209	Morgan Stanley & Company LLC	ISC	5316404	Andrew D. Urbanski	FL; CT	AdvisorLaw LLC	NO	NO	1	G	William G. Binckes, Esq.	1
20-00778	St. Louis, MO	03/09/2020	10/14/2020	03/02/2021	16164; 23224	Transamerica Financial Advisors Incorporated; Madison Avenue Securities LLC	ISC (TFA); Winget Spadafora & Schwartzberg LLP (MAS)	1501352	Christopher John Jacob	MO	FA Expungement	NO	NO	1	G	Robert J. Gryzmala, Esq.	2
20-01929	New York, NY	06/18/2020	02/16/2021	03/02/2021	149777	Morgan Stanley Smith Barney LLC	ISC	2708865	James P. Lombardo Jr.	NY	Barton LLP	NO	NO	1	G	Peter E. Gillespie - Chair; Brian John Gallagher; Steven Gargiulo	1
20-02335	Atlanta, GA	07/24/2020	02/24/2021	03/03/2021	10299	Cetera Advisors LLC	ISC	2030660	Bernard Andre Breton	GA	The Law Office of Michael A. Nagy LLC	NO	NO	1	G	James C. Hoover, Esq.	1
20-02747	Chicago, IL	08/24/2020	02/25/2021	03/03/2021	11025	Wells Fargo Advisors Financial Network LLC	ISC	2907175	Charles Richard Sleezer	IL	Winget Spadafora & Schwartzberg LLP	NN	NO	1	G	Theodore W. Wroblewski, Esq.	1
20-02861	San Francisco, CA	08/31/2020	02/17/2021	03/04/2021	5167	NyLife Securities LLC	Dentons US LLP	4819319	Brian Allen Peardon	CA	HLBS Law	NO	NO	1	G	Michael Lancaster Garcia	1
20-02845	Atlanta, GA	08/28/2020	02/23/2021	03/04/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2827746	James Douglas Krantz	GA	AdvisorLaw LLC	NO	NO	1	G	Sherri Lynne Kimmell	1
20-02330	Boston, MA	08/04/2020	02/23/2021	03/04/2021	30613	Investors Capital Corporation	ISC	1225988	Richard Carmine Cella III	MA	Wilchins Cosentino & Novins LLP	NO	NO	1	G	Arthur J. Giacomarra, Esq. - Chair; Howard N. Gorney; Sharon L. Monroe	1
20-02149	Boston, MA	07/07/2020	02/25/2021	03/04/2021	5181	John Hancock Mutual Life Insurance Company	ISC	2277073	Jeremy Wade Benoit	NH	AdvisorLaw LLC	NO	NO	1	G	Howard N. Gorney	1
20-01975	San Francisco, CA	06/23/2020	02/23/2021	03/05/2021	7556	Morgan Stanley DW Incorporated	Keesal Young & Logan	2028654	Russell Alan Abbott	CA	HLBS Law	NO	NO	3	G	Laurel Littman Gothelf, MPH	1
20-02040	Jersey City, NJ	06/27/2020	02/17/2021	03/05/2021	36538	Celadon Financial Group LLC	ISC	1255474; 3196242	Daryl Scott Hersch; Jeffrey Peter Gordon	NJ NJ	Fowler White Burnett PA	OB	NO	2	G/D	Louis H. Miron, Esq.	2

20-02990	Los Angeles, CA	08/28/2020	02/24/2021	03/05/2021	30833	Centaurus Financial Incorporated	ISC	4625407	Troy Nicholas Tremblay	TN	Keesal Young & Logan	NO	NO	1	G	Robert D. Sussin, Esq.	1
20-01278	Las Vegas, NV	04/21/2020	02/15/2021	03/05/2021	19616	Wells Fargo Clearing Services LLC	ISC	1190414	Nora Virginia Castro	TX	AdvisorLaw LLC	NO/NN	NO	1	G	Erik R. Siering	1
20-03063	Jacksonville, FL	09/09/2020	03/04/2021	03/08/2021	149777	Morgan Stanley	ISC	2891488	John Emerson Porter	GA	Bressler Amery & Ross	NO	NO	2	G	Richard S. Zaifert, Esq.	1
20-03159	Jersey City, NJ	09/11/2020	03/03/2021	03/08/2021	25766	Hennion & Walsh Incorporated	ISC	4426047	Rachel Cabiltes Leventhal	NJ	Hennion & Walsh Incorporated	NO	NO	1	G	Paul Allan Massaro	1
20-00510	New York, NY	02/12/2020	03/01/2021	03/08/2021	79	JP Morgan Securities LLC	Satterlee Stephens LLP	2493270	Jorge G. Silva	NY	Brad S. Maistro PC	NO	NO	1	G	Patricia Kathleen Costello	1
20-02064	New York, NY	06/30/2020	03/03/2021	03/08/2021	7556	Morgan Stanley DW Incorporated	Greenberg Traurig LLP	2033396	David Bishop Smith	TX	AdvisorLaw LLC	OB/NO	NO	2	G	John F. Duane, Esq.	1
20-02409	Dallas, TX	07/29/2020	03/02/2021	03/08/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	724069	Dodee F. Crockett	TX	AdvisorLaw LLC	NO/NN	NO	2	G	Robert J. Gregory	1
20-01516	San Diego, CA	05/13/2020	02/04/2021	03/09/2021	20804	United Planners' Financial Services of America, A Limited Partnership	ISC	1752345	John David Glenn II.	CA	FA Expungement	NO	NO	1	G	Sally G. Williams	1
20-01824	Detroit, MI	06/10/2020	03/04/2021	03/09/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1444222	John William Boukamp III	FL; MI	Saretsky Hart et al.	NO	NO	1	G	Kevin R. Zehe	1
20-02248	San Juan, PR	07/16/2020	03/03/2021	03/09/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	2043544	Karen Vargas	PR	McConnell Valdes LLC	NO	NO	1	G	Gerald Silverman, Esq.	1
20-02869	Washington, DC	08/28/2020	02/25/2021	03/09/2021	6413	LPL Financial LLC	ISC	5431025	Daniel Oscar Uribe	VA	Ghabai Law Group LLC	NO	NO	1	G	Douglas Earl McLaren, Esq.	1
20-02770	Seattle, WA	08/24/2020		03/09/2021	17868	US Bancorp Investments Incorporated	Dorsey & Whitney	4462031	Jason Warren Plemons	WA	AdvisorLaw LLC	NO (PRESUMED)	OB E	1	D	Robert M. Stein, Esq.	0
20-02210	Manchester, NH	07/13/2020	03/02/2021	03/10/2021	39550	Citizens Securities Incorporated	Adler Pollock & Sheehan	2628512	Beverly Marie Ketel	NH	None	UN	OB	1	D	Patricia Gatto Hechavarria, Esq.	1
20-02727	New York, NY	08/20/2020	03/09/2021	03/10/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	38988	Roger E. Camp	NY	AdvisorLaw LLC	NO NO-D	NO	3	G	Susan A. Romano	1
20-02024	Boca Raton, FL	06/26/2020	02/26/2021	03/11/2021	149777	Morgan Stanley	ISC	4072112	John William Swaine	FL	Robert Wayne Pearce PA	NO	NO	1	G	Seth L. Finkel, Esq.	1
20-03035	Louisville, KY	09/08/2020	03/03/2021	03/11/2021	8174	UBS Financial Services Incorporated	ISC	2424616	Andrew William Arnold	KY	FA Expungement	NO-D	NO	1	G	James A. McIntosh	1

20-01572	New York, NY	05/18/2020	03/02/2021	03/11/2021	7569	National Securities Corporation	ISC	2913371	Ronald Joseph Large	NY	Judex Law LLC	NO	NO	1	G	Clive I. Morrnick	1
20-02988	Los Angeles, CA	09/03/2020	02/23/2021	03/11/2021	30833	Centaurus Financial Incorporated	ISC	4625407	Troy Nicholas Tremblay	TN	Keesal Young & Logan	UN	NO	1	D	Edith N. Dinneen, Esq.	1
20-02615	Dallas, TX	08/14/2020	03/02/2021	03/11/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1316011	Dwight Hills Emanuelson Jr.	TX	AdvisorLaw LLC	NO/NN	NO	5	G	David A. Schuler	1
20-02900	Houston, TX	09/01/2020	03/08/2021	03/11/2021	10299; 32444	Cetera Advisors LLC; First Allied Securities Incorporated	No-show (CA); ISC (FAS)	4883462	Christopher Kinsley Laroche	TX	AdvisorLaw LLC	NO	NO	1	G	Lynne M. Gomez, Esq.	1
20-02374	Wilmington, DE	07/27/2020	03/02/2021	03/11/2021	6363	Ameriprise Financial Services LLC	ISC	2811084	Caroline Marie Girgis	VA	AdvisorLaw LLC	NO	NO	1	G	John James McGovern, Jr., Esq.	1
20-02408	Montpelier, VT	07/28/2020	03/02/2021	03/11/2021	705	Raymond James & Associates Incorporated	ISC	2460452; 1558602	George D. Ewins Jr.; Richard J. Kowalski	VT VT	Lax & Neville	NO	NO	2	G	Louis H. Miron, Esq.	1
20-01822	San Diego, CA	06/09/2020	02/18/2021	03/12/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1752345	John David Glenn II.	CA	FA Expungement	NO	NO	2	G	Constance Ellen Boukidis	1
20-01903	Denver, CO	06/16/2020	02/25/2021	03/12/2021	8174	UBS Financial Services Incorporated	ISC	2242252	James Preston Shoffner Jr.	CO	FA Expungement	NO	NO	1	G	Anita Rae Shapiro, Esq.	1
20-01981	Boca Raton, FL	06/23/2020	03/05/2021	03/12/2021	249	Oppenheimer & Company Incorporated	ISC	6212719	Andrew Michael Lerner	FL	Zadanosky & Associates PA	NO	NO	1	G	Carl Shechter, Esq.	1
20-02525	Tampa, FL	08/06/2020	03/03/2021	03/12/2021	10299; 30613	Cetera Advisors LLC; Investors Capital Corporation	ISC	4735279	Melisa Mae Lloyd	FL	Louviere Law Firm PA	NO	NO	2	G	Thomas J. Patka, Esq.	1
20-02745	Philadelphia, PA	08/21/2020	02/25/2021	03/12/2021	615	New England Securities Corporation	Harris & Affiliates Ltd.	4367535	Bryan R. Cogliano	PA	AdvisorLaw LLC	NO	NO	1	G	Louis P. Wagman	1
20-03657	San Juan, PR	10/27/2020	03/10/2021	03/12/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	5827677	Jose E. Chaves	PR	Toro Colon Mullet PSC	NO	NO	2	G	Louis David Huss	1
20-01933	Dallas, TX	06/18/2020	03/02/2021	03/12/2021	47275	SCF Securities Incorporated	Kessler Collins PC	4232771	Brian Keith Moon	TX	Gregory B. Simon Law LLC	NO	NO	1	G	C. Sumpter Logan	1
20-02493	San Diego, CA	08/04/2020	02/11/2021	03/15/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5132333	Christopher Ficara	CA	HLBS Law	UN	NO	1	D	Morris S. Getzels, Esq.	1
20-00767	Buffalo, NY	03/06/2020	02/18/2021	03/15/2021	8174	UBS Financial Services Incorporated	ISC	5395259	Matthew Joseph Sotland	NY	AdvisorLaw LLC	NO	NO	1	G	Kevin R. Zehe	1

20-00858	San Juan, PR	03/13/2020	11/23/2020	03/15/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2121621	William John Serralles	PR; FL	McConnell Valdes LLC	NO	NO	11	G	Seth L. Finkel, Esq.	1
20-03174	Rapid City, SD	09/11/2020	03/09/2021	03/15/2021	6413	LPL Financial LLC	ISC	2927716	David Dale Donat	SD	Louviere Law Firm PA	NO	NO	1	G	Peter H. Daly	1
20-01557	Dallas, TX	05/18/2020	02/16/2021	03/15/2021	615	New England Securities	Harris & Affiliates Ltd.	1906716	John Mark Canada	TX	AdvisorLaw LLC	UN	NO	3	D	Maxel B. (Bud) Silverberg, Esq.	1
20-02554	Houston, TX	08/11/2020	03/10/2021	03/15/2021	23131	Royal Alliance Associates Incorporated	ISC	1269073	Becky Lynn Mathre	TX	AdvisorLaw LLC	OB	NO	1	G	Lynne M. Gomez, Esq.	1
20-02848	Los Angeles, CA	08/28/2020	03/12/2021	03/16/2021	6413	LPL Financial LLC	ISC	4467962	Vera Daikovich	CA	Ghabai Law Group LLC	NO	NO	1	G	Joseph C. Watson, Esq.	1
20-02964	Boston, MA	09/03/2020	03/04/2021	03/16/2021	25803	Triad Advisors LLC	ISC	2159543	Michael John Capobianco	MA	Godbout Law PLLC	NO	NO	1	G	Richard J. Grahn, Esq.	1
20-00807	Philadelphia, PA	03/10/2020	02/03/2021	03/16/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5556104	Edward L. Caruth	PA	AdvisorLaw LLC	NO	NO	2	G	John J. Jordan, Esq.	1
20-01506	Boston, MA	05/12/2020	03/08/2021	03/17/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	4627563	Timothy John Nolan	MA	Saretsky Hart et al.	NO	NO	1	G	Mary E. Bassett	1
20-02211	Minneapolis, MN	07/14/2020	03/16/2021	03/17/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3270335	Christopher Paul Burke	MN	AdvisorLaw LLC	NO	NO	1	G	Kathy A. Tatone, Esq.	1
20-02263	New York, NY	07/17/2020	03/09/2021	03/17/2021	79	JP Morgan Securities LLC	Duane Morris LLP	2558496	Matthew Stephen Hoffman	NY	AdvisorLaw LLC	NO	NO	1	G	James J. Fishman, Esq.	1
20-02437	Cincinnati, OH	07/30/2020	03/16/2021	03/17/2021	8174	UBS Financial Services Incorporated	ISC	1783205	Peter Douglas McGolgan	OH	AdvisorLaw LLC	NO	NO	1	G	Stephen P. Calardo	1
20-02231	Portland, OR	07/15/2020	03/09/2021	03/17/2021	149777	Morgan Stanley	Greenberg Traurig LLP	4857859	Colin Harrington Williams	OR	AdvisorLaw LLC	UN	OB E	1	D	Kenneth James Pedersen	1
20-01425	Seattle, WA	05/05/2020	02/17/2021	03/17/2021	6627	AXA Advisors LLC	ISC	6010791	Adam Leland Bishop	WA	AdvisorLaw LLC	NO	NO	1	G	Jane Ann McKenzie	1
20-03177	Phoenix, AZ	09/11/2020	03/16/2021	03/18/2021	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	1896352	Todd Ray Anderson	AZ	Ruskin Moscou Faltischek PC	NO	NO	1	G	Merton E. Marks, Esq.	1
20-02673	Cheyenne, WY	08/18/2020	03/03/2021	03/18/2021	6413	LPL Financial LLC	ISC	3233338	Bradley Ross Thompson	CO	HLBS Law	NN	NO	1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
20-03221	Jersey City, NJ	09/11/2020	03/09/2021	03/18/2021	8174	UBS Financial Services Incorporated	ISC	2876170	Angus Miller	NJ	Bressler Amery & Ross	NO/NN	NO	2	G	Louis H. Miron, Esq.	1
20-01370	Seattle, WA	04/30/2020	01/28/2021	03/18/2021	6627	AXA Advisors LLC	ISC	5739417	Stephen Paul Webb	WA	AdvisorLaw LLC	OB	NO	1	G	Clydia Jean Cuykendall	1
20-02578	Los Angeles, CA	08/11/2020	03/01/2021	03/19/2021	6363	Ameriprise Financial Services LLC	ISC	4193696	Daniel Dirk Bodemeijer	CA	HLBS Law	NO	NO	1	G	Mary M. O'Neil	1

20-03133	Los Angeles, CA	09/10/2020	03/02/2021	03/19/2021	168711	Dorman Skorheim Wealth Management LLC	ISC	702817	Jeffrey James Dorman	CA	Law Offices of David Harrison PC	NN	NO	1	G	Alan Stamm, Esq.	1
20-02322	Tampa, FL	07/23/2020	03/16/2021	03/19/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2885442	Jon Lowther	FL	Schwartz Legal PLLC	NO/NN	NO	4	G	Richard S. Zaifert, Esq.	1
20-02367	Boston, MA	07/27/2020	03/16/2021	03/19/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2351530	Michelle Parretti	MA	D'Costa Law	NO	NO	2	G	Steven S. Manos	1
20-02589	Houston, TX	08/12/2020	03/04/2021	03/19/2021	19616	Wells Fargo Clearing Services LLC	ISC	3139618	Ritchy Guy Scoggin	TX	AdvisorLaw LLC	OB	NO	1	G	Michael S. Yauch	1
20-02620	Dallas, TX	08/17/2020	03/02/2021	03/19/2021	250	Edward D Jones & Company Limited Partnership	Quarles & Brady	2144260	Randall Victor Childress	TX	FA Expungement	NO	NO	2	G/D	Douglas Wade Carvell	1
20-02876	Dallas, TX	08/31/2020	03/09/2021	03/19/2021	30933; 135807	World Choice Securities Incorporated; Fortune Financial Services Incorporated	ISC (WCS); Frantz & Ward (FFS)	U CRD#4666856	Timothy Douglas Walsh	TX	AdvisorLaw LLC	NO	NO	1	D	Jeff Howard Abrams	1
20-02178	Indianapolis, IN	07/10/2020	03/08/2021	03/20/2021	10205	Securities America Incorporated	ISC	2619323	Todd Allen Lester	IL	AdvisorLaw LLC	NO	NO	1	G	Gregory G. Gocek	1
20-03093	San Francisco, CA	09/09/2020	02/26/2021	03/22/2021	32444	First Allied Securities Incorporated	ISC	2811386	Virgil John Threlkeld	CA	Barr & Young Attorneys	OB	NO	1	G	David J. Romanski, Esq.	1
20-02691	St. Louis, MO	08/20/2020	03/18/2021	03/22/2021	250	Edward Jones	Quarles & Brady	2612186	A. Janssen Longenecker	MO	AdvisorLaw LLC	OB	NO	1	G	Julius Z. Frager	1
20-03114	Houston, TX	09/10/2020	03/09/2021	03/22/2021	6363	Ameriprise Financial Services LLC	ISC	2686580	Darrell Ray Pennington	TX	Saretsky Hart et al.	NO	NO	2	G	Allan R. Lazor, Esq.	1
20-02584	Los Angeles, CA	08/11/2020	03/15/2021	03/23/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1418378	Michael Robinette Jeppson	CA	Law Offices of David Harrison PC	NO	NO	1	G	Robert E. Jenks	1
20-02636	Tampa, FL	08/17/2020	03/18/2021	03/23/2021	42046	Kestra Investment Services LLC	D'Amura & Zaidman	2861943	Howard Brian Adcock	FL	HLBS Law	NO NO-D	NO	1	G	Darryl C. Wilson, Esq.	1
20-02598	Boston, MA	08/12/2020	03/16/2021	03/23/2021	6363	Ameriprise Financial Services LLC	ISC	2165026	Christopher Petrik	MA	AdvisorLaw LLC	NO	NO	3	G/D	Robert J. Ambrogi, Esq.	1
20-01848	Pittsburgh, PA	08/19/2020	03/04/2021	03/23/2021	18312	Trustmont Financial Group Incorporated	ISC	2700432	Anthony Charles Hladek	PA	Farrar Law PLLC	NO	NO	1	G	John Joseph Neely	1
20-02938	Houston, TX	09/02/2020	03/18/2021	03/23/2021	3978	Lincoln Financial Advisors Corporation	ISC	2388582	William Heartsill Young	TX	AdvisorLaw LLC	OB	NO	1	G	Sherry R. Wetsch, Esq.	1
20-03241	Dallas, TX	09/12/2020	03/16/2021	03/23/2021	10409	MML Investors Services LLC	Stevens & Lee	2746603	Stephen Wayne Wingard	TX	Louviere Law Firm PA	NO	NO	1	G	C. Sumpter Logan	1
20-02543	Boca Raton, FL	08/07/2020	03/16/2021	03/24/2021	132939	GF Investment Services LLC	ISC	4778193	Christopher Grant Conness	FL	HLBS Law	OB/NO	NO	4	G	Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.)	1

20-02465	New York, NY	07/31/2020	03/17/2021	03/24/2021	7506	Lehman Brothers Incorporated	No-show	1615042	Jordan Whitney Waring	NJ	AdvisorLaw LLC	NO	NO	1	G	William G. Binckes, Esq.	1
20-02908	Jersey City, NJ	09/01/2020	03/09/2021	03/24/2021	25766	Hennion & Walsh Incorporated	ISC	4245327	Mamode Abdullah Oozeerally	NJ	Hennion & Walsh Incorporated	NO	NO	1	G	Robert E. Anderson, Esq.	1
20-02140	Philadelphia, PA	07/07/2020	03/18/2021	03/24/2021	1763	H Beck Incorporated	ISC	3192911	Scott Karl Wetherbee	PA	AdvisorLaw LLC	NO	NO	1	G	Louis P. Wagman	1
20-03021	San Juan, PR	09/04/2020	03/18/2021	03/24/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross; Pietrantonio Mendez & Alvarez	5330726	Hector J. Gonzalez	PR	Toro Colon Mullet PSC	NO	NO	2	G	Martin A. Feigenbaum, Esq.	1
20-03247	Nashville, TN	09/13/2020	03/09/2021	03/24/2021	250	Edward D Jones & Company Limited Partnership	Quarles & Brady	4717606	Steven Lee Dick	TN	Baker Donelson et al.	NO	NO	2	G	Brian G. Mooney, Esq.	1
20-02202	Houston, TX	07/13/2020	03/19/2021	03/24/2021	6363	Ameriprise Financial Services Incorporated	ISC	1810954	Scott Bradley Tiras	TX	Saretsky Hart et al.	NO	NO	1	G	Sherry R. Wetsch, Esq.	1
20-03150	Chicago, IL	09/11/2020	03/24/2021	03/25/2021	8209	Morgan Stanley & Company Incorporated	ISC	1703308	Thomas Andrew Paulson	FL; IL	Lewitas Hyman PC	NO	NO	1	G	Susanne J. Hollander, Esq.	1
20-02460	Washington, DC	07/31/2020	03/11/2021	03/25/2021	235; 7506	EF Hutton & Company Incorporated; Lehman Brothers Incorporated	No-show	850487	Thomas Harold Clark	MD	AdvisorLaw LLC	NO/NN	NO	3	G	Kelli J. Jareaux, Esq.	1
20-01330	Minneapolis, MN	04/28/2020	01/13/2021	03/25/2021	18387	Thrivent Investment Management Incorporated	Bryan Cave et al.	1272316	Gary Arthur Tangwall	MN	AdvisorLaw LLC	NN	NO	1	G	David Steven Paull	2
20-02361	New York, NY	07/24/2020	03/16/2021	03/25/2021	15296; 10410	Securian Financial Services Incorporated; WS Griffith Securities Incorporated	ISC (SFS); No-show (WSGS)	2094279	Brian Bushwell	NJ	Sichenzia Ross Ference LLP	NO	NO	1	G	Josian Antoine, Esq.	1
20-03076	Montpelier, VT	09/09/2020	03/16/2021	03/25/2021	146895	Oleet Securities LLC	No-show	4644826	Jason Adam Oleet	NY	FA Expungement	NO	NO	1	G	Douglas M. Branson, LLM	1
20-02413	Cincinnati, OH	07/29/2020	03/22/2021	03/25/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1783205	Peter Douglas McColgan	OH	AdvisorLaw LLC	NO	NO	2	G/D	Kevin R. Zehe	1
20-02629	Dallas, TX	08/17/2020	03/09/2021	03/25/2021	705	Raymond James & Associates Incorporated	ISC	2408807	James Charles Aughenbaugh II	TX	FA Expungement	NO	NO	1	G	William A. Fynes, III	1
20-03073	Houston, TX	09/09/2020	03/23/2021	03/25/2021	1763	H Beck Incorporated	ISC	2542849	Robert Earl Mabe	TX	FA Expungement	NO	NO	1	G	Daniel J. Pagnano, Esq.	1
20-00990	Seattle, WA	03/26/2020	03/01/2021	03/25/2021	6627	AXA Advisors LLC	ISC	2569349	Charles Winthrop Stanton	WA	AdvisorLaw LLC	NO	NO	3	G	Robert M. Stein, Esq.	1
20-02006	Phoenix, AZ	06/25/2020	03/09/2021	03/26/2021	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	2848252	James Byron Underhill	AZ	Judex Law LLC	OB/NO	NO	2	D	Howard R. Gaines, Esq.	1

20-02699	San Francisco, CA	08/19/2020	03/04/2021	03/26/2021	46173; 6413	Park Avenue Securities LLC; LPL Financial LLC	ISC	2238374	David Keith Brown.	CA	HLBS Law	NO	NO	1	G	Laurel Littman Gothelf, MPH	1
20-02513	Albany, NY	08/05/2020	03/11/2021	03/26/2021	6627	Equitable Advisors LLC	ISC	5437727	Steven L. Kennedy	NY	AdvisorLaw LLC	NO	NO	1	G	Denise L. Quarles, Esq.	1
20-03077	Columbus, OH	09/09/2020	03/25/2021	03/26/2021	5167	NYLife Securities LLC	Lubarsky Law Firm PLLC	6059029	William Wei-Kuang Ho	TX	Louviere Law Firm PA	NO	NO	1	G	John F. Burns, Esq.	1
20-02739	Los Angeles, CA	08/21/2020	03/11/2021	03/29/2021	6413	LPL Financial LLC	ISC	2854253	Damian Jude Dering	CA	HLBS Law	NO	NO	1	G	Milton N. Gross	1
20-01513	Boca Raton, FL	05/13/2020	02/09/2021	03/29/2021	630; 249; 15007	CIBC World Markets Corporation; Oppenheimer & Company Incorporated; Aegis Capital Corporation	ISC	1438899	Arthur Willard Lewis	FL	Sallah Astarita & Cox LLC	OB/NO	NO	5	G	Mark C. Perry, Esq.	1
20-03049	Washington, DC	09/10/2020	03/24/2021	03/29/2021	112097	JHS Capital Advisors Incorporated	No-show	4407350	John Joseph Cortale	MD	Berger Law Group PC	NO	NO	1	G	Richard P. Regan, Esq.	1
20-02407	Jersey City, NJ	07/28/2020	03/10/2021	03/29/2021	41282	The Jeffrey Matthews Financial Group LLC	ISC	2238324	Anthony George Pasculli	NJ	Jardim Meisner & Susser	NO	NO	1	G	Michael Fischetti, PhD	1
20-02581	New York, NY	08/11/2020	03/17/2021	03/29/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5961935	Thomas C. Threlfall	NJ	AdvisorLaw LLC	OB	NO	1	G	Peter A. Goldman, Esq.	1
20-01736	New York, NY	06/02/2020	03/08/2021	03/29/2021	19714	Barclays Capital Incorporated	Parker Hudson et al.	1026916	Philip Dandridge Weyhe	NY	AdvisorLaw LLC	NO/NN	NO	4	G	Roger B. Jacobs	1
20-02192	Minneapolis, MN	07/13/2020	01/21/2021	03/30/2021	39543	Cambridge Investment Research Incorporated	ISC	3163327	Kelly Ann Hoff	WI	AdvisorLaw LLC	OB	NO	1	D	Philip J. Glick, Esq.	1
20-03004	Des Moines, IA	09/04/2020	03/25/2021	03/31/2021	6694	Raymond James Financial Services Incorporated	ISC	2119726	Thomas Michael Weissenburger	IA	AdvisorLaw LLC	NO	NO	1	G	Frederick Ramos, Esq.	1
20-02933	New York, NY	09/02/2020	03/23/2021	03/31/2021	79	JP Morgan Securities LLC	Duane Morris LLP	4458915	Juan Chung Chen	NY	AdvisorLaw LLC	NO	NO	1	G	Paul S. Biederman	1
20-03145	Columbia, SC	09/10/2020	03/25/2021	03/31/2021	6413	LPL Financial LLC	ISC	6105653	Lee M. Goodin	SC	Ghabai Law Group LLC	NO	NO	1	G	John P. Cullem Esq.	1
20-02712	Nashville, TN	08/20/2020	03/24/2021	03/31/2021	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2367421	Jimmy Allen Barker	TN	AdvisorLaw LLC	NO	NO	1	G	Michael J. Ahlstrom, Esq.	1
20-00980	Houston, TX	03/26/2020	03/23/2021	03/31/2021	250	Edward Jones	ISC	1855162	Wendy Buchanan	TX	AdvisorLaw LLC	NO/NN	NO	4	G	Lynne M. Gomez, Esq.	1
20-02891	Columbus, OH	09/01/2020	03/25/2021	04/01/2021	8174	UBS Financial Services Incorporated	ISC	2522029	Eric James Haubert	FL; OH	AdvisorLaw LLC	NO	NO	1	G	Richard W. Dissen, Esq.	1

20-03252	Atlanta, GA	09/14/2020	03/23/2021	04/01/2021	11025; 7691	Wells Fargo Advisors LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	ISC (WFA); Bressler Amery & Ross (MLPFS)	2955070	Gregory Vincent Katulka	GA	Kalberer LLP	NO	NO	2	G	James C. Hoover, Esq.	1
20-02561	Jacksonville, FL	08/11/2020	03/30/2021	04/01/2021	8174	UBS Financial Services Incorporated	ISC	1281643	Bertin Marc Stuckart Jr.	SC	AdvisorLaw LLC	NO	NO	5	G	Richard S. Zaifert, Esq.	1
20-02390	Boston, MA	07/28/2020	02/09/2021	04/02/2021	31194	RBC Capital Markets LLC	Dorsey & Whitney	2011593	Alan Walton Sharpe	MA	D'Costa Law	NN	NO	1	G	Richard J. Grahn, Esq.	1
20-02709	Charlotte, NC	08/20/2020	03/23/2021	04/02/2021	6413	LPL Financial LLC	ISC	1898917	Stephen Edson Bush	NC	AdvisorLaw LLC	NO	NO	1	G	Michael J. Ahlstrom, Esq.	1
20-02509	Atlanta, GA	08/06/2020	03/17/2021	04/05/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2998546	Erik Mathews Bjerke	GA	Kalberer LLP	NO	NO	4	G	James C. Hoover, Esq.	1
20-01944	New York, NY	06/18/2020	03/05/2021	04/05/2021	120708; 266	Maxim Group LLC; Hapotalim Securities USA Incorporated	ISC (MG); No-show (HSUSA)	2198167	Paul Michael Cooney	NY	Weltz Kakos et al.	NO	NO	6	G/W	Ted M. Rosen, Esq.	2
20-02847	New York, NY	08/28/2020	03/31/2021	04/05/2021	6363	Ameriprise Financial Services LLC	ISC	2194400	Robert Edward Feighan	NY	AdvisorLaw LLC	NO	NO	2	G	Richard W. Cutler, Esq.	1
20-02022	Norfolk, VA	06/26/2020	03/30/2021	04/05/2021	35371; 125437	Infinex Investments Incorporated; BI Investments LLC	Kaufman Dolowich & Voluck LLP	2767198	Darin Matthew Ely	VA	AdvisorLaw LLC	NO	NO	1	G	Michael J. Ahlstrom, Esq.	1
20-03024	San Francisco, CA	09/04/2020	04/01/2021	04/06/2021	6413	LPL Financial LLC	ISC	2008254	John Ernest Orito	CA	HLBS Law	NO	NO	1	G	Michael Lancaster Garcia	1
20-02967	Denver, CO	09/03/2020	03/16/2021	04/06/2021	116681	Hightower Securities LLC	K&L Gates LLP	720080	James R. Young	CO	Lax & Neville	NO/NN	NO	5	G	Frances Johnson-Wright, Esq.	1
20-01769	New York, NY	06/03/2020	02/23/2021	04/06/2021	7569	National Securities Corporation	ISC	2703233	Philip Mathew Rodriguez	NJ	Judex Law LLC	NO	NO	4	G	Veronica Ann Williams	1
20-03141	Jersey City, NJ	09/10/2020	03/22/2021	04/06/2021	25766	Hennion & Walsh Incorporated	ISC	3258911	Justin Taejun Yoon	NJ	Hennion & Walsh Incorporated	NO	NO	2	G/D	Louis H. Miron, Esq.	1
20-01591	San Francisco, CA	05/19/2020	03/10/2021	04/07/2021	8220	Lefcourt Financial Group Incorporated	No-show	848798	Richard Evan Baer	CA	HLBS Law	NN	NO	1	G	Laurel Littman Gothelf, MPH	1
20-03173	Jersey City, NJ	09/11/2020	04/05/2021	04/07/2021	3227	Josephthal & Company Incorporated	No-show	2573543	Michael Haskel Nessim	NY	Ruskin Moscou Faltischek PC	NN	NO	1	G	Robert E. Anderson, Esq.	1
20-03082	Oklahoma City, OK	09/09/2020	04/01/2021	04/07/2021	250	Edward D Jones & Company Limited Partnership	Keesal Young & Logan	6411443	Jason D. Hudson	TX	Bressler Amery & Ross	OB	NO	1	G	Jeffrey R. Jury	1
20-02937	Minneapolis, MN	09/02/2020	04/01/2021	04/07/2021	14303	Sigma Financial Corporation	ISC	2044977	Eric Edward Wegner	WI	AdvisorLaw LLC	NO	OB	1	G	Susan L. Walker, Esq.	1
20-02216	Jacksonville, FL	07/07/2020	04/05/2021	04/08/2021	6413	LPL Financial LLC	ISC	2416021	Mark Scott Dutram	FL	HLBS Law	OB	NO	1	D	Richard S. Zaifert, Esq.	1
20-02710	Las Vegas, NV	08/20/2020	03/16/2021	04/08/2021	6413	LPL Financial LLC	ISC	1519391	Howard John Saxauer	NV; WA	AdvisorLaw LLC	NO	NO	1	G	Benjamin F. Breslauer	1

20-02585	Oklahoma City, OK	08/12/2020	03/23/2021	04/08/2021	250	Edward Jones	Quarles & Brady	5199516	Thomas Casey Loper	OK	AdvisorLaw LLC	NO	NO	1	G	David A. Schuler	1
20-03136	Las Vegas, NV	09/10/2020	03/25/2021	04/08/2021	149777	Morgan Stanley	Greenberg Traurig LLP	4935063	Mitchell Dean Horst	TN	FA Expungement	NO	NO	2	G	Thomas E. Shuck, Esq.	1
20-03042	Birmingham, AL	09/08/2020	03/12/2021	04/09/2021	19616	Wells Fargo Clearing Services LLC	ISC	2266707	David Robert Golson	AL	Bressler Amery & Ross	NO	NO	4	G	Robert J. Gregory	1
20-02949	New York, NY	09/02/2020	03/22/2021	04/09/2021	42046	Kestra Investment Services LLC	ISC	1248193; 2575508	Lee Rawiszser; Paul Volpe	CT; CT	D'Amura & Zaidman	NO	NO	1	G	Lynne M. Reid-McQueen, Esq.	1
20-02462	Pittsburgh, PA	07/31/2020	04/06/2021	04/09/2021	7506	Lehman Brothers Incorporated	Hughes Hubbard & Reed	703998	Ahmiel Eliezer Baum	FL; PA	AdvisorLaw LLC	UN	NO	1	D	Richard W. Dissen, Esq.	1
20-02452	Chicago, IL	08/21/2020	04/06/2021	04/09/2021	18969	Barron Chase Securities Incorporated	No-show	1391521	Daniel Patrick O'Halloran	IL	Farrar Law PLLC	OB	NO	1	D	Donald M. Thompson, Esq.	1
20-02816	St. Louis, MO	08/27/2020	04/05/2021	04/09/2021	10668	American General Securities Incorporated	ISC	2720704	John Edward Moriarty	MO	AdvisorLaw LLC	NO/NN	NO	1	G	Robert J. Scafuri, Esq.	1
20-02818	St. Louis, MO	08/27/2020	04/01/2021	04/09/2021	29604	National Planning Corporation	Saretsky Hart et al.	2720704	John Edward Moriarty	MO	AdvisorLaw LLC	OB	NO	1	G	Tracy L. Allen, Esq.	1
20-01997	Milwaukee, WI	08/31/2020	02/11/2021	04/10/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2429741 1808359	Mark James Manion; Glen William Ringwall	WI WI	Farrar Law PLLC	NO	NO	3	D	Michael J. Meeusen, Esq.	2
20-02923	Anchorage, AK	09/02/2020	03/29/2021	04/12/2021	250	Edward Jones	Keesal Young & Logan	1993463	Peter Helmut Vanflein	AK	AdvisorLaw LLC	OB/NO	NO	2	G	John J. Fitzpatrick, Jr., Esq.	1
20-02910	Los Angeles, CA	09/01/2020	03/09/2021	04/12/2021	18697	Girard Securities Incorporated	ISC	4110232	Rodney Matthew Beary.	CA	HLBS Law	NO/NN	NO	3	G	Kirtley M. Thiesmeyer, Esq.	1
20-02924	New York, NY	09/02/2020	03/05/2021	04/12/2021	42046	Kestra Investment Services LLC	ISC	1248193; 2575508	Lee Scott Rawiszser; Paul Robert Volpe.	CT; CT	D'Amura & Zaidman	NO	NO	10	G	Robert E. Anderson, Esq.	2
20-02939	Tampa, FL	09/02/2020	04/08/2021	04/12/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5899366	Christine A. Kelley	FL	HLBS Law	NO	NO	1	G	Thomas J. Patka, Esq.	1
20-01689	New York, NY	05/29/2020	12/16/2020	04/12/2021	8209; 7556	Morgan Stanley & Company Incorporated; Morgan Stanley DW Incorporated	ISC	1308128	Keith Lawrence Galanti	NY	Arbitration Evaluation Services	NO/NN	NO	2	G	Anthony Michael Sabino, Esq.	1
19-03652	Los Angeles, CA	12/11/2019	03/23/2021	04/13/2021	8174	UBS Financial Services Incorporated	Keesal Young & Logan	2670160	Isidro Z. Miramontes	CA	Law Offices of David Harrison PC	NO	NO	1	G	Robert Rosen	1
20-03092	San Diego, CA	09/09/2020	04/05/2021	04/13/2021	250	Edward Jones	ISC	4625284	David S. Tam	CA	Keesal Young & Logan	NO	NO	1	G	Robert E. Jenks	1
20-02786	Tampa, FL	08/25/2020	04/06/2021	04/13/2021	10205	Securities America Incorporated	ISC	3189194	Kristopher Scott Flammang	FL	HLBS Law	NO/NN	NO	1	G	Karl A. Vogeler, III	1

20-03206	Atlanta, GA	09/11/2020	03/29/2021	04/13/2021	6413	LPL Financial Corporation	ISC	4066487	Paul Kell Kiker	GA	Councill & Gunnemann	NO	NO	2	G/D	Harry G. Mason, JD - Chair; James R. Stewart, Jr.; Philip Michael Moran	1
20-02354	Indianapolis, IN	07/24/2020	04/01/2021	04/13/2021	46173	Park Avenue Securities LLC	ISC	1534308	Anthony J. Bonanno	IN	AdvisorLaw LLC	OB/NO	NO	2	G	Tracy L. Allen, Esq.	1
20-02724	Philadelphia, PA	08/20/2020	04/08/2021	04/13/2021	19616	Wells Fargo Clearing Services LLC	ISC	4388024	Mark Joseph Byelich	PA	AdvisorLaw LLC	NO	NO	2	G	Guillermo L. Bosch, Esq.	1
20-03132	Philadelphia, PA	09/10/2020	04/06/2021	04/13/2021	5478	Cincinnati Analysts Incorporated fka Capital Analysts Incorporated	ISC	3100187	Julia A. Brufke Wenger	PA	Louviere Law Firm PA	NN	NO	1	G	Guillermo L. Bosch, Esq.	1
20-02560	Washington, DC	08/10/2020	04/06/2021	04/13/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3124678	E. Grant Marsh	TX	AdvisorLaw LLC	NO	NO	1	G	Jeffrey Axelrad	1
20-02545	New York, NY	08/07/2020	04/08/2021	04/14/2021	8174	UBS Financial Services Incorporated	ISC	2756888	John Arthur Caroli	NJ	AdvisorLaw LLC	NO	NO	1	G	Susan C. Lushing, Esq.	1
20-03062	Jersey City, NJ	09/08/2020	04/07/2021	04/14/2021	468	Signator Investors Incorporated	ISC	2269841	Robert James Ferrari	NJ	AdvisorLaw LLC	NO	NO	1	G	Linda J. Baer, Esq.	1
20-02145	New York, NY	07/07/2020	04/09/2021	04/15/2021	1541	Financial Square Partners	ISC	1756940	Richard Sica	CT	Weltz Kakos et al.	NO/NN	NO	2	G	Howard L. Sobel	1
20-02467	New York, NY	07/31/2020	04/13/2021	04/15/2021	7506	Lehman Brothers Incorporated	No-show	419623	Martin Donald Shafiroff	FL	AdvisorLaw LLC	NN	NO	1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
20-01374	New York, NY	05/01/2020	04/12/2021	04/15/2021	6627	AXA Advisors LLC	ISC	2813827	Louis M. Rusinowitz	NY	AdvisorLaw LLC	OB	NO	1	D	Harvey Barrison, Esq.	1
20-02898	Philadelphia, PA	09/01/2020	04/06/2021	04/15/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1453981	Kevin Richard Keith	PA	FA Expungement	NO	NO	3	G	George Forest Bingham, Esq.	1
20-02580	Los Angeles, CA	08/11/2020	03/24/2021	04/15/2021	14869	Ameritas Investment Company LLC	ISC	1791875	Kelly Glen Kidwell	WA	HLBS Law	NO	NO	1	G	Benjamin F. Breslauer	1
20-02771	Los Angeles, CA	08/24/2020	03/18/2021	04/16/2021	39914	WestPark Capital Incorporated	ISC	870804	John Anthony Reilly	CA	HLBS Law	OB	NO	1	G	Constance Ellen Boukidis	1
20-03166	New York, NY	09/11/2020	04/13/2021	04/16/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	3084380	Sharon Suzanne Paul	FL	Law Offices of Amy Bard	NO	NO	1	G	Carolyn A. Mann	1
20-03205	Atlanta, GA	09/11/2020	03/30/2021	04/16/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	U CRD#3266369	Kevin W. Higginbotham	GA	Kalberer LLP	UN	NO	2	D	Mollie Wagner Neal, Esq.	1
20-01044	Philadelphia, PA	03/30/2020	03/24/2021	04/16/2021	6555	Legg Mason Wood Walker Incorporated	No-show	1228371	George Dewey Eggers	NJ	AdvisorLaw LLC	OB/NO NN	NO	3	G	Thomas Benjamin Salzer, Esq.	1
20-03084	New York, NY	09/09/2020	04/06/2021	04/16/2021	119037	Laidlaw & Company (UK) Limited	ISC	3262701	Kevin Richard Wilson	NJ	Baritz & Colman	NO	NO	3	G	Howard D. Jacob, Esq.	1
20-01768	New York, NY	06/03/2020	03/22/2021	04/16/2021	7569	National Securities Corporation	ISC	2731304	Dominic Joseph Carlo.	NY	Judex Law LLC	NO	NO	4	G	Robert E. Anderson, Esq.	1

20-02348	New York, NY	07/24/2020	04/13/2021	04/16/2021	8174	UBS Financial Services Incorporated	ISC	4607789	Mark Matthew Martiak	NY	Sichenzia Ross FERENCE LLP	OB	NO	1	G	Richard Gee	1
20-02806	New York, NY	08/26/2020	03/30/2021	04/16/2021	6413	LPL Financial LLC	ISC	2463703	Vincent Jerome Camarda	NY	HLBS Law	OB	NO	1	G	Karen Isabel Bedrosian-Richardson	1
20-03106	Syracuse, NY	09/09/2020		04/16/2021	566	Keybank Capital Markets Incorporated	Ulmer & Berne	U CRD#1059875	George Peter Koulouris	NY	Farrar Law PLLC	UN	OB E	4	D	Stuart M. Schwartz, Esq.	0
20-02282	New York, NY	07/20/2020	03/30/2021	04/19/2021	123234; 45559; 40982; 132650; 15007	BlackBook Capital LLC; Hunter Scott Financial LLC; John Thomas Financial; Charles Vista LLC; Aegis Capital Corporation	ISC (BBC); No-show (HS, JTF, CV & AC)	4618370	Dennis Daniel Herrera	FL	Sichenzia Ross FERENCE LLP	NO	NO	4	G/W	Harvey Barrison, Esq.	1
20-02416	Jersey City, NJ	07/31/2020	04/09/2021	04/19/2021	23131	Royal Alliance Associates Incorporated	ISC	2860474	Paul Michael Largo	FL; NJ	Offit Kurman LLP	NO	NO	1	G	Jay Alan Kranis	1
20-02451	Boston, MA	07/30/2020	03/23/2021	04/19/2021	10299	Cetera Advisors LLC	ISC	5239983	Brian Robert Thomas	MA	FA Expungement	NO (PRESUMED)	NO	1	D	Michael P. Breton	2
20-02925	Jersey City, NJ	09/01/2020	03/25/2021	04/19/2021	41282	The Jeffrey Matthews Financial Group LLC	ISC	2259310	Geoff Ira Feinstein	NJ	Jardim Meisner & Susser	NO	NO	1	G	Denise L. Quarles, Esq.	1
20-02121	Los Angeles, CA	07/06/2020	03/18/2021	04/20/2021	6403	Integrated Resources Equity Corporation	ISC	1147693	Randall Craig Long	CA	HLBS Law	NO	NO	1	G	Joyce L. Hurley	1
20-02765	Los Angeles, CA	08/24/2020	03/31/2021	04/20/2021	15407	Roth Capital Partners LLC	ISC	2188768	Timothy George Hassell	CA	Farrar Law PLLC	NO	NO	2	G	Constance Ellen Boukidis	1
20-02981	Los Angeles, CA	09/03/2020	03/16/2021	04/20/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	1487211	Lawrence Charles Cane	CA	HLBS Law	NO/NN	NO	3	G	Natalie Panossian-Bassler	1
20-03115	Minneapolis, MN	09/10/2020	04/16/2021	04/20/2021	6363	Ameriprise Financial Services LLC	ISC	3077583	Michelle Annette Young	MN	Saretsky Hart et al.	NO	NO	1	G	Carl E. Ver Beek, JD	1
20-03253	Boca Raton, FL	09/13/2020	03/09/2021	04/20/2021	43896	Wallstreet*E Financial Services Incorporated	No-show	4712501	Mario Marcio Saravia Garcia	NY	Kalberer LLP	NN	NO	1	G	Will Murphy, Esq.	1
20-02915	Philadelphia, PA	09/01/2020	04/13/2021	04/20/2021	17358	M&T Securities Incorporated	ISC	2734989	Harold Joseph Beshaw	PA	AdvisorLaw LLC	NO	NO	1	G	James W. (Jim) Geiger	1
20-03178	Phoenix, AZ	09/11/2020	04/16/2021	04/21/2021	5167	NyLife Securities LLC	Lubarsky Law Firm PLLC	1896352	Todd Ray Anderson	AZ	Ruskin Moscou Faltischek PC	NO	NO	1	G	Timothy J. Kroll, MS	1
20-02763	Los Angeles, CA	08/24/2020	03/31/2021	04/21/2021	16944	Newport Coast Securities Incorporated	No-show	2188768	Timothy George Hassell	CA	Farrar Law PLLC	NO	NO	1	G	Kirtley M. Thiesmeyer, Esq.	1
20-02366	Boston, MA	07/27/2020	02/26/2021	04/21/2021	149777	Morgan Stanley	ISC	2351530	Michelle Parretti	MA	D'Costa Law	NO	NO	1	G	Richard J. Grahn, Esq.	2
20-02936	Minneapolis, MN	09/02/2020	04/12/2021	04/21/2021	115368	Parkland Securities LLC	ISC	2044977	Eric Edward Wegner	WI	AdvisorLaw LLC	OB/NO NN	NO	5	G/D	Tracy L. Allen, Esq.	1

20-01992	St. Louis, MO	07/11/2020	03/17/2021	04/22/2021	2881	Northwestern Mutual Investment Services LLC	ISC	1606410	Christopher Dudley Wright	MO	Farrar Law PLLC	NO	NO	3	G	Kim L. Kirn	2
20-02892	Phoenix, AZ	08/31/2020	03/25/2021	04/23/2021	10582	Wells Fargo Investments LLC	ISC	4255814	William Edward Torriente Jr.	AZ	AdvisorLaw LLC	NO/NN	NO	2	G	Merton E. Marks, Esq.	1
20-02940	Boca Raton, FL	09/02/2020	04/14/2021	04/23/2021	5167	NyLife Securities LLC	Lubarsky Law Firm PLLC	2730740	Michael Vito Gisonda	FL	HLBS Law	NO	OB	1	D	Gloria O. North, Esq.	1
20-02704	Louisville, KY	08/20/2020	04/20/2021	04/23/2021	32444	First Allied Securities Incorporated	ISC	4325125	Christopher Douglas Risher	KY	AdvisorLaw LLC	OB	NO	1	G	John F. Burns, Esq.	1
20-02540	New York, NY	08/07/2020	04/15/2021	04/23/2021	46173	Park Avenue Securities LLC	ISC	3091938	Matthew Gaglio	NY	FA Expungement	NO	NO	2	G	Michael H. DuBoff, Esq.	1
20-03157	New York, NY	09/11/2020	04/20/2021	04/23/2021	112697	American Portfolio Financial Services Incorporated	ISC	3260491	Jimmy William Kuhn	NY	RJM Counsel PLLC	NO	NO	3	G	Elyn S. Roth	1
20-03017	Columbus, OH	09/08/2020	04/13/2021	04/23/2021	11025	Wells Fargo Advisors Financial Network LLC	ISC	2849154	Lisa Katterhenry Howe	OH	AdvisorLaw LLC	NN	NO	1	G	Robert David Epstein	1
20-03143	Jersey City, NJ	09/10/2020	04/12/2021	04/23/2021	25803	Triad Advisors LLC	ISC	4499856	Jason M. Lavigne	PA	Kaufman Dolowich & Voluck LLP	NO	NO	1	G	Paul Allan Massaro	1
20-02834	Washington, DC	08/27/2020	02/16/2021	04/26/2021	3978	Lincoln Financial Advisors Corporation	ISC	3188964	William Eugene Davis III.	CA	AdvisorLaw LLC	NO	NO	1	G	Michael James Malone	1
20-02911	New York, NY	09/01/2020	04/14/2021	04/27/2021	7404	McLaughlin Piven Vogel Securities Incorporated	No-show	2154112	Walter Francisco Pardo	NJ	AdvisorLaw LLC	NO/NN	NO	2	G	Paul Bennett Marrow	1
20-03217	Birmingham, AL	09/11/2020	04/13/2021	04/28/2021	6363	Ameriprise Financial Services LLC	ISC	2948022	William Lance Hocutt	AL	Michael Best & Friedrich	NO	NO	3	G	Joseph Neal Richardson	1
20-03285	Reno, NV	10/19/2020	04/08/2021	04/28/2021	250	Edward Jones	Keesal Young & Logan	6527454	William Francis Biddle	FL	MOBO LAW LLP	OB	NO	1	G	David J. Romanski, Esq. - Chair; Arocles Aguilar; Carlos Richard Mangum	1
20-01142	Nashville, TN	04/07/2020	04/15/2021	04/28/2021	7556; 8174	Morgan Stanley DW Incorporated; UBS Financial Services Incorporated	ISC	1447676	William Keith Phillips	TN	AdvisorLaw LLC	NO	NO	3	G/D	Neil Harvey Smith	2
20-02894	Portland, OR	08/31/2020	04/08/2021	04/28/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2876349	Grant Carey Johnstone	TX	Carr Butterfield LLP	NO	NO	2	G	Charles Scott McClellan	1
20-02680	Phoenix, AZ	08/19/2020	04/15/2021	04/29/2021	149777	Morgan Stanley	Keesal Young & Logan	5501158	Max E. Sanel	AZ	AdvisorLaw LLC	NO	NO	1	G	Erik R. Siering	1
20-03171	San Francisco, CA	09/14/2020	04/13/2021	04/29/2021	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2837881	Anna Vucurevich Jenkins	CO	Gonser Law PC	NO	NO	2	G	William Michael Samsel	1

20-03194	Boca Raton, FL	09/11/2020	04/22/2021	04/29/2021	23988; 16361; 19616;	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)	1510072	Charles K. Miller	FL	Louviere Law Firm PA	NO	NO	3	G	Martin A. Feigenbaum, Esq.	1
20-02972	Chicago, IL	09/04/2020	03/02/2021	04/29/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	U CRD# 5433449	Jason J. Ortiz	IL	AdvisorLaw LLC	UN	NO	1	D	James A. Murphy, JD	1
20-02587	Detroit, MI	08/12/2020	04/27/2021	04/29/2021	29604	National Planning Corporation	Saretsky Hart et al.	1709243	William Henry Kumm IV	MI	HLBS Law	NO	NO	1	G	Lee Hornberger, JD	1
20-03187	Kansas City, MO	09/11/2020	04/27/2021	04/29/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	U CRD# 2466629	Christopher Lee Walker	MO	Judex Law LLC	UN	NO	3	D	C. Sumpter Logan	1
20-02982	Los Angeles, CA	09/03/2020	04/15/2021	04/30/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1487211	Lawrence Charles Cane	CA	HLBS Law	NO	NO	1	G	Anita Rae Shapiro, Esq.	1
20-02426	Kansas City, MO	07/29/2020	04/20/2021	04/30/2021	2936	The ON Equity Sales Company	ISC	2699803	Scott James Colangelo	KS	D'Costa Law	NO	NO	2	G/D	William M. Lamoreaux, Esq.	1
20-01390	New York, NY	05/04/2020	04/19/2021	04/30/2021	16871; 43522	Global Arena Capital Corporation; SW Bach & Company	No-show	2731291	Aret Gugin	NY	Farrar Law PLLC	NO/NN	NO	3	G	David John Reilly	1
20-02385	San Diego, CA	07/27/2020	04/08/2021	05/03/2021	305	Foresters Financial Services Incorporated	Bressler Amery & Ross	5669488	Gregory Robert Reynolds	CA	HLBS Law	NO	NO	1	G	Mark R. Lee	1
20-03102	Seattle, WA	09/09/2020	04/20/2021	05/03/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1306585	Phil Scott	WA	AdvisorLaw LLC	NO NN	NO	4	G/D	Robert M. Stein, Esq.	1
20-02989	Phoenix, AZ	09/03/2020	04/23/2021	05/04/2021	104065	NewBridge Securities Corporation	Kaufman Dolowich & Voluck LLP	4348584	Kerri Suzanne Jamison	AZ	FA Expungement	NO	NO	1	G	Renee Bryna Gerstman	1
20-02370	Hartford, CT	07/27/2020	04/07/2021	05/04/2021	31898	Workman Securities Corporation	No-show	4733385	Bret David LaPorte	CT	Farrar Law PLLC	NO	NO	1	G	Mark Stuart Gurevitz	1
20-02420	Kansas City, MO	07/29/2020	04/22/2021	05/04/2021	2936	The ON Equity Sales Company	ISC	2399374	Tim David Hakes	KS	D'Costa Law	NO	NO	3	G	Brett Coonrod	1
20-02866	Washington, DC	08/28/2020	04/29/2021	05/04/2021	33856	BB&T Investment Services Incorporated	Murphy & McGonigle	4741774	Gustavo LaGuarda	VA	AdvisorLaw LLC	NO	NO	1	G	Douglas Earl McLaren, Esq.	1
20-02663	Phoenix, AZ	08/18/2020	04/13/2021	05/05/2021	61	BC Ziegler & Company	Quarles & Brady	2978220	William Reilley Herf	AZ	AdvisorLaw LLC	NO	NO	1	G	Merton E. Marks, Esq.	1
20-02912	San Diego, CA	09/01/2020	04/21/2021	05/05/2021	32444	First Allied Securities Incorporated	ISC	4696471	Matthew Michael Hansen	CA	HLBS Law	NO	NO	1	G	Otis E. Hackett	1

20-02917	Los Angeles, CA	09/01/2020	03/30/2021	05/05/2021	42046	Kestra Investment Services LLC	D'Amura & Zaidman	2913769	Kurt Charles Jackson	CA	HLBS Law	NO	NO	1	G	George L. Tindall	1
20-02364	Boca Raton, FL	07/26/2020	04/21/2021	05/05/2021	7793	FMSbonds Incorporated	ISC	5023830	Zachary Evan Feinsilver	FL	Law Office of Bradley D. Schnur	UN	NO	5	D	Perry Earl Phillips	1
20-01045	Philadelphia, PA	03/30/2020	04/29/2021	05/05/2021	25121	First Colonial Securities	No-show	1228371	George Dewey Eggers	NJ	AdvisorLaw LLC	NO	NO	1	G	Louis P. Wagman	1
20-02325	New York, NY	07/21/2020	04/27/2021	05/05/2021	35459	Joseph Stevens & Company Incorporated	ISC	2251646	Anthony C. Varbero	NY; FL	Sichenzia Ross Ference LLP	NO	NO	1	G	Sam Antar, Esq.	1
20-02759	Seattle, WA	08/24/2020	04/23/2021	05/05/2021	250	Edward Jones	Keesal Young & Logan	4426386	Daniel James Baumgartel	WA	AdvisorLaw LLC	NN	NO	1	G	Francis Vincent Dane	1
20-02655	New York, NY	09/25/2020	04/26/2021	05/06/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	1559457	Everett Weinberger	FL; NY	Farrar Law PLLC	NO	NO	1	G	Jay Alan Kranis	1
20-02711	Philadelphia, PA	08/20/2020	04/22/2021	05/06/2021	115368	Parkland Securities LLC	Tadjedin Thomas & Engbloom Law Group LLP	842377	Joel Alan Goodhart	PA	AdvisorLaw LLC	OB/NO	OB	2	G	Thomas Benjamin Salzer, Esq.	3
19-02729	New York, NY	09/10/2019	04/30/2021	05/06/2021	26580; 630	Axiom Capital Management Incorporated; CIBC World Markets Corporation	ISC	2089051	Jeffrey Schneider	TX	Judex Law LLC	NO	NO	3	G	Anna Lascar	1
20-02926	Houston, TX	09/02/2020	04/23/2021	05/06/2021	29604	National Planning Corporation	Saretsky Hart et al.	4522516	Joseph A. Quartucci	TX	AdvisorLaw LLC	NO	NO	1	G	Lynne M. Gomez, Esq.	1
20-03443	Houston, TX	10/06/2020	05/03/2021	05/06/2021	136532	SAMCO Capital Markets Incorporated	Hedrick Kring PLLC	1506062	Roger James Engemoen Jr.	TX	Akin Gump et al.	NO	NO	1	G	Lynne M. Gomez, Esq.	1
20-02835	Tampa, FL	08/27/2020	05/06/2021	05/07/2021	10205	Securities America Incorporated	ISC	2228311	Mark Armand Picchi	FL	HLBS Law	NO	NO	2	G	Richard R. Logsdon, Esq.	1
20-02130	Kansas City, MO	07/10/2020	04/22/2021	05/07/2021	2881	Northwestern Mutual Investment Services LLC	ISC	1751504	John David DiStefano	MO	Farrar Law PLLC	NO	OB E	1	D	Robert S. Baran	1
20-02588	St. Louis, MO	08/12/2020	04/09/2021	05/07/2021	18272	Allstate Financial Services LLC	Reyes Kurson Ltd.	4985415	Michael Patrick Nolan Jr.	MO	AdvisorLaw LLC	OB	NO	1	D	Susan L. Walker, Esq.	2
20-02458	San Juan, PR	07/31/2020	04/28/2021	05/07/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	1019547; 4116565	Orlando Javier Perez; Viviana Cristina Perez Cordero.	PR PR	McConnell Valdes LLC	NO	NO	11	G	Martin A. Feigenbaum, Esq.	1
20-02842	Dallas, TX	08/28/2020	04/27/2021	05/07/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2179423	David W. Nethery	TX	AdvisorLaw LLC	NO	NO	2	G	Frances Johnson-Wright, Esq.	1

20-02899	Tampa, FL	09/01/2020	04/19/2021	05/10/2021	6363; 18487; 161145	Ameriprise Financial Services LLC; American Portfolios Financial Services Incorporated; Studdard Financial LLC	ISC	2368317	Byron Lee Studdard	FL	FA Expungement	OB/NO NO-D	NO
20-02514	Wichita, KS	08/06/2020	04/26/2021	05/10/2021	16164; 16164	Transamerica Financial Advisors Incorporated; Transamerica Financial Advisors Incorporated	ISC	2702781	Brian Scott Palkowitsh	FL; KS	AdvisorLaw LLC	NO NO-D	NO
20-02638	Omaha, NE	08/18/2020	04/26/2021	05/10/2021	611	Mutual of Omaha Investor Services Incorporated	Cline Williams et al.	2722135	Gerald Francis Monahan III	NE	AdvisorLaw LLC	NO	NO
20-01844	Pittsburgh, PA	06/11/2020	03/22/2021	05/10/2021	5685	Pruco Securities LLC	Reyes Kurson Ltd.	1489265	Edward Ernest Blacka	PA	Farrar Law PLLC	NN	NO
20-03074	Chicago, IL	09/09/2020	04/29/2021	05/10/2021	250	Edward D Jones & Company Limited Partnership	Keesal Young & Logan	5068932	Ryan Allan Brault.	WA	Gregory B. Simon Law LLC	NO/NN	NO
20-02614	Phoenix, AZ	08/14/2020	04/22/2021	05/11/2021	250	Edward Jones	Keesal Young & Logan	2315506	Michael Charles Meixler	AZ	AdvisorLaw LLC	NO	NO
20-03054	Jersey City, NJ	09/08/2020	05/07/2021	05/11/2021	15007	Aegis Capital Corporation	ISC	2109210	Gerald Richard Sharpe	NJ	Kaufman Dolowich & Voluck LLP	NO	NO
20-02733	Philadelphia, PA	08/21/2020	05/06/2021	05/13/2021	42046	Kestra Investment Services LLC	D'Amura & Zaidman	2842211	Thomas Eric Reich	NJ	AdvisorLaw LLC	OB	NO
20-03127	New York, NY	09/10/2020	05/10/2021	05/13/2021	249	Oppenheimer & Company Incorporated	ISC	1530561	David Jonathon Feigeles	NY	Weltz Kakos et al.	NO	NO
20-02695	San Diego, CA	08/19/2020	04/28/2021	05/14/2021	5685	Pruco Securities LLC	Reyes Kurson Ltd.	3057025	Todd Jason Trusso	CA	HLBS Law	NN	NO
20-02721	Los Angeles, CA	08/20/2020	04/28/2021	05/14/2021	149777	Morgan Stanley	Greenberg Traurig LLP	1121726	Norman Thorn Robertson	CA	HLBS Law	NO	NO
20-02758	Chicago, IL	08/24/2020	05/05/2021	05/14/2021	32625	WMA Securities Incorporated	No-show	2871051	Stephen David Dissette	IN	AdvisorLaw LLC	NO	NO
20-03116	Cincinnati, OH	09/10/2020	05/10/2021	05/14/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	729670	Shaun Perry Nicholson	OH	HLBS Law	NO	NO
20-03040	Denver, CO	09/08/2020	04/29/2021	05/17/2021	32444	First Allied Securities Incorporated	ISC	1094557	Joseph Sylvester Sturniolo	CO	HLBS Law	NO	NO
20-02693	Tampa, FL	08/20/2020	05/12/2021	05/17/2021	141238	Dempsey Lord Smith LLC	The Beck Law Firm LLC	5753812	Travis Scott Jennings	FL	HLBS Law	NO	NO

5	D	Gary E. Marcus	1
4	G	Joseph Neal Richardson	1
1	G	John R. Loss, Esq.	1
1	G	Gregory Hunter Mathews	2
1	G	Susanne J. Hollander, Esq.	1
6	G	Donald Dreyfus	1
1	G	Martin R. Cramer	1
1	G	Diane Ciccone, Esq.	1
2	G	Betty Chen	1
1	G	Mark R. Lee	1
1	G	George L. Tindall	1
2	G	Theodore W. Wroblecki, Esq.	1
1	G	Robert J. Scafuri, Esq.	1
2	G	Philip J. Glick, Esq.	1
1	D	Martin M. Van Luven	1

21-00099	Dallas, TX	01/15/2021	05/13/2021	05/17/2021	146726	TPEG Securities LLC	ISC	U CRD#5512809	Sanjay Chandra	TX	AdvisorLaw LLC	UN	NO
20-02946	Phoenix, AZ	09/02/2020	05/03/2021	05/18/2021	7452	Vanguard Marketing Corporation	Morgan Lewis & Bockius	2887300	Matthew John Williams	AZ	Louviere Law Firm PA	NO	NO
20-03053	Portland, OR	09/09/2020	05/11/2021	05/18/2021	665	Piper Sandler & Company	ISC	U CRD#848103	Mark Kim Gaskill	OR	AdvisorLaw LLC	UN	NO
20-03240	San Juan, PR	09/11/2020	05/13/2021	05/18/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2926408	Xavier A. Aguayo	PR	Toro Colon Mullet PSC	NO	NO
20-02697	Phoenix, AZ	08/19/2020	04/27/2021	05/19/2021	866	Waddell & Reed Incorporated	Bryan Cave et al.	2421932	Jason Leonard Freiwald	AZ	AdvisorLaw LLC	NO	NO
20-02873	Orlando, FL	08/31/2020	05/11/2021	05/19/2021	14754; 20804	QA3 Financial LLC; United Planners Financial Services	ISC	2332472	Jeffrey Paul Rogers	FL	FA Expungement	NO	NO
20-03037	Boca Raton, FL	09/08/2020	05/14/2021	05/19/2021	8209; 19616	Morgan Stanley & Company LLC; Wells Fargo Clearing Services LLC	ISC	4132229	Peter Anthony Nicoletti	FL	Schwartz Legal PLLC	NO/NN	NO
20-02131	Jersey City, NJ	07/06/2020	05/12/2021	05/19/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1718688	Joseph Marie Andreoli Jr.	NJ	AdvisorLaw LLC	NO NN	NO
20-01845	Pittsburgh, PA	06/11/2020	05/11/2021	05/19/2021	3978	Lincoln Financial Advisors Corporation	ISC	1489265	Edward Ernest Black	PA	Farrar Law PLLC	NO/NN	NO
20-02776	Rapid City, SD	08/25/2020	05/13/2021	05/19/2021	6694	Raymond James Financial Services Incorporated	ISC	2362886	Gordon David Wollman	SD	AdvisorLaw LLC	NO-D	NO
20-02567	Houston, TX	08/11/2020	05/11/2021	05/19/2021	6363	Ameriprise Financial Services LLC	ISC	4455879	Justin Andrew Montandon	TX	AdvisorLaw LLC	NO	NO
20-02090	Los Angeles, CA	07/01/2020	04/22/2021	05/20/2021	30833	Centaurus Financial Incorporated	ISC	1126586	Kelley Susan Slaughter	CA	Gordon Rees et al.	OB/NO	NO
20-02781	St. Louis, MO	08/25/2020	05/11/2021	05/20/2021	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2596713	Jacob C. Allen	MO	AdvisorLaw LLC	NO	NO
20-03010	San Francisco, CA	09/04/2020	05/04/2021	05/20/2021	16164	Transamerica Financial Advisors Incorporated	ISC	U CRD#5405183	Joshua Williamson	TN	HLBS Law	UN	NO
20-02677	Phoenix, AZ	08/19/2020	05/07/2021	05/21/2021	149777	Morgan Stanley	Greenberg Traurig LLP	5168915	Seth C. Henrie	AZ	AdvisorLaw LLC	NO	NO
20-03369	San Francisco, CA	10/23/2020	05/04/2021	05/21/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4543416	Rey Dante Deborja Jr.	CA	Kaufman Dolowich & Voluck LLP	UN	NO
20-02389	Boston, MA	07/28/2020	05/05/2021	05/21/2021	594	Moors & Cabot Incorporated	ISC	2011593	Alan Walton Sharpe	MA	D'Costa Law	OB/NO	NO

1	D	Frances Johnson-Wright, Esq.	1
1	G	Louis M. Parker, Esq. - Chair; Carrie Lynette Thompson Jones, Esq.; Denis Frank	2
1	D	Katherine Hendricks, Esq.	1
4	G	Louis David Huss	1
1	G	Marc Kalish, JD	1
2	G	Martin M. Van Luven	1
3	G	Will Murphy, Esq.	1
5	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
2	G	John James McGovern, Jr., Esq.	1
1	G	Daniel M. Yamshon, Esq.	1
1	G	Daniel J. Pagnano, Esq.	1
3	G	George L. Tindall	1
2	G	Tracy L. Allen, Esq.	1
1	D	Mary Margaret Bush, Esq.	1
1	G	Erik R. Siering	1
1	D	Thomas D. Reese, Esq. - Chair; Keara Kelly Roethke, Esq.; Gary A. Hooker	1
3	G/D	Jeffrey P. Petrucelly, Esq.	1

20-02791	Baltimore, MD	08/25/2020	05/18/2021	05/21/2021	4031	Hornor Townsend & Kent LLC	Leake & Anderson	1773274	Kathie Herbst Okun	MD	AdvisorLaw LLC	NO	NO
20-02922	Jersey City, NJ	09/20/2020	04/27/2021	05/21/2021	41282	The Jeffrey Matthews Financial Group LLC	ISC	1058397	Edward James Hynes Jr.	NJ	Jardim Meisner & Susser	NN	NO
20-03001	New York, NY	09/04/2020	05/18/2021	05/21/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	3176182	Patrick Giblin	NJ	AdvisorLaw LLC	NN	NO
20-02757	Wilmington, DE	08/24/2020	05/18/2021	05/21/2021	7556	Morgan Stanley DW Incorporated	ISC	2764727	Thomas John O'Rourke Jr.	PA	AdvisorLaw LLC	NO	NO
20-03186	San Juan, PR	09/11/2020	05/20/2021	05/21/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	4032530	James Malcom Ugobono	PR	McConnell Valdes LLC	NO	NO
20-02955	Jacksonville, FL	09/03/2020	05/14/2021	05/24/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2300545	William Richard Tomes Jr.	FL	HLBS Law	NO/NN	NO
20-03202	Jersey City, NJ	09/15/2020	05/05/2021	05/24/2021	112697	American Portfolios Financial Services Incorporated	No-show	4615119	Chi-Hong (Simon) Chu	NJ	RJM Counsel PLLC	OB/NO	NO
20-02008	New York, NY	07/16/2020	05/18/2021	05/24/2021	104065	Newbridge Securities Corporation	Kaufman Dolowich & Voluck LLP	4092866	Michael John Zoitaz	NY	Judex Law LLC	NO	NO
21-00665	Portland, OR	03/10/2021	05/10/2021	05/24/2021	8174	UBS Financial Services Incorporated	ISC	4124515	Kimberly Chin Muska	WA	Bressler Amery & Ross	NN	NO
20-03051	San Francisco, CA	09/08/2020	05/06/2021	05/25/2021	4; 8209	AG Edwards & Sons Incorporated; Morgan Stanley & Company LLC	ISC (AGE); Keesal Young & Logan (MS&C)	4402629	Christopher Brian Carolan	CA	Gonser Law PC	NO	NO
20-03244	New York, NY	09/12/2020	05/18/2021	05/25/2021	112697	American Portfolios Financial Services Incorporated	No-show	1648677	Robert Thomas Crothers	NY	RJM Counsel PLLC	NO	NO
20-02411	New York, NY	08/07/2020	05/18/2021	05/25/2021	8361	AGP/Alliance Global Partners Corporation	No-show	1759484	Peter David Schiff	PR	Sichenzia Ross Ference LLP	NO	NO
20-02991	San Francisco, CA	09/03/2020	05/12/2021	05/25/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	2201744	Kirk Louis Mandlin	WA	HLBS Law	NO	NO
20-02831	New York, NY	08/27/2020	05/20/2021	05/26/2021	6627	Equitable Advisors LLC	ISC	U CRD#5683752	Robert D. Amoroso	CA	AdvisorLaw LLC	NO	NO
20-03163	Tampa, FL	09/11/2020	05/20/2021	05/26/2021	16164	Transamerica Financial Advisors Incorporated	ISC	1547792	Bruce Albert Slater	MI	Farrar Law PLLC	OB/NO	NO

1	G	David L. Ruderman, Esq.	1
1	G	Julian F. Santos, Esq.	1
1	G	Joan M. Traub, Esq.	1
1	G	Robert E. Anderson, Esq.	1
1	G	Louis David Huss	1
1	G	Martin M. Van Luven	1
3	G	Marvin L. Schuldiner	1
2	G	Michael H. DuBoff, Esq.	1
1	G	Katherine Hendricks, Esq.	1
2	G	Philip Aaron Tymon, JD	1
2	G	Lise Gabrielle Hunter, Esq.	1
5	G	Richard W. Cutler, Esq.	1
1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
2	D	William G. Binckes, Esq.	1
3	D	Jeffry Mark Bauer, Esq.	2

20-03367	Pittsburgh, PA	09/25/2020	05/18/2021	05/26/2021	19616	Wells Fargo Clearing Services LLC	ISC	3170962	Stephen Mark Bender	PA	FA Expungement	OB	NO
20-01486	Phoenix, AZ	05/11/2020	04/12/2021	05/27/2021	30833	Centaurus Financial Incorporated	ISC	4047415	Orion Kelly Willis	AZ	Farrar Law PLLC	OB	NO
20-03122	Los Angeles, CA	09/10/2020	05/12/2021	05/27/2021	30833; 6413	Centaurus Financial Incorporated; LPL Financial LLC	ISC	3147472	Calvin Todd Halterman	ID	The Law Offices of Tyson W. Kovash	NO	NO
20-02780	Jersey City, NJ	08/25/2020	05/17/2021	05/27/2021	19616	Wells Fargo Clearing Services LLC	ISC	2274905	Christopher Cort	NJ	AdvisorLaw LLC	OB NN	NO
20-02862	San Francisco, CA	08/28/2020	04/29/2021	05/28/2021	15708	ProEquities Incorporated	Maynard Cooper & Gale	4819319	Brian Allen Peardon	CA	HLBS Law	NO	NO
20-02640	Boca Raton, FL	08/17/2020	05/17/2021	05/28/2021	132939	GF Investment Services LLC	No-show	4847063	Andrew Montgomery Costa	FL	HLBS Law	NO/NN	NO
20-02644	Milwaukee, WI	08/18/2020	05/13/2021	05/28/2021	250	Edward Jones	Quarles & Brady	4458579	Zachary Butler	FL	AdvisorLaw LLC	NN	NO
21-00757	Boston, MA	03/23/2021	05/12/2021	05/28/2021	8174	UBS Financial Services Incorporated	ISC	1383052	Lawrence H. Knowlton	NH	Bressler Amery & Ross	NO/NN	NO
20-01468	New York, NY	05/08/2020	05/19/2021	05/28/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2102320	Raymond Louis George	NY	Farrar Law PLLC	NO/NN	NO
20-02553	Columbia, SC	08/10/2020	05/20/2021	05/28/2021	4	AG Edwards & Sons Incorporated	ISC	1281643	Bertin Marc Stuckart	SC	AdvisorLaw LLC	NN	NO
21-00722	Columbia, SC	03/18/2021	05/20/2021	05/28/2021	8174	UBS Financial Services Incorporated	ISC	4305052	Brian Andrew Blackburn	SC	Bressler Amery & Ross	NO/NN	NO
20-02855	Tampa, FL	08/31/2020	04/07/2021	06/01/2021	8209	Morgan Stanley & Company LLC	ISC	1801251	Brian Robinson	FL	Schwartz Legal PLLC	NO	NO
20-03023	Boca Raton, FL	09/04/2020	05/24/2021	06/01/2021	104065; 11025	NewBridge Securities Corporation; Wells Fargo Advisors Financial Network	Kaufman Dolowich & Voluck LLP (NBS); ISC (WFA)	1617710	Peter Lewis Goffin	FL	Sallah Astarita & Cox LLC	NO NO-D	NO
20-03958	Atlanta, GA	12/03/2020	05/25/2021	06/01/2021	35747	Purshe Kaplan Sterling Investments	ISC	2330785	Jonathan Sard	GA	Galvin Legal PLLC	NO	NO
21-00022	Chicago, IL	01/07/2021	05/20/2021	06/01/2021	6627	Equitable Advisors LLC	ISC	2998784	Norbert Helmut Filian	IL	Ulmer & Berne	OB	NO
20-04181	Jersey City, NJ	12/28/2020	05/20/2021	06/02/2021	6413; 41791	LPL Financial LLC; Santander Securities LLC	ISC	2391430	William James Williamson III	NJ	Ghabai Law Group LLC	NO	NO
20-02669	Phoenix, AZ	08/18/2020	05/04/2021	06/03/2021	793	Stifel Nicolaus & Company Incorporated	ISC	2978220	William Reilley Herf	AZ	AdvisorLaw LLC	OB	NO

1	G	Francis A. King	1
1	G	Roger A. Geddes	1
1	G	Benjamin F. Breslauer	1
2	G	Joan M. Traub, Esq.	1
1	G	William W. Haskell, Esq.	1
8	G	Monroe Mitchel	4
1	G	Philip J. Glick, Esq.	1
3	G	Gerard S. Marsan, Esq.	1
4	G	Mary Julia O'Connell	1
1	G	Stuart K. Furman	1
2	G	John P. Cullem, Esq.	1
4	G	Karl A. Vogeler, III	2
4	G	Will Murphy, Esq.	1
1	G	Michael J. Ahlstrom, Esq. - Chair; Judith Stilz Ogden, Esq.; Brian Francis Pockock	1
1	G	Leon Fox, JD - Chair; Michael R. Sherwin, JD; Stephen M. Parlier	2
1	G	Michael H. DuBoff, Esq.	1
1	G	Walter Steven Schwartz	2

20-03128	San Francisco, CA	09/10/2020	05/19/2021	06/03/2021	6391	Pacific West Securities Incorporated	No-show	2856535	Donna Marie Stevenson	CA	Barr & Young	NO UN	NO
20-03180	Jersey City, NJ	09/15/2020	05/24/2021	06/03/2021	112697	American Portfolios Financial Services Incorporated	No-show	4615119	Chi-Hong Chu	NJ	RJM Counsel PLLC	NO	NO
20-03184	Houston, TX	09/11/2020	05/28/2021	06/03/2021	32444	First Allied Securities Incorporated	ISC	1522234	William Frederick Fox	TX	RJM Counsel PLLC	NO/NN	NO
20-02007	Los Angeles, CA	06/24/2020	05/11/2021	06/04/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2278586	David Bryan Schachter	CA	Judex Law LLC	NO	NO
20-03059	Los Angeles, CA	09/08/2020	05/27/2021	06/04/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	4562098	Bradley Alexander Finnigan	CA	HLBS Law	NO	NO
20-01450	Boca Raton, FL	05/06/2020	05/27/2021	06/04/2021	107726	UBS International Incorporated	ISC	1811434	Leticia Laura Santiago	FL	HLBS Law	NO	NO
20-03007	Atlanta, GA	09/04/2020	05/26/2021	06/04/2021	249	Oppenheimer & Company Incorporated	ISC	4580729	Timothy Arthur Vanderver	GA	AdvisorLaw LLC	OB/NO	NO
20-02200	Jersey City, NJ	07/13/2020	05/17/2021	06/04/2021	463	Janney Montgomery Scott LLC	ISC	2754779	Christopher Ronald DiGregorio	NJ	D'Costa Law	NO	NO
20-02610	New York, NY	08/13/2020	06/01/2021	06/04/2021	25574	Chase Investment Services Corporation	Ulmer & Berne	4862075	Walter Giovanni Suarez	NY	Judex Law LLC	NO	NO
20-02921	Richmond, VA	09/01/2020	05/25/2021	06/04/2021	6363	Ameriprise Financial Services LLC	ISC	4931156	Robert Eugene Schinsky	VA	AdvisorLaw LLC	UN	NO
20-02719	Los Angeles, CA	08/20/2020	05/24/2021	06/07/2021	79	JP Morgan Securities LLC	Keesal Young & Logan	4682191	Ming Hong Chung	CA	HLBS Law	NO	NO
20-02705	Atlanta, GA	08/20/2020	06/02/2021	06/07/2021	14251	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	1145902	Pamela Jackson Middleton	GA	AdvisorLaw LLC	NO-D	NO
20-03061	Reno, NV	09/08/2020	05/25/2021	06/07/2021	13572	Cetera Advisor Networks LLC	ISC	4457945	Joanna Moran	NV	Winget Spadafora & Schwartzberg LLP	NO	NO
20-02935	Houston, TX	09/02/2020	06/03/2021	06/08/2021	25574	Chase Investment Services Corporation	Ulmer & Berne	3047789	David D. Davis	TX	AdvisorLaw LLC	OB/NO	NO
20-02723	Boca Raton, FL	08/20/2020	06/02/2021	06/09/2021	628	Fifth Third Securities Incorporated	Dinsmore & Shohl LLP	2836032	Joshua Christian Klump	FL	HLBS Law	NO	NO

2	G/D	Kevin C. Coleman, JD	1
3	G	Robert E. Anderson, Esq.	1
2	G	Sherry R. Wetsch, Esq.	1
1	G	Erik R. Siering	1
2	G	Kirtley M. Thiesmeyer, Esq.	1
1	G	Elena G. Rodriguez	1
2	G	Michael J. Ahlstrom, Esq.	1
3	G	Louis H. Miron, Esq.	1
2	G/D	Paul C. Tang	1
1	D	Joseph J. Dougherty, JD	1
1	G	Morris S. Getzels, Esq.	1
1	G	Harvey R. Linder, Esq.	1
1	G	Michael Lancaster Garcia	1
2	G	Sherry R. Wetsch, Esq.	1
1	G	Carl Shechter, Esq.	1

19-02407	New York, NY	08/21/2019	06/03/2021	06/09/2021	8174; 630	UBS Financial Services Incorporated; CIBC World Markets Corporation	ISC	2089051	Jeffry Schneider	TX	Judex Law LLC	NO	NO
20-02794	San Diego, CA	08/25/2020	05/17/2021	06/10/2021	10205	Securities America Incorporated	Freeman Mathis & Gray	4292619	Daniel Albert Neil	CA	HLBS Law	NO	NO
20-03121	Hartford, CT	09/10/2020	05/20/2021	06/10/2021	250; 30613	Edward Jones; Investors Capital Corporation	Quarles & Brady LLP (EDJ); No-show (IC)	1587765	Marianne Oshee Smith	CT	FA Expungement	NO	NO
20-03989	Charlotte, NC	12/07/2020	06/02/2021	06/10/2021	31194	RBC Capital Markets LLC	Dorsey & Whitney	3204341	Todd Douglas Calamita	NC	AdvisorLaw LLC	NO	NO
20-02679	Birmingham, AL	08/19/2020	06/09/2021	06/11/2021	7471	Prudential Equity Group LLC	Reyes Kurson Ltd.	2286524	Susan Clayton Moore	MA	AdvisorLaw LLC	NN	NO
20-02549	New York, NY	08/07/2020	05/25/2021	06/11/2021	24795; 7569	Joseph Gunnar & Company LLC; National Securities Corporation	ISC	2751980	Michael James Burkoff	NY	Judex Law LLC	NO	NO
20-03000	Cincinnati, OH	09/04/2020	06/02/2021	06/11/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2149829	Michael David Maroni	WA	AdvisorLaw LLC	NN	NO
20-02920	San Diego, CA	09/01/2020	06/03/2021	06/14/2021	19616	Wells Fargo Clearing Services LLC	ISC	3013654	Tony Peter Krvaric	CA	FA Expungement	OB	NO
20-02984	San Diego, CA	09/03/2020	06/03/2021	06/14/2021	599	WAMU Investments Incorporated	No-show	4046860	Bradley S. Cooperman	CA	HLBS Law	NN	NO
20-02963	Detroit, MI	09/03/2020	06/07/2021	06/14/2021	46047; 23131	Hantz Financial Services Incorporated; Royal Alliance Associates Incorporated	Shea Aiello PLLC (HFS); Saretzky Hart et al. (RAA)	2451747	Shannon Kelly Klug	FL	Offit Kurman PA; Freedman & Herskovic	NO	NO
20-03124	Boca Raton, FL	09/10/2020	06/10/2021	06/14/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5829521	Thomas Conway	FL	HLBS Law	NO	NO
20-02700	Wilmington, DE	08/19/2020	05/24/2021	06/14/2021	6413	LPL Financial LLC	ISC	2736605	Wayne David Wagner Jr.	NJ	AdvisorLaw LLC	NO	NO
20-02934	Dallas, TX	09/02/2020	06/02/2021	06/14/2021	16999	Banc One Securities Corporation	No-show	3047789	David D. Davis	TX	AdvisorLaw LLC	NO	NO
20-03097	Houston, TX	09/10/2020	06/02/2021	06/14/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3269670	Michael Calvin	TX	AdvisorLaw LLC	NO	NO
20-02736	Los Angeles, CA	08/21/2020	05/27/2021	06/15/2021	46000	Eplanning Securities Incorporated	No-show	2854253	Damian Jude Dering	CA	HLBS Law	NO	NO
20-02957	Los Angeles, CA	09/02/2020	05/25/2021	06/15/2021	7461	FSC Securities Corporation	Freeman Mathis & Gray	1624126	Ralph Gerard Adamo	CA	HLBS Law	NO	NO

3	G	Clive I. Morricks	1
1	G	Robert E. Jenks	1
1	G	Steven R. Rolnick, Esq.	1
1	G	Michael J. Ahlstrom, Esq.	1
1	G	Frances Johnson-Wright, Esq.	1
3	G	Roger B. Jacobs	1
1	G	Gregory P. Szuter, Esq.	1
1	G	Robert E. Jenks	1
2	G	Randy R. Maher, JD	1
2	G/D	Robert J. Scafuri, Esq.	2
1	G	Elena G. Rodriguez	1
1	G	Louis H. Miron, Esq.	1
1	G	C. Sumpter Logan	1
2	G	Brian James Tagtmeier	1
1	G	Robert E. Jenks	1
1	G	Joyce L. Hurley	1

20-02792	Baltimore, MD	08/26/2020	05/24/2021	06/15/2021	3978	Lincoln Financial Advisors Corporation	ISC	1773274	Kathie Herbst Okun	MD	AdvisorLaw LLC	NO	NO
20-02994	Minneapolis, MN	09/04/2020	06/08/2021	06/15/2021	6363	Ameriprise Financial Services LLC	ISC	2482655	Jodi Kay Miller-Hammes	MN	AdvisorLaw LLC	NN	NO
20-02590	Houston, TX	08/12/2020	06/10/2021	06/15/2021	8174	UBS Financial Services Incorporated	ISC	3139618	Ritchy Guy Scoggin	TX	AdvisorLaw LLC	NO	NO
20-03123	Los Angeles, CA	09/10/2020	06/03/2021	06/16/2021	30833	Centaurus Financial Incorporated	ISC	1201542	Timothy Neil Tremblay	CA	The Law Offices of Tyson W. Kovash	NO	NO
20-02483	New York, NY	08/03/2020	06/02/2021	06/16/2021	105061	Casimir Capital Limited Partnership	ISC	4588706	Richard G. Michalski	NY	Sichenzia Ross Ference LLP	OB/NO	NO
20-02649	San Francisco, CA	08/17/2020	06/09/2021	06/17/2021	149777	Morgan Stanley	Bressler Amery & Ross	2158046	Ying Zhang	CA	HLBS Law	OB	NO
20-02119	New York, NY	07/04/2020	05/25/2021	06/17/2021	119037	Laidlaw & Company (UK) Limited	ISC	4025263	Robert Nicholas Rotunno	NY	Warren Law Group	NO	NO
20-02605	Washington, DC	08/13/2020	06/08/2021	06/17/2021	44337	Kalos Capital Incorporated	ISC	2388453	Frederick Peter Baerenz	VA	AdvisorLaw LLC	NO	NO
20-02715	Los Angeles, CA	08/20/2020	05/19/2021	06/21/2021	6627	AXA Advisors LLC	Gordon Rees et al.	2684870	Darin Lee Gibson	CA	HLBS Law	NO	NO
20-03193	Boca Raton, FL	09/11/2020	06/09/2021	06/21/2021	6694	Raymond James Financial Services Incorporated	ISC	4270866	John Edward Cassandra	FL	Zadanosky & Associates PA	NO	NO
20-02971	Cincinnati, OH	09/04/2020	06/15/2021	06/21/2021	15708	ProEquities Incorporated	Maynard Cooper & Gale	U CRD#4917715	Jonathan Paul Hlavac	OH	AdvisorLaw LLC	UN	NO
20-01393	San Francisco, CA	05/04/2020	05/24/2021	06/22/2021	6627; 421	AXA Advisors LLC; Woodbury Financial Services Incorporated	Gordon Rees et al. (AXA); Freeman Mathis & Gray (WFS)	1137733	Anil Gulati	CA	Offit Kurman LLP	NO	NO
20-02639	Tampa, FL	08/18/2020	06/15/2021	06/22/2021	8174	UBS Financial Services Incorporated	ISC	1890972	John Thomas Petika	FL	HLBS Law	NO/NN	NO
20-01480	San Diego, CA	06/23/2020	06/11/2021	06/22/2021	149777	Morgan Stanley	Keesal Young & Logan	4457945	Joanna Moran	NV	Winget Spadafora & Schwartzberg LLP	OB	NO
20-02907	Salt Lake City, UT	09/01/2020	05/25/2021	06/22/2021	39543	Cambridge Investment Research Incorporated	ISC	2628700	John Reed Mickelson	UT	AdvisorLaw LLC	NO	NO
20-02997	Norfolk, VA	09/03/2020	06/08/2021	06/22/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3188148	Robert Chapman Bradshaw	VA	AdvisorLaw LLC	NO	NO
20-02849	Phoenix, AZ	08/28/2020	05/27/2021	06/23/2021	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	4215589	Jacob Hamblin Gold	AZ	AdvisorLaw LLC	NO	NO

1	G	Brenda J. Stovall, Esq.	1
2	G	Leonard Arthur Nelson, Esq.	1
1	G	Sherry R. Wetsch, Esq.	1
4	G/D	Andrew M. Mintzer, CPA	1
2	G/D	Anthony Michael Sabino, Esq.	1
1	D	Daniel M. Yamshon, Esq.	1
10	G	Jill Pilgrim, Esq.	3
2	G/D	Douglas Earl McLaren, Esq.	1
1	G	Andrew M. Mintzer, CPA	1
3	G	Monica I. Salis, Esq.	2
1	D	Stephen P. Calardo	1
2	G	Jonathan H. Krotinger, Esq.	1
2	G	Martin M. Van Luven	1
1	G	Erik R. Siering	1
1	G	Donald Neil Tolin	1
1	G	James W. (Jim) Geiger	1
1	G	Howard R. Gaines, Esq.	1

20-02009	Los Angeles, CA	06/24/2020	05/27/2021	06/23/2021	8174	UBS Financial Services Incorporated	ISC	1726303	Anita Marie Daguliar	CA	Judex Law LLC	NO	NO
20-02788	San Francisco, CA	08/25/2020	06/03/2021	06/23/2021	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	2413808	Jennifer Anne Johnston	CA	HLBS Law	NN	NO
20-02148	Boca Raton, FL	07/07/2020	06/21/2021	06/23/2021	8174	UBS Financial Services Incorporated	ISC	3053046	Jason Erik Stephens	FL	HLBS Law	NO	NO
20-03147	Chicago, IL	09/11/2020	04/22/2021	06/23/2021	43559	Taylor Capital Management Incorporated	No-show	6383911	Justin Jake Reppy; Brian Korienek	IL	Lewitas Hyman PC	OB/NO	NO
21-00043	New York, NY	01/08/2021	06/18/2021	06/23/2021	149777	Morgan Stanley Smith Barney LLC	ISC	2410788	Richard L. Morse	NY	Deutsch & Lipner	NO	NO
21-00025	Phoenix, AZ	01/06/2021	06/22/2021	06/24/2021	5393	Charles Schwab & Company Incorporated	ISC	6794612	Anthony Jose Calderon	AZ	Louviere Law Firm PA	NO	NO
20-03718	Chicago, IL	11/03/2020	06/22/2021	06/24/2021	7569	National Securities Corporation	ISC	5134519	Trevor Joseph Wurtzbech	IL	Lewitas Hyman PC	NO	NO
20-02342	New York, NY	07/28/2020	06/14/2021	06/28/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1072360	Harold D. Elish	NY	Law Offices of Amy Bard	NN	NO
20-03175	Jersey City, NJ	09/11/2020	06/22/2021	06/28/2021	3227	Josephthal & Company Incorporated	ISC	2573543	Michael Haskel Nessim	NY	Ruskin Moscou Faltischek PC	NO	NO
21-00972	Oklahoma City, OK	04/13/2021	06/16/2021	06/29/2021	8174	UBS Financial Services Incorporated	ISC	2463376	Donald Ray Jackson	OK	Bressler Amery & Ross	OB	NO
20-02646	San Francisco, CA	08/18/2020	06/16/2021	06/30/2021	8209	Morgan Stanley & Company LLC	Bressler Amery & Ross	2158046	Ying Zhang	CA	HLBS Law	NO	NO
20-02674	Denver, CO	08/18/2020	06/07/2021	06/30/2021	10582	Wells Fargo Investments LLC	ISC	3233338	Bradley Ross Thompson	CO	HLBS Law	NO	NO
20-02716	Los Angeles, CA	08/20/2020	06/07/2021	07/01/2021	7471	Prudential Equity Group LLC	Reyes Kurson Ltd.	1121726	Norman Thorn Robertson	CA	HLBS Law	NO	NO
20-02734	Los Angeles, CA	08/21/2020	06/11/2021	07/01/2021	6363	Ameriprise Financial Services LLC	ISC	2854253	Damian Jude Dering	CA	HLBS Law	NO	NO
21-01300	Los Angeles, CA	05/18/2021	06/25/2021	07/01/2021	8174	UBS Financial Services Incorporated	ISC	4262911	Drew Scott Freides	CA	Bressler Amery & Ross	NO	NO
20-02755	Chicago, IL	08/24/2020	06/17/2021	07/01/2021	8174	UBS Financial Services Incorporated	ISC	4754068	Adam Bradley Bramson	IL	AdvisorLaw LLC	NO	NO
21-00040	Chicago, IL	01/08/2021	06/24/2021	07/01/2021		None.	No-show	1753378	Howard Evan Sharfman	IL	Schoenberg Finkel et al.	NO-D	NO
20-02942	Charlotte, NC	09/02/2020	06/29/2021	07/01/2021	30349	1st Global Capital Corporation	ISC	4890394	Carol Lee King	NC	AdvisorLaw LLC	NO	NO

1	G	Robert D. Sussin, Esq.	1
1	G	Michael Lancaster Garcia	1
1	G	Kimberly A. Gilmour, Esq.	1
7	G/D	Leon Fox, JD	2
1	G	Madelon M. Rosenfeld, Esq. - Chair; Gerald M. Levine; Steven Gargiulo	1
1	G	Robert E. Jenks	1
3	G	Susanne J. Hollander, Esq. - Chair; Theodore W. Wroblewski, Esq.; Scott Miller	1
1	G	Andrew M. Schmertz	1
1	G	Julian F. Santos, Esq.	1
1	G	Jeffrey R. Jury	1
1	G	Laurel Littman Gothelf, MPH	1
1	G	Philip J. Glick, Esq.	1
1	G	Benjamin F. Breslauer	1
1	G	Benjamin F. Breslauer	1
1	G	George L. Tindall	1
1	G	Larry Carlson, Esq.	1
1	G	Theodore W. Wroblewski, Esq. - Chair; Marcia Bonita Gevers; Dennis Christensen	1
1	G	Harvey R. Linder, Esq.	1

20-03237	San Juan, PR	09/11/2020	06/18/2021	07/01/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2926408	Xavier A. Aguayo	PR	Toro Colon Mullet PSC	NO	NO
20-02438	Richmond, VA	07/29/2020	06/15/2021	07/01/2021	6255	Scott & Stringfellow LLC	Murphy & McGonigle	2338467	Michael Martin Higgins	VA	AdvisorLaw LLC	NO	NO
20-02034	Los Angeles, CA	07/07/2020	06/18/2021	07/02/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	4121898	Shomir Mukherjee	CA	Law Offices of Steve A. Buchwalter PC	NO	NO
20-02633	Los Angeles, CA	08/17/2020	06/15/2021	07/02/2021	30833	Centaurus Financial Incorporated	ISC	4476509	Brian Daniel Vosberg	CA	Judex Law LLC	NO	NO
20-03176	Los Angeles, CA	09/11/2020	06/10/2021	07/02/2021	23224; 29037	Madison Avenue Securities LLC; Syndicated Capital Incorporated	Kob Law (MAS); No-show (SC)	4064499	Meagan Nicole Phelps	CA	FA Expungement	NO	NO
20-02464	Boca Raton, FL	07/31/2020	06/15/2021	07/02/2021	130645	Dawson James Securities Incorporated	Kaufman Dolowich & Voluck LLP	1370869	David Hershel Weinstein	FL	Farrar Law PLLC	NO	NO
20-03440	Phoenix, AZ	10/05/2020	06/16/2021	07/06/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	4628859	Andrew James Ruboyianes	AZ	Tiffany & Bosco	NO	NO
20-02995	San Francisco, CA	09/03/2020	06/24/2021	07/06/2021	13686	Avantax Investment Services Incorporated	ISC	4624278	Bin Zhai	CA	HLBS Law	NO	NO
20-03011	Los Angeles, CA	09/04/2020	06/29/2021	07/06/2021	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	4923434	Brice Redmond	CA	HLBS Law	NO	NO
20-02996	Minneapolis, MN	09/04/2020	06/29/2021	07/06/2021	6413	LPL Financial LLC	ISC	2266816	Daniel Edward Steichen	MN	AdvisorLaw LLC	NO-D	NO
20-02741	Manchester, NH	09/23/2020	06/28/2021	07/06/2021	4	AG Edwards & Sons Incorporated	ISC	254526	Richard Thomas Iannacone	NH	AdvisorLaw LLC	NO	NO
20-02730	San Francisco, CA	08/21/2020	06/17/2021	07/07/2021	23988	Citicorp Investment Services	Kauff Laton Miller LLP	3166711	Everest KY Wong	CA	HLBS Law	NO/NN	NO
20-04128	Cleveland, OH	12/18/2020	06/09/2021	07/07/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	1570914	Jeffrey Philip Elman	CA	Shumaker Loop & Kendrick	NO	OB
21-00001	Denver, CO	12/31/2020	06/23/2021	07/07/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	4525184	Brian Patrick Rorick	CO	HLBS Law	NO	NO
21-00039	Milwaukee, WI	01/08/2021	06/30/2021	07/07/2021	43285	M Holdings Securities Incorporated	ISC	842878	Richard Frederick Swider	FL	AdvisorLaw LLC	NO	NO
20-02681	Portland, OR	08/19/2020	06/17/2021	07/07/2021	6363	Ameriprise Financial Services LLC	ISC	2852098	Russell Curtis McLean	OR	AdvisorLaw LLC	NO	NO

6	G	Louis David Huss	1
1	G	Joseph J. Dougherty, JD	1
1	G	Constance Ellen Boukidis - Chair; Erik R. Siering; Brant Jackson Griffin	1
1	G	Susan B. Gans-Smith, Esq.	1
1	G	Benjamin F. Breslauer	1
2	G	Elena G. Rodriguez	1
1	G	Morris S. Getzels, Esq. - Chair; Walter Steven Schwartz; Stephanie P. Lebhar	1
1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
1	G	Andrew M. Mintzer, CPA	1
1	G	Tracy L. Allen, Esq.	1
1	G	James W. (Jim) Geiger	1
1	G	Ann Elizabeth Sarli	1
1	G	Michael L. Fortney, Esq.	1
1	G	Michael Jeffrey Norton, Esq.	1
3	G/D	Leon Fox, JD	3
1	G	David William Hickman, JD	1

20-03214	Atlanta, GA	09/11/2020	06/24/2021	07/08/2021	25536	American Wealth Management Incorporated	The Beck Law Firm LLC	1874548	Jason Lee Seale	CA	FA Expungement	NO	NO
20-02720	Hartford, CT	08/20/2020	06/30/2021	07/08/2021	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg LLP	1094341	Joseph Santo Marino	CT	AdvisorLaw LLC	OB	NO
20-02391	Boston, MA	07/28/2020	05/03/2021	07/08/2021	7471	Prudential Equity Group LLC	Reyes Kurson Ltd.	2011593	Alan Walton Sharpe	MA	D'Costa Law	NO	NO
20-03470	San Francisco, CA	10/08/2020	05/11/2021	07/09/2021	15667	First Midwest Securities Incorporated	No-show	4412927	Clayton Kwok Shum.	CA	HLBS Law	NN	NO
20-02684	Chicago, IL	08/19/2020	07/01/2021	07/09/2021	2764	Mesirow Financial Incorporated	ISC	2808387	Charles Boyles Lawless	IL	AdvisorLaw LLC	NO	NO
20-04091	Chicago, IL	12/16/2020	06/28/2021	07/09/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2371154	Steven Scott LaPorta	IL	FA Expungement	NO D-NO	NO
20-02916	San Francisco, CA	09/01/2020	06/25/2021	07/12/2021	6363	Ameriprise Financial Services Incorporated	ISC	1623353	Thomas David Sharp	CA	HLBS Law	OB	NO
20-03027	Boca Raton, FL	09/04/2020	05/26/2021	07/12/2021	146251	Spartan Capital Securities LLC	ISC	2311865	Thomas John Briguccia, Jr.	FL	Jenks & Harvey	NO NN	NO
20-02992	Seattle, WA	09/03/2020	06/15/2021	07/12/2021	250	Edward Jones	Keesal Young & Logan	2201744	Kirk Louis Mandlin	WA	HLBS Law	NO	NO
20-02801	Boca Raton, FL	08/26/2020	07/01/2021	07/13/2021	10299; 30613	Cetera Advisors LLC; Investors Capital Corporation	ISC	1959274	Andrew Joseph Fairchild	FL	FA Expungement	NO	NO
20-03003	Kansas City, MO	09/04/2020	07/01/2021	07/14/2021	19616	Wells Fargo Clearing Services LLC	ISC	2835275	Christopher Jay McGee	KS	AdvisorLaw LLC	NO	NO
21-00666	Boston, MA	03/10/2021	07/07/2021	07/14/2021	149777	Morgan Stanley	ISC	4826899	Ilan Avi Segev	MA	Bressler Amery & Ross	NO	NO
20-02604	New York, NY	08/13/2020	07/06/2021	07/14/2021	10299	Cetera Advisors LLC	ISC	2793924	Joseph A. Medina	NY	Judex Law LLC	OB/NO	NO
20-03220	New York, NY	09/11/2020	07/08/2021	07/15/2021	40982; 45559; 15007	John Thomas Financial; Hunter Scott Financial LLC; Aegis Capital Corporation	ISC	4618370	Dennis Daniel Herrera	FL	Sichenzia Ross Farence LLP	NO	NO
20-02539	New York, NY	08/07/2020	06/29/2021	07/15/2021	119037; 249;	Laidlaw & Company (UK) Limited; Oppenheimer & Company Incorporated; Capital Growth Financial LLC	ISC	2818073	Jeffrey Ross Glazer	NJ	Sichenzia Ross Farence LLP	NO	NO
20-01419	Dallas, TX	07/07/2020	02/05/2021	07/15/2021	15007	Aegis Capital Corporation	ISC	1950804	Raymond Walter Robert Borota II	TX	Farrar Law PLLC	NO	NO

3	G	Michael J. Ahlstrom, Esq.	1
1	D	Robert B. Titus	1
2	G	Richard J. Grahn, Esq.	1
2	G	Philip Aaron Tymon, JD	1
1	G	Donald M. Thompson, Esq.	1
2	G	James J. Stamos, Esq.	1
2	D	Michael Lancaster Garcia	1
9	G	Will Murphy, Esq.	1
1	G	David William Hickman, JD	1
1	G	Mark Allen Bilawsky	1
1	G	Philip J. Glick, Esq.	1
1	G	Robert E. Anderson, Esq.	1
2	G	Robert E. Anderson, Esq.	1
2	G	Gerald M. Levine	1
6	D/W	Anna Lascar	1
2	G	Mark L. Williams, Esq.	3

20-02944	Atlanta, GA	09/02/2020	06/29/2021	07/16/2021	4161	Morgan Keegan & Company LLC	ISC	2890387	Marcus Alan Ashworth	GA	Judex Law LLC	NO	NO
20-02977	Jersey City, NJ	09/03/2020	07/07/2021	07/16/2021	615	New England Securities Corporation	Harris & Affiliates Ltd.	1812212	Joseph P. Silvestri	NJ	AdvisorLaw LLC	NO	NO
20-03029	Dallas, TX	09/08/2020	06/30/2021	07/16/2021	13686	Avantax Investment Services Incorporated	ISC	1857549	Troy Allan Chesnut	TX	AdvisorLaw LLC	NO/NN	NO
20-02902	Chicago, IL	09/01/2020	05/20/2021	07/19/2021	4039	The Equitable Life Assurance Society of the United States	No-show	737124	Robert Charles Greulich	IL	AdvisorLaw LLC	NO	NO
20-02376	New York, NY	08/21/2020	05/07/2021	07/19/2021	8174	UBS Financial Services Incorporated	ISC	870056	Debra Ann Bushman	NY	Law Office of Bradley D. Schnur	NO/NN	NO
20-03197	Columbia, SC	09/11/2020	07/08/2021	07/19/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	3053803	David Ruckno	SC	Simms Law PA	NO	NO
21-00081	Washington, DC	01/13/2021	07/13/2021	07/19/2021	7471	Prudential Equity Group LLC	Reyes Kurson Ltd.	1846627	John Harry Wolff	VA	AdvisorLaw LLC	UN	NO
20-02815	Louisville, KY	08/27/2020	06/22/2021	07/20/2021	6363	Ameriprise Financial Services LLC	ISC	2397165	James Kevin Waninger	IN	AdvisorLaw LLC	NN	NO
20-03207	New York, NY	09/11/2020	06/29/2021	07/20/2021	23131; 5953	Royal Alliance Associates Incorporated; Vanderbilt Securities LLC	ISC (RAA); Charles M. O'Rourke (VS)	2149097	Scott M. Fitzgerald	NY	Offit Kurman LLP	NN	NO
20-02782	Salt Lake City, UT	08/25/2020	06/22/2021	07/20/2021	4031	Hornor Townsend & Kent LLC	Leake & Andersson	3153603	Jeffrey Roger Segelke	UT	AdvisorLaw LLC	NO	NO
20-02901	Salt Lake City, UT	09/01/2020	06/24/2021	07/20/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2998138	Scott Allen	UT	AdvisorLaw LLC	NO	NO
20-02777	Jersey City, NJ	08/25/2020	07/12/2021	07/21/2021	249; 3227	Oppenheimer & Company Incorporated; Josephthal & Company Incorporated	ISC	2274905	Christopher Cort	NJ	AdvisorLaw LLC	NO NO-D	NO
20-02000	Milwaukee, WI	09/08/2020	04/12/2021	07/22/2021	8174	UBS Financial Services Incorporated	ISC	1808359; 2429741	Glen William Ringwall; Mark James Manion.	WI WI	Farrar Law PLLC	NO	NO
20-02378	Hartford, CT	07/27/2020	06/03/2021	07/22/2021	6312	Crown Capital Securities Limited Partnership	Jonesbell LLP	4733385	Bret David LaPorte	CT	Farrar Law PLLC	NO	NO
20-01435	Jersey City, NJ	05/06/2020	06/10/2021	07/22/2021	249	Oppenheimer & Company Incorporated	ISC	2754779	Christopher Ronald DiGregorio	NJ	D'Costa Law	NO	NO
20-02844	Jersey City, NJ	08/28/2020	07/08/2021	07/22/2021	10409	MML Investors LLC	Stevens & Lee	2265515	Victor Iannelli	NJ	AdvisorLaw LLC	NO	NO

1	G	Chandler R. Bridges, Esq.	1
1	G	Robert E. Anderson, Esq.	1
1	G	C. Sumpter Logan	1
1	G	Theodore W. Wroblewski, Esq.	2
2	G	Eric Goldman	4
2	G	Harvey R. Linder, Esq.	1
1	D	Jane C. Carney, CPA	1
1	G	George G. Kurschner	1
2	G	Eugene G.P. Byrne, Esq.	2
1	G	Howard R. Gaines, Esq.	1
1	G	Terry M. Lloyd, CPA, CFA	1
1	G	Robert E. Anderson, Esq.	1
10	G	Leon Fox, JD	6
1	G	James W. (Jim) Geiger	1
2	G/D	Catherine Stewart, Esq.	1
1	G	Robert E. Anderson, Esq.	1

21-01341	Jersey City, NJ	05/24/2021	07/14/2021	07/22/2021	8174	UBS Financial Services Incorporated	ISC	1903657	John Robert Morris	NJ	Bressler Amery & Ross	NO	NO
20-03191	New York, NY	09/11/2020	07/14/2021	07/22/2021	119249	American Capital Partners LLC	ISC	4009691	Jason Luke Zahltia	NY	Sichenzia Ross Ference LLP	NO/NN	NO
20-03008	Detroit, MI	09/04/2020	07/06/2021	07/23/2021	40875	USAllianz Securities Incorporated	Paesano Akkashian Apkarian PC	2237683	Michael Leonard Wallace	MI	HLBS Law	NN	NO
20-03458	Las Vegas, NV	10/07/2020	07/12/2021	07/23/2021	866; 19616	Waddell & Reed Incorporated; Wells Fargo Clearing Services LLC	Freeman Mathis & Gary (W&R); ISC (WFCS)	4131182	Sean Lewis Dobranich	NV	Galvin Legal PLLC	NO	NO
20-03676	San Francisco, CA	10/29/2020	07/20/2021	07/26/2021	149777	Morgan Stanley	Greenberg Traurig LLP	5215413	Leslie Hull Miller	CA	FA Expungement	NO	NO
20-01701	New York, NY	05/29/2020	07/07/2021	07/26/2021	14048	Continental Broker Dealer Corporation	No-show	2167218	Joon Rhee	NY	Carmel Milazzo & Feil LLP	NO	NO
20-04204	San Juan, PR	12/29/2020	07/14/2021	07/26/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	5638180	Edgardo H. Ferrer	PR	McConnell Valdes LLC	NO	NO
20-02985	San Diego, CA	09/03/2020	05/04/2021	07/27/2021	25574; 79	Chase Investment Services Incorporated; JP Morgan Securities LLC	Keesal Young & Logan	4046860	Bradley S. Cooperman	CA	HLBS Law	OB NN	NO
20-03222	Tampa, FL	09/24/2020	05/21/2021	07/27/2021	250	Edward D Jones & Company Limited Partnership nka Edward Jones	Quarles & Brady	1056697	Gerald J. O'Halloran.	FL	Farrar Law PLLC	NO/NN	NO
20-02974	St. Louis, MO	09/04/2020	07/08/2021	07/27/2021	115547	Saxony Securities Incorporated	ISC	2283467	Norman David Eccarius	MO	AdvisorLaw LLC	NO/NN	NO
20-03057	San Francisco, CA	09/08/2020	07/15/2021	07/29/2021	130116	BrokerBank Securities Incorporated	ISC	6412695	Justin Matthew Bachman	AZ	HLBS Law	NO	NO
20-02928	Los Angeles, CA	09/01/2020	07/19/2021	07/30/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	2352641	Daniel Keith Avan	CA	Judex Law LLC	NO-D	NO
21-01239	San Diego, CA	05/11/2021	07/12/2021	07/30/2021	8174	UBS Financial Services Incorporated	ISC	5385963; 2360617	Kalyn Ashley Walker; Perry A. Zeigler.	CA; CA	Bressler Amery & Ross	NO	NO
20-03144	Tampa, FL	09/11/2020	07/15/2021	07/30/2021	12984; 16164	Invest Financial Corporation; Transamerica Financial Advisors Incorporated	Saretsky Hart et al. (IFC); ISC (TFA)	3172630	Garyn Ian Angel	FL	Sallah Astarita & Cox LLC	NO/NN	NO

1	G	Michael H. DuBoff, Esq.	1
2	G	Howard L. Sobel	1
1	G	Patrick R. Sughroue, Esq.	1
3	G	Robert E. Jenks - Chair; Ben Lehavi, Esq.; Barry A. Mainardi	1
1	G	Peter H. Daly	1
1	G	Thomas Matthew Madden	1
1	G	Louis David Huss	1
2	G	Mitchell Lee Lathrop	1
3	G	Langfred W. White, Esq.	2
2	G	Julius Z. Frager	1
1	G	Ralph A. Cotton, CPA	1
1	G	Mary M. O'Neil	1
2	G	Erik R. Siering	1
4	G/D/W	Richard S. Zaifert, Esq.	1

20-02795	Raleigh, NC	08/25/2020	07/22/2021	07/30/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	714042	Garland Richard Homes Jr.	NC	AdvisorLaw LLC	NO	NO
20-02890	Detroit, MI	09/01/2020	07/29/2021	08/02/2021	628	Fifth Third Securities Incorporated	Dinsmore & Shohl	3227041	John Pierre Thibault	FL; MI	HLBS Law	NO	NO
20-03009	Detroit, MI	09/04/2020	07/19/2021	08/02/2021	14081	IAC Securities Incorporated	No-show	2237683	Michael Leonard Wallace	MI	HLBS Law	NN	NO
20-03203	New York, NY	09/11/2020	06/10/2021	08/02/2021	793	Stifel Nicolaus & Company Incorporated	ISC	U CRD#2274289	Ari Jordan Spar	NY	AdvisorLaw LLC	OB/NO	NO
20-03052	Los Angeles, CA	09/08/2020	07/13/2021	08/03/2021	285052; 39262	Vanguard Capital; Western International Securities Incorporated	ISC (VC); Markun Zusman et al. (WIS)	442144	Robin Lee Taliaferro	CA	HLBS Law	NO	NO
21-00057	Los Angeles, CA	01/15/2021	06/30/2021	08/03/2021	149777	Morgan Stanley	ISC	6644935	Gary Jon Rosen	CA	Gonser Law PC	NO	NO
20-04205	Nashville, TN	12/29/2020	07/27/2021	08/03/2021	11025	Wells Fargo Advisors Financial Network	ISC	2431627	Alex B. Shore	TN	Winget Spadafora & Schwartzberg LLP	NO	NO
20-02450	New York, NY	07/30/2020	06/08/2021	08/04/2021	15007; 7569	Aegis Capital Corporation; National Securities Corporation	Sichenzia Ross Ference LLP (Aegis); ISC (NS)	5324620	Mark Sam Kolta	NY; FL	Judex Law LLC	OB	NO
21-00220	Jersey City, NJ	01/28/2021	07/20/2021	08/06/2021	43177; 7569	JP Turner & Company LLC; National Securities Corporation	ISC	4873578	Shaun Evan Stein	NJ	FA Expungement	NO	NO
20-02654	New York, NY	08/18/2020	07/20/2021	08/06/2021	23988	Citicorp Investment Services	Kauff Laton Miller LLP	1952387	Margaret D. Rivera	NY	AdvisorLaw LLC	NN	NO
20-03135	Dallas, TX	09/11/2020	06/23/2021	08/06/2021	14819	Principal Securities Incorporated	Maynard Cooper & Gale	4796735	Wesley Ryon Sorensen	TX	AdvisorLaw LLC	NO	NO
21-01025	Little Rock, AR	04/22/2021	08/05/2021	08/09/2021	705	Raymond James & Associates Incorporated	ISC	1497791	James Hydrick Garner	AR	Holcomb + Ward LLP	NO	NO
20-02810	San Francisco, CA	08/26/2020	07/30/2021	08/09/2021	7556	Morgan Stanley DW Incorporated	Keesal Young & Logan	2634450	Brannan Paul Vaughan	CA	HLBS Law	NO	NO
20-03140	Tampa, FL	09/11/2020	07/13/2021	08/09/2021	18334	Prime Capital Services Incorporated	ISC	1619245	James Cosmo Ciocia	FL	Judex Law LLC	NO-D	NO
21-00572	New York, NY	03/02/2021	08/02/2021	08/09/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2434311	Joel L. Konigsberg	NY	Bressler Amery & Ross	NO	NO
21-00071	San Francisco, CA	01/12/2021	08/09/2021	08/10/2021	5685	Pruco Securities LLC	Reyes Kurson Ltd.	1535445	Barbara Burke Heaton	CA	HLBS Law	NO	NO

1	G	Richard James Igou	1
1	G	Lee Hornberger, JD	1
1	G	Lee Hornberger, JD	1
2	D	William G. Binckes, Esq.	2
3	G	Gregory Douglas Stone	1
1	G	Barbara M. Zak, Esq.	1
1	G	Hon. A.J. Seier - Chair; James A. McIntosh; Joseph Charles Smolira, PhD	1
3	G	Carolyn A. Mann	4
3	G	Robert E. Anderson, Esq.	1
1	G	Karen Isabel Bedrosian-Richardson	1
3	G	Robert J. Gregory	1
1	G	Maryanne M. Esser, Esq. - Chair; Allan R. Lazor, Esq.; Paul M. Foster, Esq.	1
1	G	Mary Margaret Bush, Esq.	1
1	G	Karimu F. Hill-Harvey, Esq.	3
1	G	Joan M. Traub, Esq.	1
1	G	Daniel M. Yamshon, Esq.	1

20-02975	New York, NY	09/03/2020	07/22/2021	08/10/2021	39781	Eastbrook Capital Group LLC	No-show	2399515	James Oconnell Barbi	NJ	AdvisorLaw LLC	NO	NO
20-03060	San Juan, PR	09/08/2020	08/04/2021	08/10/2021	41791	Santander Securities LLC	Pietrantonio Mendez & Alvarez	2729031	Christopher Thomas McDowall	PR	AdvisorLaw LLC	NO/NN	NO
20-03172	San Juan, PR	09/11/2020	08/03/2021	08/10/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	858500; 2269112	Anita M. Brennan; Marina Sonya Tudela.	PR; TX	McConnell Valdes LLC	NO	NO
20-02832	Hartford, CT	08/27/2020	08/03/2021	08/11/2021	46947	Silver Oak Securities Incorporated	No-show	1969971	Douglas William Miller	CT	AdvisorLaw LLC	NO	NO
20-03546	Baltimore, MD	10/19/2020	08/03/2021	08/11/2021	39543; 6413;	Cambridge Investment Research Incorporated; LPL Financial LLC; Cambridge Investment Research Advisors	ISC	4758909	James Michael Segal	VA	Niles Barton & Wilmer	NO	NO
21-01539	New York, NY	06/17/2021	08/03/2021	08/12/2021	8174	UBS Financial Services Incorporated	ISC	3127757	Gregory A. Shanaphy	NJ	Bressler Amery & Ross	NO	NO
21-00863	Houston, TX	04/01/2021	08/09/2021	08/12/2021	42046	Kestra Investment Services LLC, successor to NFP Securities Incorporated	ISC	721749	Michael Gary Rudelson	TX	Moulton & Wilson LLP	NO	NO
21-00516	Richmond, VA	02/24/2021	08/10/2021	08/12/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2811850	Jennifer M. Duncan	VA	Sullivan Collins Law Group	NO	NO
21-00260	San Juan, PR	02/01/2021	08/10/2021	08/17/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	2784555	Francisco Landivar	PR	McConnell Valdes LLC	NO-D	NO
20-03210	Boca Raton, FL	09/11/2020	08/06/2021	08/18/2021	149777; 8000	Morgan Stanley; The GMS Group LLC	ISC (MSSB); Law Offices of Matthew E. Lipman (TGMSG)	5406611	Michael Robert Greenfield	FL	Simms Law PA	NO	NO
20-04155	New York, NY	12/23/2020	08/04/2021	08/18/2021	705	Raymond James & Associates Incorporated	ISC	2668934; 1704230; 5458897	Theodore William McDonagh; Christopher William McDonagh; Daniel Stephen Bauers	NJ; NJ, FL; CT	Bruce W. Barnes PA	NO	NO

1	G	Josian Antoine, Esq.	1
12	G/D	Elena G. Rodriguez	1
2	G	Christopher J. Klein, Esq.	1
2	G	Sean Alan D'Amico	1
1	G	David L. Ruderman, Esq. - Chair; C. Gregory Ellison	1
1	G	Gerald M. Levine	1
1	G	Lynne M. Gomez, Esq.	1
1	G	Richard James Igou	1
1	G	Christopher J. Klein, Esq.	1
4	G	Leslie L. Cooney, Esq.	1
3	G	Richard W. Cutler, Esq.	1

21-00100	New York, NY	01/21/2021	06/28/2021	08/18/2021	31194	RBC Capital Markets LLC	Dorsey & Whitney	1222751	Robert Tansey	NY	Murphy & McGonigle	OB/NO	NO
20-00524	Los Angeles, CA	02/13/2020	07/26/2021	08/19/2021	8174	UBS Financial Services Incorporated	ISC	2896603	Curtis John Parry	CA	HLBS Law	NO	NO
20-03130	Los Angeles, CA	09/10/2020	08/05/2021	08/19/2021	29604	National Planning Corporation	Saretsky Hart et al.	2539896	Jayne Marie P. Sullivan	CA	HLBS Law	NO	NO
20-02454	Hartford, CT	07/30/2020	08/12/2021	08/19/2021	7569; 39781	National Securities Corporation; Eastbrook Capital Group LLC	ISC	2273334	Stuart Leighton Updegrave	CT	Judex Law LLC	NO	NO
21-00033	New York, NY	01/11/2021	08/11/2021	08/19/2021	105387	Leumi Investment Services Incorporated	ISC	5042144	Neer Hodorov	FL	Harry Sherman, Attorney-at-Law	NN	NO
20-02713	New York, NY	08/20/2020	08/05/2021	08/19/2021	24795; 18278	Joseph Gunnar & Company LLC; Brauer & Associates Incorporated	ISC	2620003	Roger Alexander Monteforte	NY	Judex Law LLC	NO	NO
20-04154	Orlando, FL	12/23/2020	08/04/2021	08/20/2021	250	Edward Jones	Quarles & Brady	5688493	George Stefanou	PA; FL	HLBS Law	NO	NO
21-00059	San Juan, PR	01/11/2021	08/17/2021	08/20/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	5638180	Edgardo H. Ferrer	PR	McConnell Valdes LLC	NO	NO
20-03146	New York, NY	09/10/2020	08/10/2021	08/23/2021	7569	National Securities Corporation	ISC	2273334	Stuart Leighton Updegrave	CT	Judex Law LLC	NO	NO
20-04058	Albuquerque, NM	12/14/2020	08/16/2021	08/23/2021	6413	LPL Financial LLC	ISC	1589355	Thomas Roney Chaney	NM	Galvin Legal PLLC	NO-D	NO
21-00325	Houston, TX	02/08/2021	08/20/2021	08/24/2021	149777	Morgan Stanley	Greenberg Traurig LLP	2820600	Kelly Davies Chimera	TX	Berry Odom LLP	NO	NO
20-03046	San Francisco, CA	09/08/2020	08/20/2021	08/25/2021	19616	Wells Fargo Clearing Services LLC	ISC	4413809	Corey N. Daniel	CA	HLBS Law	OB	NO
20-02671	Philadelphia, PA	08/18/2020	08/18/2021	08/25/2021	463	Janney Montgomery Scott LLC	ISC	2266555	Patrick Michael Foley	PA	AdvisorLaw LLC	NO/NN	NO
20-02285	San Francisco, CA	07/20/2020	08/24/2021	08/26/2021	127081	Brokersxpress LLC	ISC	2229762	Matthew Paul Schweifler	CA	Arbitration Evaluation Services LLC	UN	NO
20-02404	New York, NY	08/17/2020	04/21/2021	08/26/2021	38813	Dalton Kent Securities Group Incorporated	No-show	2665428	Levant Miguel Bishop	IL	Farrar Law PLLC	NO/NN	NO
20-02415	Chicago, IL	07/29/2020	07/21/2021	08/26/2021	7569	National Securities Corporation	ISC	2665428	Levant Miguel Bishop	IL	Farrar Law PLLC	OB/NO	NO

2	G	Robert E. Anderson, Esq.	2
1	G	Constance Ellen Boukidis	1
1	G	Robert E. Jenks	1
3	G	Samuel Harrison Chorches, Esq.	1
1	G	Michael H. DuBoff, Esq. - Chair; Edmund Timothy Donovan; Andrew Robert Kosloff	1
2	G	Susan A. Romano	1
3	G	Mitchel Weiss, Esq.	1
1	G	Louis David Huss	1
3	G	Ira A. Auerbach	1
1	G	Mary Margaret Bush, Esq. - Chair; John J. Fitzpatrick, Jr., Esq.; Gene R. Thornton, Esq.	1
1	G	Lynne M. Gomez, Esq.	1
1	G	Arocles Aguilar	1
1	G	Louis P. Wagman	1
1	D	Thomas D. Reese, Esq.	1
6	G	John Michael Bergin	4
5	G	James J. Stamos, Esq.	1

21-00105	San Juan, PR	01/15/2021	08/19/2021	08/27/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	3139380	David L. Rojas	PR	McConnell Valdes LLC	NO	NO
21-00850	Denver, CO	03/30/2021	08/12/2021	08/30/2021	6627	Equitable Advisors LLC	ISC	5302766	Rachel Elizabeth Comfort	CO	HLBS Law	NO	NO
20-01186	Dallas, TX	04/13/2020	07/27/2021	08/30/2021	8174	UBS Financial Services Incorporated	ISC	2083670	Douglas Scott Wall	TX	AdvisorLaw LLC	UN	NO
21-00557	San Juan, PR	03/01/2021	08/25/2021	09/01/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2180310	Angel Manuel Canabal Sr.	PR	Toro Colon Mullet PSC	NO	NO
21-00199	New York, NY	01/26/2021	08/03/2021	09/02/2021	146251	Spartan Capital Securities LLC	ISC	4336146	John Dennis Lowry	NY	Becker & Poliakoff	UN	NO
20-02449	Detroit, MI	07/31/2020	08/24/2021	09/03/2021	18272; 14667; 25450	Allstate Financial Services LLC; Brookstreet Securities Corporation; GLP Investment Services LLC	Reyes Kurson Ltd. (AFS); No-show (BS); ISC (GLIPS)	2220839	Gary H. Mattson	MI	Judex Law LLC	NO	NO
20-03218	New York, NY	09/11/2020	08/04/2021	09/03/2021	119249; 24795; ?	American Capital Partners LLC; Joseph Gunnar & Company LLC; AR Baron & Company Incorporated	ISC (APC & JG&C); No-show (ARB&C)	2316848	Kevin John McPhee	NY	Sichenzia Ross Ference LLP	NO/NN	NO
20-03134	New York, NY	09/10/2020	08/26/2021	09/08/2021	7569	National Securities Corporation	ISC	5324620	Mark Sam Kolta	NY; FL	Judex Law LLC	NO	NO
20-03028	Portland, OR	09/04/2020	08/10/2021	09/08/2021	13609; 6413	Berthel Fisher & Company Financial Services Incorporated; LPL Financial LLC	ISC	4448453	Joshua Eugene Stroud	OR	AdvisorLaw LLC	NO	NO
21-00319	Houston, TX	02/05/2021	08/31/2021	09/08/2021	47644	Legacy Asset Securities Incorporated	ISC	2944041	Richard E. Kaplan	TX	AdvisorLaw LLC	NO	NO
20-02728	Seattle, WA	08/20/2020	08/23/2021	09/08/2021	6391	Pacific West Securities Incorporated	No-show	1392433	Robin Tom Naylor	WA	AdvisorLaw LLC	NO	NO

1	G	Martin A. Feigenbaum, Esq.	1
1	G	Donald Neil Tolin	1
1	D	Patricia Beaujean Lehtola, Esq.	1
4	G	Martin A. Feigenbaum, Esq.	1
5	D	Elizabeth Gilbert, Esq. - Chair; Christine Meiers Schatz; Marc Adam Sherman	1
4	G	Lee Hornberger, JD	1
2	G	Amy Jill Baranoff	1
2	G	Sandra J. Mullings, Esq.	1
5	G	Daniel B. MacLeod, Esq.	3
2	G	Sherry R. Wetsch, Esq.	1
2	G	Craig Charles Beles, Esq.	2

20-02793	San Francisco, CA	08/25/2020	08/25/2021	09/09/2021	23131	Royal Alliance Associates Incorporated	Freeman Mathis & Gray	2784775	Robert Collins Ryan III	CA	HLBS Law	NO	NO
20-02930	New York, NY	09/01/2020	08/31/2021	09/09/2021	119037	Laidlaw & Company (UK) Limited	ISC	2280460	Craig Aaron Bonn	CT	Judex Law LLC	NO	NO
20-03101	Seattle, WA	09/09/2020	08/19/2021	09/10/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1306585	Phil Scott	WA	AdvisorLaw LLC	UN	NO
21-00468	Los Angeles, CA	02/19/2021	09/02/2021	09/14/2021	104100	MS Howells & Company	Law Offices of Robert L. Hill APC	4719484	Tim Chung Chen	CA	Reynolds & Partners	NO	NO
20-02489	New York, NY	08/04/2020	09/09/2021	09/14/2021	463	Janney Montgomery Scott LLC	ISC	870056	Debra Ann Bushman	NY	Law Office of Bradley D. Schnur	NO	NO
20-03151	Houston, TX	09/11/2020	09/10/2021	09/14/2021	103789; 152170	USCA Securities LLC; USCA RIA LLC	ISC	2554449	Matthew Brooke West	TX	AdvisorLaw LLC	OB	NO
20-03118	Chicago, IL	09/10/2020	09/07/2021	09/15/2021	19616	Wells Fargo Clearing Services LLC	ISC	1070738	Jay Alan Cunningham	IL	AdvisorLaw LLC	NO	NO
21-00356	Philadelphia, PA	02/09/2021	08/25/2021	09/15/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2088467	Thomas A. Seiler	PA	Winget Spadafora & Schwartzberg LLP	NO	NO
20-03119	New York, NY	09/10/2020	09/07/2021	09/16/2021	7569; 13755	National Securities Corporation; First Montauk Securities Corporation	ISC	1806486	Michael Fasciglione	NY	Judex Law LLC	NO	NO
21-00156	Phoenix, AZ	01/21/2021	08/25/2021	09/16/2021	5393	Charles Schwab & Company Incorporated	ISC	6409227; 6701802	Payden Thomas Bullis; Rene Rojas	TX; AZ	Barr & Young Attorneys	NO	NO
21-00170	Tampa, FL	01/22/2021	09/09/2021	09/17/2021	6413	LPL Financial LLC	ISC	2544061	Lisa R. Kulhavi	FL	Ghabai Law Group LLC	OB	NO
21-01152	Nashville, TN	05/03/2021	09/13/2021	09/17/2021	8174	UBS Financial Services Incorporated	ISC	2322053	Kent Kirby	TN	Bressler Amery & Ross	OB/NO	NO
20-03020	Orlando, FL	09/08/2020	08/26/2021	09/17/2021	38357	CliftonLarsonAllen Wealth Advisors LLC	ISC	5199235	James Clemensen	TX	HLBS Law	OB	NO
20-02472	New York, NY	07/31/2020	09/01/2021	09/20/2021	21404; 31204; 18692	Fairchild Financial Group Incorporated; Monroe Parker Securities Incorporated; Stratton Oakmont Incorporated	No-show	2009609	Stephen Mark Kiront	NY	Baritz & Colman	NO/NN	NO
20-02726	New York, NY	08/20/2020	09/16/2021	09/20/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	38988	Roger E. Camp	NY	AdvisorLaw LLC	NN	NO

1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
1	G	David I. Goldblatt, Esq.	1
3	D	Jane Ann McKenzie	1
1	G	Robert E. Jenks	1
1	G	Karen Isabel Bedrosian-Richardson	1
1	G	Lynne M. Gomez, Esq.	1
1	G	James J. Stamos, Esq.	1
1	G	John J. Jordan, Esq. - Chair; Kathleen Jones Spilker; Thomas Naylor	1
3	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
2	G	Sandra L. Malek, Esq.	1
2	G	Karl A. Vogeler, III	2
5	G	Harvey R. Linder, Esq.	1
1	D	Gerald Thomas Harper	1
17	G/D	Carol Maria Luttati	1
1	G	Joan M. Traub, Esq.	1

21-00758	Denver, CO	03/22/2021	09/15/2021	09/22/2021	4	AG Edwards & Sons Incorporated	ISC	2245878	William Jason Stordahl	CO	HLBS Law	NN	NO
21-00160	Boston, MA	01/21/2021	09/09/2021	09/22/2021	149777	Morgan Stanley	ISC	6529351	Aya Metwally	MA	Shapiro Haber & Urmey	NO	NO
20-03183	New York, NY	09/11/2020	09/15/2021	09/22/2021	7556; 41258	Morgan Stanley DW Incorporated; Trident Partners Limited	ISC (MSDW); No-show (TP)	3059691	Timothy Vincent Longo	NY	Sichenzia Ross Ference LLP	NO	NO
20-04207	Nashville, TN	12/29/2020	08/31/2021	09/22/2021	11025	Wells Fargo Advisors Financial Network LLC	ISC	2431627	Alex B. Shore	TN	Winget Spadafora & Schwartzberg LLP	NO	NO
21-00530	San Francisco, CA	02/26/2021	09/14/2021	09/23/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	4507512	Wen Shan Wu	CA	FA Expungement	NO	NO
20-03766	New York, NY	11/09/2020	09/13/2021	09/23/2021	7569	National Securities Corporation	ISC	4658534	Christopher Edward Bond	NY	Carmel Milazzo & Feil LLP	NO	NO
20-02854	Washington, DC	08/28/2020	05/13/2021	09/24/2021	25027; 6555	B Riley Securities Incorporated; Legg Mason Wood Walker Incorporated	ISC (BRS); No-show (LMWW)	2123916	Jonathan Russell Legg	VA	Kauff Laton Miller LLP	NO/NN	NO
20-02707	Chicago, IL	08/20/2020	09/10/2021	09/27/2021	137115	BMO Harris Financial Advisors Incorporated	Godfrey & Kahn	3256403	Erik McVann Feldhaus	IL	AdvisorLaw LLC	NO	NO
20-03148	New York, NY	09/27/2020	08/17/2021	09/27/2021	7569; 249	National Securities Corporation; Oppenheimer & Company Incorporated	ISC	1806486	Michael Fasciglione	NY	Judex Law LLC	NO	NO
21-01338	New York, NY	05/21/2021	09/17/2021	09/28/2021	16361	Banc of America Investment Services Incorporated	Bressler Amery & Ross	4262781	David I. Bunin	CT	Moulton & Wilson LLP	NO	NO
20-03154	New York, NY	09/10/2020	09/14/2021	09/28/2021	7569	National Securities Corporation	ISC	5849065	Matthew Fleissner	NJ	Judex Law LLC	NO	NO
21-00348	Dallas, TX	02/09/2021	09/14/2021	09/28/2021	35567	IMS Securities Incorporated	No-show	4562123	Kristopher Forest Etter	TX	AdvisorLaw LLC	NO	NO
19-03104	Orlando, FL	10/16/2019	09/10/2021	09/29/2021	20999; 16944; 43177	Calton & Associates Incorporated; Newport Coast Securities Incorporated; JP Turner & Company LLC	ISC (C&A & NCS); Winget Spadafora & Schwartzberg LLP (IPT&C)	5132291	Paul William Murphy	FL	Freeman Mathis & Gray	NO/NN	NO

1	G	Thaddeus J. Tecza, PhD	1
1	G	Gerard S. Marsan, Esq. - Chair; William A. Barrett; Frederick W. Keuthen, Esq.	1
2	G	Patricia Kathleen Costello	1
1	G	Thomas Joseph Atkinson, Sr., JD - Chair; Douglas Charles Weinstein; Sara Francis Hoover	1
1	G	Daniel M. Yamshon, Esq.	1
1	G	Anna M. Fanelli, Esq. - Chair; Royce Russell, Esq.; Steven J. Petrie	1
11	G/W	Jane C. Carney, CPA	3
1	G	Gregory G. Gocek	1
2	G	Amy Jill Baranoff	2
1	G	Peter E. Gillespie	1
2	G	Robert E. Anderson, Esq.	1
1	G	Andrea U. Calve, Esq.	1
3	G	Gayle B. Carlson, Esq.	1

20-02714	New York, NY	08/20/2020	09/21/2021	09/30/2021	31204	Monroe Parker Securities Incorporated	No-show	2281871	Barry Michael Kiront	FL	Baritz & Colman	NO	NO
20-03198	Columbia, SC	09/11/2020	09/28/2021	09/30/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	3053803	David Ruckno	SC	Simms Law PA	NO	NO
21-00335	Boca Raton, FL	02/06/2021	09/28/2021	10/01/2021	249	Oppenheimer & Company Incorporated	ISC	6206579	Logan W. Shalmi	FL	Zadanosky & Associates PA	NO	NO
21-02087	New York, NY	08/12/2021	09/23/2021	10/01/2021	8174	UBS Financial Services Incorporated	ISC	2531225	Ronald Francis Giancristofaro	NJ	Bressler Amery & Ross	NO	NO
20-02772	Syracuse, NY	08/24/2020	09/03/2021	10/01/2021	6413	LPL Financial LLC	Faegre Drinker et al.	U CRD#2660786	Kenneth John Arellano	NY	AdvisorLaw LLCOB	OB	OB
20-02708	New York, NY	08/20/2020	09/14/2021	10/04/2021	8209	Morgan Stanley & Company LLC	ISC	2753628	Robert Andrew Dunn	NY	AdvisorLaw LLC	NO NO-D	NO
21-00363	New York, NY	02/09/2021	09/20/2021	10/04/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4587238	Mihir Patel	NY	McCormick & O'Brien LLP	NO	NO
20-01263	Dallas, TX	06/04/2020	12/02/2020	10/04/2021	6625; 43413; 24341	Emmett A Larkin Company Incorporated; Salomon Grey Financial Corporation; Pacific Cortez Securities Incorporated	No-show	1950804	Raymond Walter Robert Borota II	TX	Farrar Law PLLC	NO	NO
20-02929	Chicago, IL	09/02/2020	09/29/2021	10/05/2021	877	Wedbush Securities Incorporated	ISC	2403390	Thomas Joseph Brough	AZ	AdvisorLaw LLC	NO	OB
21-01829	New York, NY	07/19/2021	09/27/2021	10/05/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	4254820	Ranjesh Kumar Singh	NJ	Bressler Amery & Ross	NO	NO
21-00061	Atlanta, GA	01/11/2021	09/28/2021	10/06/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	3138638	Michael DeWayne Brown	GA	AdvisorLaw LLC	NO	NO
20-02840	Minneapolis, MN	08/28/2020	07/20/2021	10/06/2021	8174	UBS Financial Services Incorporated	ISC	4439148	John Andrew Randolph	MN	AdvisorLaw LLC	OB/NO	NO
21-01993	New York, NY	08/03/2021	10/05/2021	10/06/2021	8174	UBS Financial Services Incorporated	ISC	2832985	Kathleen M. Entwistle	NJ	Bressler Amery & Ross	NO	NO
20-03142	San Diego, CA	09/10/2020	09/28/2021	10/07/2021	10205	Securities America Incorporated	Freeman Mathis & Gray	2019963	Paul Avila Neves	CA	Judex Law LLC	NO	NO
21-00041	Boca Raton, FL	01/08/2021	09/30/2021	10/07/2021	106032	IDB Capital Corporation	ISC	5840152	Rony Porat	FL	AdvisorLaw LLC	NO	NO
21-00720	New York, NY	03/18/2021	09/27/2021	10/07/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4809292	Tomoe Odahara	NY	Law Offices of Jordan D. Becker	NN	NO

6	G	Noah Jonathan Hanft	1
1	G	Stuart K. Furman	1
1	G	Robert Lawrence Ostrov	1
1	G	Alice E. Winkler, Esq.	1
1	D	Robert J. Ambrogi, Esq.	2
3	G	Linda J. Baer, Esq.	2
1	G	Robert E. Anderson, Esq. - Chair; Richard W. Cutler, Esq.; Jonathan Ashley Pomeroy	1
3	G	Eric Ross Cromartie	2
1	G	Philip J. Glick, Esq.	1
1	G	Josian Antoine, Esq.	1
1	G	Michael J. Ahlstrom, Esq.	1
2	G/D	Philip J. Glick, Esq.	2
1	G	Michael H. DuBoff, Esq.	1
1	G	Kirtley M. Thiesmeyer, Esq.	1
1	G	Steven Gerard Goerke, Esq.	1
1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Susan C. Lushing, Esq.; Mark Peter Haslinger	1

21-01123	New York, NY	04/29/2021	09/20/2021	10/08/2021	40982	John Thomas Financial	No-show	1931272	Michele Ann Misiti	NY	Holcomb + Ward LLP	NO	NO
21-00899	Jersey City, NJ	04/06/2021	09/30/2021	10/12/2021	132939	GF Investment Services LLC	ISC	4518684	Mark Scordato	NJ	Guerra King PA	NO	NO
21-02038	Las Vegas, NV	08/06/2021	10/08/2021	10/13/2021	8174	UBS Financial Services Incorporated	ISC	2531241	Michael William Chudd	NV	Bressler Amery & Ross	NO	NO
20-03005	Milwaukee, WI	09/04/2020	09/14/2021	10/13/2021	8174	UBS Financial Services Incorporated	ISC	1111163	Andrew D. Burish	WI	Keesal Young & Logan	NO	NO
21-01074	San Juan, PR	04/23/2021	10/07/2021	10/14/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2444524	Casto Miguel Coll Del Rio	PR	Toro Colon Mullet PSC	NO	NO
21-01167	Los Angeles, CA	05/04/2021	10/14/2021	10/15/2021	79	JP Morgan Securities LLC	Keesal Young & Logan	1453775	Karl Austin Pettijohn	CA	HLBS Law	UN	NO
20-04159	Boca Raton, FL	12/23/2020	10/05/2021	10/15/2021	19616	Wells Fargo Clearing Services LLC	ISC	4794821	Glen Allen Simmonds	FL	Stein & Stein	NO	NO
21-00546	Wilmington, DE	03/01/2021	10/06/2021	10/15/2021	1763	Grove Point Investments LLC	ISC	5402280	Kristina Frenier Connell	MD	AdvisorLaw LLC	NO	NO
20-03002	San Juan, PR	09/04/2020	10/04/2021	10/15/2021	41791	Santander Securities LLC	Pietrantonio Mendez & Alvarez	4840064	Marko Andres Rendic	PR	AdvisorLaw LLC	NO	NO
21-00761	San Juan, PR	03/23/2021	09/29/2021	10/15/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2180310	Angel Manuel Canabal	PR	McConnell Valdes LLC	NO	NO
21-01049	San Juan, PR	04/21/2021	10/04/2021	10/15/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2784555	Francisco Javier Landivar	PR	McConnell Valdes LLC	NO	NO
20-02278	San Francisco, CA	09/03/2020	10/08/2021	10/19/2021	8174	UBS Financial Services Incorporated	ISC	2316466	Christopher D. Scroggins	CA	The Rosenfeld Law Office	NO	NO
20-03015	San Diego, CA	09/04/2020	10/05/2021	10/20/2021	10205	Securities America Incorporated	Freeman Mathis & Gray	2019963	Paul Avila Neves	CA	Judex Law LLC	NO	NO
20-04121	Louisville, KY	12/18/2020	10/11/2021	10/20/2021	6363	Ameriprise Financial Services LLC	ISC	2769146	Shelby Gregory Fink	KY	AdvisorLaw LLC	NO/NN	NO
21-00559	Memphis, TN	03/01/2021	10/07/2021	10/20/2021	615	New England Securities Corporation	Harris & Affiliates Ltd.	4201209	William Joel Bell	MS	AdvisorLaw LLC	NO	NO
21-00897	Montpelier, VT	04/06/2021	10/12/2021	10/20/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	704650	Thomas Roe Cosinuke	VT	AdvisorLaw LLC	NO	NO
21-00439	Seattle, WA	02/18/2021	10/07/2021	10/20/2021	7471	Prudential Equity Group LLC	Reyes Kurson Ltd.	1397094	Douglas J. Donnelly	WA	HLBS Law	NO/NN	NO

1	G	William E. Nuckel - Chair; Ann C. Northern, Esq.; Allan N. Taffet, Esq.	1
1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Louis H. Miron, Esq.; Linda T. Pellegrino, Esq.	1
1	G	Kirtley M. Thiesmeyer, Esq.	1
1	G	Philip J. Glick, Esq.	1
3	G	Martin A. Feigenbaum, Esq.	1
1	D	Andrew M. Mintzer, CPA	1
1	G	Paul J. Burkhart - Chair; Michael P. Schiff, Esq.; James Michael LaBonte	1
1	G	Linda J. Baer, Esq.	1
14	G	Mark C. Perry, Esq.	1
2	G	Martin A. Feigenbaum, Esq.	1
1	G	Martin A. Feigenbaum, Esq.	1
1	G	Thomas D. Reese, Esq.	1
3	G	Mark R. Lee	1
5	G	Richard W. Dissen, Esq.	1
1	G	Gayle B. Carlson, Esq.	1
2	G	Robert E. Anderson, Esq.	1
3	G	Stephany Adriene Watson, Esq.	1

21-00898	San Juan, PR	04/06/2021	10/06/2021	10/21/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	4032530	James Malcom Ugobono	PR	McConnell Valdes LLC	NO	NO
21-00133	Boston, MA	01/20/2021	09/28/2021	10/22/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1268625	James Allen Atwood	FL	AdvisorLaw LLC	NO/NN	NO
21-01145	Indianapolis, IN	05/03/2021	10/15/2021	10/22/2021	16986	The Huntington Investment Company	ISC	5881720	Tyler Jordan Maddox	IN	Maddox Hargett & Caruso	NO	NO
21-00299	St. Louis, MO	02/03/2021	10/12/2021	10/22/2021	250	Edward Jones	Quarles & Brady	2237101	Paul Michael Hulen	MO	AdvisorLaw LLC	OB/NO NN	NO
20-03181	New York, NY	09/11/2020	10/13/2021	10/22/2021	7556; 119249	Morgan Stanley DW Incorporated; American Capital Partners LLC	ISC	3059691	Timothy V. Longo	NY	Sichenzia Ross Ference LLP	NO/NN	NO
21-00900	Houston, TX	04/06/2021	10/19/2021	10/22/2021	15708	Proequities Incorporated	Maynard Cooper & Gale	4929585	Adam Randolph Lampe	TX	Louviere Law Firm PA	NO	NO
21-00306	New York, NY	02/04/2021	10/13/2021	10/25/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	4773946	Sofia Michelle Ward	SC; NY	Louviere Law Firm PA	NO	NO
20-03039	Washington, DC	09/08/2020	10/12/2021	10/26/2021	41271	Robertson Stephens Incorporated	No-show	2653439	Roger Daniel Follis	DC	Judex Law LLC	NO	NO
20-03228	Tampa, FL	09/11/2020	09/16/2021	10/26/2021	44848	Kovack Securities Incorporated	ISC	U CRD#1056697	Gerald James O'Halloran	FL	Farrar Law PLLC	OB/NO	NO
21-00736	San Juan, PR	03/19/2021	10/20/2021	10/26/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	3139380	David L. Rojas	PR	McConnell Valdes LLC	NO	NO
21-00953	San Juan, PR	04/09/2021	10/20/2021	10/26/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2926408	Xavier A. Aguayo Diaz	PR	Toro Colon Mullet PSC	NO	NO
21-01046	San Francisco, CA	04/21/2021	10/14/2021	10/27/2021	7784	Fidelity Brokerage Services LLC	ISC	5587352	Tina Wang	CA	Bressler Amery & Ross	NO	NO
20-03224	New York, NY	09/11/2020	10/21/2021	10/28/2021	119249; 14913; 30570	American Capital Partners LLC; South Richmond Securities Incorporated; Kensington Wells Incorporated	ISC	2187363	Erik John Drewes	FL	Sichenzia Ross Ference LLP	NO	NO

2	G	Martin A. Feigenbaum, Esq.	1
3	G	David Wertz Ellis	1
1	G	Sherrill William Colvin, Esq. - Chair; John L. Krauss, Esq.; David Joseph Remondini	1
8	G/D	Julius Z. Frager	3
3	G	Josian Antoine, Esq.	1
2	G	Lynne M. Gomez, Esq.	1
1	G	Elyn S. Roth	1
1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
3	D	David M. Snyder, Esq.	1
1	G	Elena G. Rodriguez	1
4	G	Louis David Huss	1
1	G	Philip Aaron Tymon, JD	1
3	G	Michael H. DuBoff, Esq.	1

21-00917	Dallas, TX	04/08/2021	10/20/2021	10/29/2021	361	Goldman Sachs & Company LLC	Cohen & Gresser LLP	2785977	Lawrence Joseph Redell	TX	AdvisorLaw LLC	NO	NO
21-01307	San Diego, CA	05/19/2021	10/26/2021	11/02/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4689955	Stephen Ross Biesinger	CA	HLBS Law	NO	NO
20-04117	Dallas, TX	12/18/2020	10/19/2021	11/02/2021	6413	LPL Financial LLC	ISC	4030488	Kurt Joseph Kerrigan	TX	AdvisorLaw LLC	OB	NO
21-01267	San Diego, CA	05/14/2021	10/18/2021	11/03/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4534437	Christian Brad Risenmay	CA	HLBS Law	NO	NO
21-00702	Washington, DC	03/16/2021	10/20/2021	11/03/2021	7059; 249	Citigroup Global Markets Incorporated; Oppenheimer & Company Incorporated	Kauff Laton Miller LLP (CGM); ISC (O&C)	2916477	Anibal Drelichman	DC	AdvisorLaw LLC	NO/NN	NO
20-02453	New York, NY	07/30/2020	10/04/2021	11/03/2021	24795; 119249; 29285; 36398	Joseph Gunnar & Company LLC; American Capital Partners LLC; AR Baron & Company Incorporated; First United Equities Corporation	ISC	2316848	Kevin John McPhee	NY	Sichenzia Ross Ference LLP	NO	NO
20-00417	Houston, TX	02/05/2020	11/01/2021	11/04/2021	630	CIBC World Markets Corporation	ISC	2089051	Jeffry Schneider	TX	Judex Law LLC	NO	NO
20-03185	New York, NY	09/11/2020	10/14/2021	11/05/2021	119249 ;41258	American Capital Partners LLC; Trident Partners Limited	ISC	3059691	Timothy V. Longo	NY	Sichenzia Ross Ference LLP	NO	NO
21-01881	New York, NY	07/23/2021	10/18/2021	11/05/2021	29278	Belle Haven Investments Limited Partnership	Winget Spadafora & Schwartzberg LLP	2156928	Frank A. Delli Carpini	NY	Bressler Amery & Ross	OB/NO	NO
21-00747	Los Angeles, CA	03/22/2021	10/21/2021	11/08/2021	16164	Transamerica Financial Advisors Incorporated	ISC	U CRD#5301314	Zheng Qu	CA	HLBS Law	UN	NO
20-03071	San Francisco, CA	09/09/2020	10/26/2021	11/10/2021	23988	Citicorp Investment Services	No-show	2229762	Mathew Paul Schweifler	CA	The Rosenfeld Law Office	UN	NO
21-00117	Boca Raton, FL	01/18/2021	11/03/2021	11/11/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1457604	Baerbel O'Haire	FL	HLBS Law	NO NO-D	NO
21-00461	Boston, MA	02/19/2021	10/19/2021	11/11/2021	79	JP Morgan Securities LLC	Duane Morris LLP	222904	Lloyd George Glazer	FL	AdvisorLaw LLC	NO/NN	OB
20-01902	New York, NY	06/16/2020	11/05/2021	11/12/2021	39781	Eastbrook Capital Group LLC	No-show	4565686	Ray Anthony San Pedro	FL	Carmel Milazzo & Feil LLP	NN	NO

1	G	Frances Johnson-Wright, Esq.	1
1	G	Mark R. Lee	1
1	G	Andrea U. Calve, Esq.	1
2	G	Mark R. Lee	1
3	G	Michael James Malone	1
6	G/W	Selma Moy, JD	1
2	G	Allan R. Lazor, Esq.	1
2	G	Susan A. Romano	1
4	G	Susan A. Romano	1
2	D	Robert D. Sussin, Esq.	1
1	D	Mary Margaret Bush, Esq.	1
3	G	Elena G. Rodriguez	1
1	G	Howard N. Gorney	1
1	G	Steven Gary Leventhal	1

20-03085	Boca Raton, FL	09/09/2020	11/03/2021	11/12/2021	25574; 6413	Chase Investment Services Corporation; LPL Financial LLC	Ulmer & Berne (CIS); ISC (LPL)	4835113	Samuel Izaguirre	FL	Ghabai Law Group LLC	NO	NO
21-00449	Oklahoma City, OK	02/19/2021	11/05/2021	11/12/2021	140546; 421	Tandem Securities Incorporated; Woodbury Financial Services Incorporated	ISC	2231684	Jude E. Offiah	OK	FA Expungement	NO	NO
21-01751	Pittsburgh, PA	07/12/2021	10/29/2021	11/12/2021	39543	Cambridge Investment Research Incorporated	ISC	2072348	Bradley Darryl Tiche	PA	AdvisorLaw LLC	OB	NO
21-01012	Omaha, NE	04/16/2021	10/20/2021	11/16/2021	13572	Cetera Advisor Networks LLC	ISC	1238219	Ronald Lloyd Carson Jr.	NE	Louviere Law Firm PA	NO	NO
20-02608	Los Angeles, CA	08/13/2020	10/13/2021	11/17/2021	10409	MML Investors Services LLC	Stevens & Lee	2706452	Jeremy Paul Dicker	AZ	Law Offices of David Harrison PC	NO	NO
20-03188	New York, NY	09/11/2020	10/22/2021	11/18/2021	119249	American Capital Partners LLC	ISC	2187363	Erik John Drewes	FL	Sichenzia Ross Ference LLP	NO	NO
21-00888	Boca Raton, FL	04/05/2021	11/03/2021	11/19/2021	249	Oppenheimer & Company Incorporated	ISC	2371330	Brian Christopher Kutsmeda	FL	Zadanosky & Associates PA	NO	NO
21-01379	San Juan, PR	05/27/2021	11/17/2021	11/19/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	1163483	Vicente Castillo	PR	McConnell Valdes LLC	NO	NO
21-01465	Hartford, CT	06/08/2021	11/16/2021	11/22/2021	46947	Silver Oak Securities Incorporated	No-show	6146479	Benjamin A. Fuchs	CT	Bressler Amery & Ross	NO	NO
21-01064	Providence, RI	04/22/2021	11/09/2021	11/22/2021	866	Waddell & Reed Incorporated	ISC	2103627	Molly Mount Hines Rambo	RI	AdvisorLaw LLC	NO	NO
21-01191	Los Angeles, CA	05/06/2021	11/06/2021	11/23/2021	79	JP Morgan Securities LLC	Keesal Young & Logan	2116797	Garrett Quantz Bland	HI, CA	HLBS Law	UN	NO
21-00514	Syracuse, NY	02/25/2021	11/04/2021	11/23/2021	5685	Pruco Securities LLC	Paduano & Weintraub	U CRD#5004622	Matthew Thomas Champion	NY	AdvisorLaw LLC	UN	OB
21-00653	Nashville, TN	03/10/2021	11/16/2021	11/23/2021	6413	LPL Financial LLC	ISC	4905055	Lee Douglas Hooks	TN	AdvisorLaw LLC	OB/NO	NO
21-01329	Jersey City, NJ	05/21/2021	10/08/2021	11/24/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	4565961	Goran Bojovski	NJ	Bressler Amery & Ross	NO	NO
21-01019	Columbus, OH	04/16/2021	11/18/2021	11/24/2021	5685	Pruco Securities LLC	Reyes Kurson Ltd.	4883976	John Calvin Barber Jr.	OH	AdvisorLaw LLC	NO/NN	NO

3	G	Kimberly A. Gilmour, Esq.	1
3	G	Lynne M. Gomez, Esq.	1
1	G	Robert E. Anderson, Esq.	1
1	G	Mark L. Miller, Esq.	1
1	G	Natalie Panossian-Bassler	1
2	G	Brian John Gallagher	1
1	G	Robert G. Geeseman, Esq.	1
1	G	Louis David Huss	1
1	G	Linda J. Baer, Esq.	1
1	G	Robert E. Anderson, Esq.	1
1	D	Joyce L. Hurley	1
1	D	Thomas E. Webb, Jr., Esq. - Chair; James W. (Jim) Geiger; Francis Xavier Daumen	1
2	G	Karl A. Vogeler, III	1
1	G	Robert E. Anderson, Esq.	2
2	G	Julius Z. Frager	1

21-01170	Cleveland, OH	05/05/2021	11/22/2021	11/24/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2460337	Sanjay Rajiv Beach	OH	Louviere Law Firm PA	NO	NO
21-02088	New York, NY	08/12/2021	11/23/2021	11/24/2021	8174	UBS Financial Services Incorporated	ISC	836958	Holly Lee Hendrix	PA	Bressler Amery & Ross	NO	NO
20-03192	Columbia, SC	09/11/2020	11/03/2021	11/24/2021	8174	UBS Financial Services Incorporated	John Murphy & Associates	3053803	David George Ruckno	SC	Simms Law	OB/NO	NO
20-00067	Phoenix, AZ	01/07/2020	11/16/2021	11/29/2021	6413; 46214	LPL Financial LLC; Next Financial Group Incorporated	ISC	1216674	Gary Jesse Deardorff	AZ	Judex Law LLC	NO	NO
21-01149	Chicago, IL	05/04/2021	11/29/2021	12/01/2021	5167	NYLife Securities LLC	Lubarsky Law Firm PLLC	1845977	Breton Wayne Williams	IA	AdvisorLaw LLC	NO	OB/NO
20-03195	New York, NY	09/11/2020	11/17/2021	12/01/2021	119249	American Capital Partners LLC	ISC	4009691	Jason Luke Zahtila	NY	Sichenzia Ross Ference LLP	OB/NO	NO
21-00357	Philadelphia, PA	02/09/2021	11/10/2021	12/01/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	U CRD#2088467	Thomas A. Seiler	PA	Winget Spadafora & Schwartzberg LLP	OB	NO
20-03094	Charlotte, NC	09/09/2020	11/18/2021	12/02/2021	44337	Kalos Capital Incorporated	ISC	2774470	Joseph Patrick Roop	NC	AdvisorLaw LLC	NO	NO
21-00920	Jersey City, NJ	04/08/2021	11/16/2021	12/02/2021	19616	Wells Fargo Clearing Services LLC	ISC	4739040	Chunyen Wang	NJ	AdvisorLaw LLC	NO/NN	NO
21-01438	Houston, TX	06/07/2021	11/29/2021	12/02/2021	10645	International Assets Advisory LLC	Myra Nicholson PA	2098675	Williams Keen Butcher	TX	Rubinson Law	UN	NO
19-01686	Boston, MA	06/17/2019	09/22/2021	12/03/2021	13941	Cuna Brokerage Services Incorporated	Drinker Biddle & Reath	3036612	Swan Sihua Shen	MA	Bartell Law PLLC	NO	NO
21-00901	Jersey City, NJ	04/06/2021	11/17/2021	12/03/2021	149777	Morgan Stanley	ISC	3201389	David Hugh Bindelglass	NJ	AdvisorLaw LLC	OB/NO	NO
21-01499	Boca Raton, FL	06/11/2021	11/30/2021	12/06/2021		None.	Customer	2447987	Mark Marandino	FL	Murphy & Anderson	NO	NO
21-00784	Atlanta, GA	03/24/2021	10/21/2021	12/07/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1037933	Archie Jay Morris III	GA	AdvisorLaw LLC	NO/NN	NO
21-01593	Boca Raton, FL	06/22/2021	12/01/2021	12/07/2021	2525	Deutsche Bank Securities Incorporated	Paduano & Weintraub	4437942	Nicolas Gustavo Rueda	SINGAPORE; FL	Winget Spadafora & Schwartzberg LLP	NO	NO
21-00183	Dallas, TX	01/25/2021	11/15/2021	12/07/2021		None.	Customer	2585773	Philip Hearl Hamilton	TX	Musgrove Law Firm P.C.	NO	NO
21-01216	San Francisco, CA	05/10/2021	12/02/2021	12/08/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1260726	Henry James Franscioni Jr.	CA	HLBS Law	UN	NO

1	G	Tracy L. Allen, Esq.	1
1	G	Steven C. Kasarda	1
2	G	John P. Cullem, Esq.	1
2	G	W. Michael Kelley, Esq.	1
2	G	Maya Steinitz	1
2	G	Ellyn S. Roth	1
1	D	Lorrie E. Whitfield - Chair; Frank P. Santangelo; Robert C. Scanlan	1
2	G/D	Mary E. Woytek, Esq.	2
1	G	Joan M. Traub, Esq.	1
1	D	Thomas A. Martin, Esq. - Chair; Jeffrey H. Kilgore, Esq.; Anita Lynne Wiggins (Dissents)	1
1	D	Arthur J. Giacomarra, Esq. - Chair; Richard J. Grahn, Esq.; Mark Andrew Helman	1
4	G	Joan M. Traub, Esq.	1
1	G	Robert Steven Haight, Esq. - Chair; Joshua Byrne Spector, Esq.; Robert J. Mayer	1
4	G	Harvey R. Linder, Esq.	1
1	G	Robert G. Falbisaner	1
1	G	Michael Wayne Johnston - Chair; John Gary Langford; Valarie Wright	1
1	D	Mary Margaret Bush, Esq.	1

21-01358	New York, NY	05/25/2021	12/02/2021	12/08/2021	6627	Equitable Advisors LLC	ISC	2780814	Douglas Jay Eaton	FL	HLBS Law	NO	NO
21-01115	Los Angeles, CA	04/28/2021	12/07/2021	12/09/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	6443216	Laura Hsin Chao	CA	HLBS Law	NO	NO
21-01154	Washington, DC	05/03/2021	11/30/2021	12/09/2021	19616	Wells Fargo Clearing Services LLC	ISC	2334043	Michael Fillers Bolen	VA	Galvin Legal PLLC	NO/NN	NO
21-00927	Tampa, FL	04/08/2021	12/07/2021	12/10/2021	79	JP Morgan Securities LLC	Ulmer & Berne	4331367	Eric Robert Abbott	FL	HLBS Law	OB	NO
21-01116	Jersey City, NJ	04/28/2021	11/16/2021	12/10/2021	6413	LPL Financial LLC	ISC	1317986	Andy Mark Schwartz	NJ	Baritz & Colman	NO	NO
20-01846	New York, NY	06/11/2020	02/11/2021	12/10/2021	25574; 19585	Chase Investment Services Corporation; HSBC Securities (USA) Incorporated	Duane Morris LLP (CIS); Morgan Lewis & Bockius (HSBC)	2634443	Josh Alan Frankel	NY	Farrar Law PLLC	NO/NN	NO
21-01386	San Juan, PR	05/27/2021	12/08/2021	12/10/2021	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	2896586	Victor Miguel Tomassini	PR	McConnell Valdes LLC	NO	NO
21-01429	San Juan, PR	06/03/2021	12/02/2021	12/13/2021	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2096091	Carlos Arturo Pou	FL	McConnell Valdes LLC	NO	NO
21-00430	Los Angeles, CA	02/17/2021	11/15/2021	12/14/2021	79	JP Morgan Securities LLC	Keesal Young & Logan	3171573	Eric Daniel Silvestre	CA	HLBS Law	NO	NO
21-01322	Los Angeles, CA	05/20/2021	12/01/2021	12/14/2021	149777	Morgan Stanley	Greenberg Traurig LLP	2761869	Richard Anthony Downer	CA	HLBS Law	OB/NO	NO
21-01323	New York, NY	05/20/2021	11/22/2021	12/14/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1283449	Daniel Timothy O'Connell	NY	AdvisorLaw LLC	NO/NN	NO
20-03100	Los Angeles, CA	09/09/2020	12/13/2021	12/15/2021	14869	Ameritas Investment Company LLC	ISC	1193641	Toni Lynn Iannarelli	CA	The Rosenfeld Law Office	NO	NO
21-00703	Los Angeles, CA	01/26/2021	12/08/2021	12/15/2021	7717	Independent Financial Group LLC	ISC	4697717	Grant E. Blindbury	CA	Markun Zusman et al.	NO	NO
21-00195	Tampa, FL	01/26/2021	12/09/2021	12/15/2021	149777	Morgan Stanley	ISC	3252326	William Christopher Valenti	FL	Bressler Amery & Ross	OB/NO	NO

1	G	Patricia Kathleen Costello	1
1	G	Andrew M. Mintzer, CPA	1
2	G/D	Christopher M. McMurray, Esq. - Chair; Richard P. Regan, Esq.; Ezio E. Borchini, Esq.	1
1	G	Karimu F. Hill-Harvey, Esq.	1
1	G	Patricia Kathleen Costello	1
5	G	Michele S. Riley	2
2	G	Christopher J. Klein, Esq.	1
1	G	Louis David Huss	1
1	G	Thomas E. Shuck, Esq.	1
2	G	Joyce L. Hurley	1
3	G	William E. Nuckel	1
1	G	Robert E. Jenks	1
1	G	Joseph C. Watson, Esq.	1
2	G	Richard S. Zaifert, Esq.	1

21-00082	Norfolk, VA	01/13/2021	12/07/2021	12/16/2021	30833	Centaurus Financial Incorporated	ISC	2542261	James A. Bales	VA	O'Hagan Meyer PLLC	NO	NO
21-01195	San Francisco, CA	05/07/2021	11/30/2021	12/17/2021	10582	Wells Fargo Investments LLC	ISC	2339650	Joseph Carlyle Frank	CA	HLBS Law	NN	NO
21-01402	Los Angeles, CA	06/01/2021	12/14/2021	12/17/2021	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2513849	Damon D. Johnson	CA	HLBS Law	OB	NO
21-01729	San Diego, CA	07/07/2021		12/17/2021	7784	Fidelity Brokerage Services LLC	ISC	U CRD#3171887	Benjamin C. Lau	CA	HLBS Law	UN	NO E
20-03223	Tampa, FL	09/11/2020	07/15/2021	12/17/2021	4; 250	AG Edwards & Sons Incorporated; Edward Jones	ISC (AGE); Quarles & Brady LLP (EDJ)	U CRD#1056697	Gerald James O'Halloran	FL	Farrar Law PLLC	UN	NO
20-03313	Washington, DC	10/28/2020	12/13/2021	12/17/2021	5685	Pruco Securities LLC	Reyes Kurson Ltd.	U CRD#5675041	Geoffrey L. Newman	MD	None	OB	NO
21-02520	Philadelphia, PA	10/04/2021	11/29/2021	12/17/2021	19616	Wells Fargo Clearing Services LLC	ISC	4095670	Michele L. Girgenti	NJ	Bressler Amery & Ross	NO	NO
21-00382	Las Vegas, NV	02/11/2021	11/30/2021	12/17/2021	37179	Lucia Securities LLC	ISC	2323211	Scot Samuel Fairchild	NV	AdvisorLaw LLC	NO	NO
20-00715	Philadelphia, PA	03/03/2020	10/26/2021	12/17/2021	42046	Kestra Investment Services LLC	D'Amura & Zaidman	2922639	Christopher Paul Scalese	PA	AdvisorLaw LLC	NO/NN	NO
21-00361	Philadelphia, PA	02/09/2021	12/02/2021	12/17/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2088467	Thomas A. Seiler	PA	Winget Spadafora & Schwartzberg LLP	NO	NO
21-00695	Boca Raton, FL	03/15/2021	12/16/2021	12/20/2021	8209	Morgan Stanley & Company LLC	ISC	4191824	Ralph James Femminella	FL	Stein & Stein	NO	NO
21-00834	Tampa, FL	03/29/2021	12/08/2021	12/20/2021	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4038119	Robert Evan Yahney	FL	Gunster Yoakley & Stewart	NO	NO
21-00914	Boca Raton, FL	04/07/2021	12/17/2021	12/21/2021	463	Janney Montgomery Scott LLC	ISC	1834046	Virginia Frances Thompson	FL	Galvin Legal PLLC	NO/NN	NO
21-00999	Jersey City, NJ	04/15/2021	11/23/2021	12/21/2021	43177	JP Turner & Company LLC	ISC	2489732	Rocco Guidici Pietro	NJ	Holcomb + Ward LLP	NO	NO
21-01247	San Juan, PR	05/12/2021	12/16/2021	12/21/2021	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2180310	Angel Manuel Canabal Sr.	PR	Toro Colon Mullet PSC	NO	NO
21-01264	San Francisco, CA	07/01/2021	12/08/2021	12/22/2021	6627	Equitable Advisors LLC	Gordon Rees et al.	1362479	Anthony Arch III	CA	FA Expungement	OB/NO	NO

1	G	Lita S. Menkin, JD - Chair; Gordon M. Wase, Esq.; Edward R. Hipp, III	1
3	G	Arocles Aguilar	1
1	G	Erik R. Siering	1
1	D	Kevin K. Forrester, Esq.	0
2	D	Darryl C. Wilson, Esq.	2
1	D	Jane C. Carney, CPA - Chair; Stephen D. Altman; Ronald Kalungi	1
1	G	Louis P. Wagman	1
2	G	Milton N. Gross	1
8	D	Louis H. Miron, Esq.	2
1	G	John J. Jordan, Esq. - Chair; Kattina V. Barsik; Donald S. Bauman, Esq.	1
1	G	Will Murphy, Esq. - Chair; Isadora Velazquez-Rivas; Gary A. Klein	1
4	G	Thomas J. Patka, Esq.	1
3	G	Louis David Huss - Chair; Robert Lawrence Ostrov; Michael Lau	1
1	G	Joan M. Traub, Esq. - Chair; Paul Allan Massaro; Martin Jay Siegel, Esq.	1
8	G	Louis David Huss	2
4	G	Kenneth Paul Strongman	1

21-00779	Boca Raton, FL	03/24/2021	12/16/2021	12/23/2021	7471; 8174; 6694; 705	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)	1007131	Jim King Mui	FL	HLBS Law	NO/NN	NO
20-02482	Boston, MA	08/03/2020	12/17/2021	12/23/2021	8174	UBS Financial Services Incorporated	ISC	1684420	Christopher J. Cowans	MA	Rubinson Law	NO	NO
20-02919	San Francisco, CA	09/01/2020	12/13/2021	12/28/2021	599	WaMu Investments Incorporated	No-show	3166711	Everest K.Y. Wong	CA	HLBS Law	NO	NO
21-01403	Los Angeles, CA	06/01/2021	12/15/2021	12/28/2021	13318	Securities Services Network Incorporated	No-show	2075325	Nicholas Yrizarry	CA	Winget Spadafora & Schwartzberg LLP	NO	NO
21-02619	Nashville, TN	10/15/2021	12/20/2021	12/28/2021	8174	UBS Financial Services Incorporated	ISC	4365560	James L. Candella	TN	Bressler Amery & Ross	NO	NO
21-01041	Denver, CO	04/20/2021	12/14/2021	12/29/2021	25803	Triad Advisors LLC	ISC	2586624	Brian E. O'Neil	CO	Thomas Law LLC	NO	NO
21-01124	New York, NY	04/29/2021	12/17/2021	12/30/2021	32625	WMA Securities Incorporated	No-show	3111962	Dao Diem Phan	GA	AdvisorLaw LLC	NO	NO
21-01344	Indianapolis, IN	05/24/2021	01/05/2022	01/11/2022	7471; 31194	Prudential Equity Group LLC; RBC Capital Markets LLC	Reyes Kurson Ltd. (PEG); Dorsey & Whitney (RBC)	2447099	Rhys A. Helt	IN	AdvisorLaw LLC	NO/NN	NO
20-03196	New York, NY	09/11/2020	01/06/2022	01/11/2022	119249; 100340	American Capital Partners LLC; Commerce One Financial Incorporated	ISC	4009691	Jason Luke Zahtila	NY	Sichenzia Ross FERENCE LLP	NO	NO
21-01630	New York, NY	06/25/2021	12/20/2021	01/11/2022	40077	Alexander Capital Limited Partnership	ISC	2555268	David Anthony Spratt	PA	Holcomb + Ward LLP	NO	NO
21-02481	Birmingham, AL	09/29/2021	01/07/2022	01/13/2022	19616	Wells Fargo Clearing Services LLC	ISC	6294611	Charles Henry Carson	AL	Bressler Amery & Ross	NN	NO
21-01100	Boca Raton, FL	04/27/2021	01/10/2022	01/13/2022	249	Oppenheimer & Company Incorporated	ISC	1544728	Timothy Roger Atyeo	FL	Zadanosky & Associates PA	NO	NO
21-00711	Columbus, OH	03/18/2021	11/30/2021	01/14/2022	7461	FSC Securities Corporation	ISC	2408234	Adam T. Hill	OH	AdvisorLaw LLC	OB	NO
20-02277	San Francisco, CA	08/21/2020	12/21/2021	01/18/2022	665	Piper Sandler & Company	ISC	2316466	Christopher D. Scroggins	CA	The Rosenfeld Law Office	NO	NO

4	G	Steven N. Ainbinder, Esq.	1
2	G	David Wertz Ellis	1
1	G	Philip Aaron Tymon, JD	1
5	G	Erik R. Siering - Chair; Lawrence Craig Williams; Barton J. Brewer, MBA	1
3	G	Karl A. Vogeler, III	1
1	G	Steven A. Meyrich, Esq. - Chair; Mari C. Bush, Esq.; Richard M. Reider	1
1	G	Susan C. Lushing, Esq.	1
2	G	Carl E. Ver Beek, JD	1
2	G	Madelon M. Rosenfeld, Esq.	1
3	G	Gerald M. Levine - Chair; Dora M. Lassinger, Esq.; Judith C. Aarons	1
1	G	David A. Schuler	1
1	G	Mark C. Perry, Esq.	1
1	G	Jeffry Mark Bauer, Esq.	2
3	G	Daniel M. Yamshon, Esq.	1

21-01554	Boca Raton, FL	06/17/2021	01/04/2022	01/18/2022	39164	1st Discount Brokerage Incorporated	ISC	2612028	Yulia Kalk	CA	HLBS Law	NO	NO
22-01067	Los Angeles, CA	06/09/2022	01/12/2023	01/18/2022	250; 8174	Edward Jones; UBS Financial Services Incorporated	Keesal Young & Logan (EDJ); John Murphy & Associates (UBS)	2209899	Arlo Bryan Sullivan	CA	HLBS Law	NO	OB/NO E
21-01551	Houston, TX	06/18/2021	01/10/2022	01/18/2022	7691; 39285	Merrill Lynch Pierce Fenner & Smith Incorporated; Stanford Group Company	Bressler Amery & Ross (MLPFS); No-show (SG)	2612587	Dwayne Mark Tidwell	TX	Judex Law LLC	NO	NO
20-02497	Boston, MA	08/04/2020	12/14/2021	01/19/2022	149777; 8209; 7557	Morgan Stanley Smith Barney LLC; Morgan Stanley & Company LLC; Morgan Stanley DW Incorporated	ISC	1684420	Christopher J. Cowans	MA	Rubinson Law	NO/NN	NO
21-01382	Los Angeles, CA	05/27/2021	01/18/2022	01/21/2022	6363	Ameriprise Financial Services Incorporated	ISC	719830; 2555753	James Lowry McCoy; Joshua Lee McCoy	CA; CA	HLBS Law	NO	NO
21-02274	Boca Raton, FL	09/07/2021	01/20/2022	01/21/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	726414	C. Todd Weissing	FL	Schwed Kahle & Kress	NO	NO
21-00952	San Juan, PR	04/09/2021	01/20/2022	01/26/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2926408	Xavier A. Aguayo	PR	Toro Colon Mullet PSC	NO	NO
21-01126	Los Angeles, CA	04/29/2021	01/18/2022	01/27/2022	7691; 8174	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (MLPFS); John Murphy & Associates (UBS)	2291468	David James Trogan Jr.	CA	HLBS Law	NN	NO
21-02027	Boca Raton, FL	08/05/2021	01/26/2022	01/27/2022	30613	Investors Capital Corporation	Winget Spadafora & Schwartzberg LLP	4313454	Paul Robert DiPietro	FL	Farrar Law PLLC	NO	NO
21-01685	Des Moines, IA	07/01/2021	01/21/2022	01/28/2022	7461	FSC Securities Corporation	ISC	1748415	Paul Andrew Barr	IA	AdvisorLaw LLC	NN	NO
20-02440	New York, NY	07/29/2020		01/28/2022	146251	Spartan Capital Securities LLC	No-show	2304212	Kenneth Leopold Williams	NY	Farrar Law PLLC	UN	NO
21-01500	Columbia, SC	06/11/2021	01/11/2022	01/28/2022	17839	The Investment Center Incorporated	ISC	2148576	James Leroy Charbonneau	SC	AdvisorLaw LLC	NO	NO
21-02059	Los Angeles, CA	08/10/2021	01/26/2022	01/31/2022	6413	LPL Financial LLC	ISC	1968086	Michael Patrick Hatch	CA	Ghabai Law Group LLC	NO	NO
21-01370	New York, NY	05/26/2021	01/05/2022	02/02/2022	15007	Aegis Capital Corporation	ISC	2871712	Nicholas George Tsikitas	FL; NY	Weltz Kakos et al.	NO	NO

3	G	Edward R. Niederriter, Esq.	1
3	G/D	Mary M. O'Neil	1
2	G	Lynne M. Gomez, Esq. - Chair; William James Smith; Maurice J. Fallas	1
4	D	Robert J. Ambrogi, Esq.	1
2	G	Robert D. Sussin, Esq.	1
1	G	Mark C. Perry, Esq.	1
6	G	Louis David Huss	2
2	G	George L. Tindall	1
1	G	Kimberly A. Gilmour, Esq.	1
1	G	Robert J. Scafuri, Esq.	1
1	D	Cynthia A. DiMarco, Esq.	0
3	G	John P. Cullem, Esq.	1
1	G	Erik R. Siering	1
1	G	Madelon M. Rosenfeld, Esq.	1

21-02456	Jersey City, NJ	09/28/2021	01/07/2022	02/02/2022	8174	UBS Financial Services Incorporated	ISC	48338	Robert A. Clear	NJ	Bressler Amery & Ross	NO	NO
21-01708	Phoenix, AZ	07/02/2021	01/10/2022	02/03/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	3123428	Scott Alan Turcott	AZ	Shumaker Loop & Kendrick	NO	NO
21-01353	San Francisco, CA	05/18/2021	01/19/2022	02/03/2022	15340	Cetera Investment Services LLC	ISC	5474263	Ivan Ji Cen	CA	Winget Spadafora & Schwartzberg LLP	NO	NO
21-01246	Los Angeles, CA	05/12/2021	01/05/2022	02/03/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2745005; 2742540	Patrick Christopher Lowe; Charlotte M. Lowe	CA; CA	Lax & Neville	NO	NO
20-01857	Hartford, CT	06/15/2020		02/03/2022	25574; 19585	Chase Investment Services Corporation; HSBC Securities	Ulmer & Berne (CIS); Morgan Lewis & Bockius (HSBCS)	1322117	Paul Coleman	CT	Mirch Law Firm; Kaufmann Gildin & Robbins; AdvisorLaw LLC	UN	OB E
21-01431	San Diego, CA	06/03/2021	01/20/2022	02/04/2022	10205	Securities America Incorporated	ISC	1360764	John Bernard Czajkowski	CA	Winget Spadafora & Schwartzberg LLP	NO	NO
21-01241	St. Louis, MO	05/12/2021	01/13/2022	02/04/2022	30999	Legend Equities Corporation	Winget Spadafora & Schwartzberg LLP	4990574	Adam Patrick Clyne	MO	AdvisorLaw LLC	NO/NN	NO
21-01524	Syracuse, NY	06/15/2021	01/19/2022	02/04/2022	6627	Equitable Advisors LLC	ISC	2723938	Dennis Daniel Coughlin	NY	Saretsky Hart et al.	NO	NO
21-01904	New York, NY	07/26/2021	01/26/2022	02/04/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2488055	Robert George Funk	NY	Galvin Legal PLLC	NO	NO
21-02923	Tampa, FL	11/24/2021	01/31/2022	02/07/2022	8174	UBS Financial Services Incorporated	ISC	2523660	Gregory R. Kadet	FL	Bressler Amery & Ross	OB/NO	NO
20-01233	New York, NY	04/16/2020	12/08/2021	02/07/2022	119249	American Capital Partners LLC	ISC	4261826	Joseph Jon Depasquale	GA	Sichenzia Ross Ference LLP	OB	NO
21-02156	New York, NY	08/19/2021	01/28/2022	02/07/2022	40077	Alexander Capital Limited Partnership	ISC	1931272	Michele Ann Misiti	NY	Holcomb + Ward LLP	NO	NO
21-01553	Portland, OR	06/17/2021	01/31/2022	02/07/2022	6694	Raymond James Financial Services Incorporated	Bruce W. Barnes PA	5434168	Justin Louis Vaccaro	OR	FA Expungement	OB/NO	NO

2	G	Robert E. Anderson, Esq.	1
2	G	Benjamin F. Breslauer - Chair; Howard Gerber; John B. Kinsellagh, Esq.	1
1	G	Laurel Littman Gothelf, MPH - Chair; Brian Kimball; Jeffrey Schubert	1
6	G	Kirtley M. Thiesmeyer, Esq.	1
8	D	Robert M. Singer	0
2	G	Kirtley M. Thiesmeyer, Esq. - Chair; Randy R. Maher, JD; Jo-Ann C. Little	1
1	G	Tracy L. Allen, Esq.	1
2	G	Diane Ciccone, Esq.	1
2	G	Robert E. Anderson, Esq. - Chair; Alexander B. Rubin; Abe I. Borenstein	1
2	G	Thomas J. Patka, Esq.	1
1	G	Michele S. Riley	1
3	G	Madelon M. Rosenfeld, Esq. - Chair; Mary Julia O'Connell; Adam M. Kauff	1
3	D	Elwood C. Avery	1

21-01006	Boca Raton, FL	04/15/2021	02/02/2022	02/08/2022	463; 13572; 793; 8174; 43177	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)	1834046	Virginia Frances Thompson	FL	Galvin Legal PLLC	OB/NO NN	NO
21-00147	Detroit, MI	01/21/2021	02/03/2022	02/08/2022	8174; 149777; 19616	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)	2681624	Bradley Thomas Lott	MI	AdvisorLaw LLC	OB/NO NN	NO
20-00453	New York, NY	02/06/2020	01/24/2022	02/08/2022	105981	Portfolio Advisors Alliance LLC	ISC	5941527	William Bridges	NY	Sichenzia Ross Ference LLP	NO	NO
21-02004	New York, NY	08/04/2021	02/02/2022	02/08/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4600260	Jared Philip Zuflacht	NY	Deutsch & Lipner	NO	NO
21-01334	New York, NY	05/21/2021	01/26/2022	02/10/2022	16569	Allied Millennial Partners LLC	ISC	2800410	John Parmigiani	NY	Weltz Kakos et al.	NO	NO
21-01316	Philadelphia, PA	05/19/2021	02/07/2022	02/10/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2404282	Damon K. Slepian	PA	AdvisorLaw LLC	NO/NN	NO
21-01308	Seattle, WA	05/19/2021	01/27/2022	02/10/2022	6627; 79	Equitable Advisors LLC; JP Morgan Securities LLC	ISC (EA); Keesal Young & Logan (JPMS)	5576660	Shannon McNairy Freeland	WA	AdvisorLaw LLC	NO/NN	NO
21-01937	San Juan, PR	07/29/2021	02/03/2022	02/11/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	4759706	Eduardo E. Caban Silva	PR	McConnell Valdes LLC	NO	NO
21-02277	Jersey City, NJ	09/07/2021	02/10/2022	02/14/2022	31194	RBC Capital Markets LLC	Dorsey & Whitney	2612975	Jeffrey Stuart Rosenblum	NJ	Louviere Law Firm PA	NN	NO
21-01843	San Juan, PR	07/20/2021	02/09/2022	02/14/2022	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	4313868	Ricardo Eboli-Kodesh	PR	McConnell Valdes LLC	NO	NO

6	G	Jason Allen Rosner - Chair; Nanci Sondra Landy; Sheryl Sagel	1
4	G/W	Jeffrey Mark Bauer, Esq.	1
2	G	Howard L. Sobel	1
1	G	Robert E. Anderson, Esq.	1
1	G	Josian Antoine, Esq.	1
2	G	Louis P. Wagman	1
2	G	David William Hickman, JD	1
3	G	Gerald Silverman, Esq.	1
1	G	Jeffrey Alan Helewitz, Esq.	1
20	G	Christopher J. Klein, Esq.	2

21-01946	Dallas, TX	07/30/2021	02/08/2022	02/14/2022	260	Principal Financial Securities Incorporated	No-show	U CRD# 1517023	Travis Daniel Sullivan Jr.	TX	AdvisorLaw LLC	NN	NO
21-01233	Houston, TX	05/11/2021	02/08/2022	02/15/2022	8174	UBS Financial Services Incorporated	ISC	2187523	Robert Clevenger Jr.	TX	Bressler Amery & Ross	NO	NO
20-01281	Hartford, CT	04/22/2020	01/31/2021	02/17/2022	8408; 43100	Capital Financial Services Incorporated; Questar Capital Corporation	ISC (CFS); Johnson Cassidy et al. (QC)	2193834	William Paul Fauzio	CT	Farrar Law PLLC	NO/NN	NO
21-02026	Los Angeles, CA	08/05/2021	02/16/2022	02/18/2022	19616	Wells Fargo Clearing Services LLC	ISC	1584691	Dennis Michael Franklin	CA	Keesal Young & Logan	NO	NO
21-01781	Jersey City, NJ	07/13/2021	02/03/2022	02/18/2022	14251	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	1812200	Donald Michael Albach	NJ	Louviere Law Firm PA	NO	NO
20-03189	New York, NY	09/11/2020	10/26/2021	02/22/2022	8174	UBS Financial Services Incorporated	John Murphy & Associates	1557805	Vincent John Fiorentino	CT	The Galbraith Law Firm LLC	OB	NO
21-01437	Indianapolis, IN	06/04/2021	02/14/2022	02/22/2022	25574; 628; 11025	Chase Investment Services Corporation; Fifth Third Securities Incorporated; Wells Fargo Advisors Financial Network LLC	Ulmer & Berne (CIS); Dinsmore & Shohl (FTS); ISC (WFA)	4497161	John Darrick Hutchens	IN	AdvisorLaw LLC	NO	OB/NO E
20-03138	Jersey City, NJ	09/10/2020	02/04/2021	02/22/2022	25766	Hennion & Walsh Incorporated	ISC	4427713	Brian Rieman	NJ	Hennion & Walsh Incorporated	NO	NO
21-01164	Boca Raton, FL	05/05/2021	01/14/2022	02/22/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1799847	Stephen Scott Brown	NY	Stein & Stein	NO	NO
21-02875	Chicago, IL	11/19/2021	02/15/2022	02/23/2022	249	Oppenheimer & Company Incorporated	ISC	872707	John David Jacobs	IL	Bressler Amery & Ross	NO	NO
21-01406	Detroit, MI	06/01/2021	02/04/2022	02/23/2022	10332	Vestax Securities Corporation	No-show	2559997	Elinor Kit-Man Ho	MI	HLBS Law	NO	NO
21-01907	Albany, NY	07/26/2021	02/17/2022	02/23/2022	136300	Key Investment Services LLC	Moran Karamouzis LLP	4157163	James Robert Boyer	NY	Louviere Law Firm PA	NO	NO
21-01552	Tampa, FL	06/17/2021	02/22/2022	02/25/2022	43100	Questar Capital Corporation	Johnson Cassidy et al.	2487987	Richard Paul Miller	FL	HLBS Law	NO	NO
21-02952	Boca Raton, FL	12/01/2021	02/22/2022	02/25/2022	8174	UBS Financial Services Incorporated	ISC	6961543	Alejandro Gonzalez	FL	Bressler Amery & Ross	NO	NO
21-01746	Columbia, SC	07/09/2021	02/17/2022	02/25/2022	250; 4	Edward Jones; AG Edwards & Sons Incorporated	Quarles & Brady LLP (EDJ); ISC (AGE)	2327724	William Paschal	SC	AdvisorLaw LLC	NO	NO

1	D	Robert J. Gregory	1
1	G	G. Maynard Green, JD	1
5	G	Mark Stuart Gurevitz	1
1	G	Erik R. Siering	1
3	G	Joan M. Traub, Esq.	1
1	G	Richard W. Cutler, Esq.	11
3	G/D	Tracy L. Allen, Esq.	1
2	G	Edith M. Novack, Esq.	4
3	G	Will Murphy, Esq. - Chair; William Kent Brown, Esq.; Tina Scott Polsky	1
2	G	Leon Fox, JD	1
1	G	Patrick R. Sughroue, Esq.	1
2	G	Stuart M. Schwartz, Esq.	1
2	G	Maurice M. Feller, Esq.	1
1	G	Mark Allen Bilawsky	1
2	G	Theodore Haynes	1

21-01480	Dallas, TX	06/10/2021	02/07/2022	02/25/2022	18837; 14503	Dominion Capital Corporation; VSR Financial Services Incorporated	ISC	1961588	James R. Kennedy	TX	AdvisorLaw LLC	OB/NO NN	NO
21-01745	San Francisco, CA	07/09/2021	02/15/2022	02/28/2022	7691; 11025	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Advisors Financial Network	Bressler Amery & Ross, MLPFS); ISC (WFA)	2736690	Dax Thomas Williamson	CA	Louviere Law Firm PA	NO/NN	NO
21-01738	Portland, OR	07/08/2021	01/27/2022	02/28/2022	104214	MKG Financial Group Incorporated	ISC	848103	Mark Kim Gaskill	OR	AdvisorLaw LLC	NO/NN	NO
21-01816	San Juan, PR	07/16/2021	02/17/2022	02/28/2022	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	3139380	David L. Rojas	PR	McConnell Valdes LLC	NO	NO
21-01895	Los Angeles, CA	07/26/2021	02/03/2022	03/02/2022	10225	JRL Capital Corporation	ISC	1273118	Larry Richard Law	CA	HLBS Law	NO/NN	NO
21-02148	Charlotte, NC	08/19/2021	02/17/2022	03/02/2022	6694	Raymond James Financial Services Incorporated	ISC	1893911	Lisa L. Hanline	NC	Bruce W. Barnes PA	NO	NO
21-02049	Jersey City, NJ	08/09/2021	02/25/2022	03/02/2022	19616	Wells Fargo Clearing Services LLC	ISC	2614880	Michael Piccolo	NJ	FA Expungement	OB/NO	NO
21-02157	New York, NY	08/20/2021	02/25/2022	03/02/2022	40077	Alexander Capital Limited Partnership	ISC	U CRD#2489732	Rocco Gerard Guidici Pietro	NJ	Holcomb + Ward LLP	NO	NO
20-03215	New York, NY	09/21/2020	02/07/2022	03/02/2022	119037; 26816	Laidlaw & Company (UK) Limited; Sands Brothers & Company Limited	ISC	2396336	Todd A. Cirella	NY	Sichenzia Ross Ference LLP	NO	NO
21-02046	Detroit, MI	08/09/2021	03/02/2022	03/03/2022	305	Foresters Financial Services Incorporated	Bressler Amery & Ross	4552860	Gurveer Singh Mann	MI	HLBS Law	NN	NO
21-02982	Boca Raton, FL	12/07/2021	03/02/2022	03/04/2022	19616	Wells Fargo Clearing Services LLC	ISC	5606327	Carlos Alberto Vargas	FL	Bressler Amery & Ross	NO	NO
21-01636	Jersey City, NJ	06/28/2021	02/15/2022	03/08/2022	6413	LPL Financial LLC	ISC	2877282	James Edward Dy	NJ	AdvisorLaw LLC	NO	NO
21-01595	New York, NY	06/22/2021	02/28/2022	03/08/2022	34171	Windsor Street Capital Limited Partnership	No-show	4699488	Raymond E. Guarini	NY	Sichenzia Ross Ference LLP	NO	NO

6	G	David A. Schuler	1
3	G	Thomas D. Reese, Esq.	1
5	G	James E. Bartels	1
1	G	Martin A. Feigenbaum, Esq.	1
2	G	Robert D. Sussin, Esq.	1
1	G	Michael J. Ahlstrom, Esq.	1
3	G	Kenneth J. Horowitz	1
5	D	Harvey Barrison, Esq. - Chair; Phillip Michael Brown; Joan Ellen Hoffman	1
4	G	Gerald M. Levine	1
1	G	Patrick R. Sughroue, Esq.	1
1	G	Gerald Silverman, Esq.	1
1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
1	G	Steven C. Kasarda	1

21-01092	San Francisco, CA	04/26/2021	02/24/2022	03/09/2022	16361; 19616	Banc of America Investment Services Incorporated; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (BAIS); ISC (WFCS)	2419349	Randall Larry Krenzin	AZ	HLBS Law	OB/NO NN	NO
21-02381	New York, NY	09/20/2021	02/18/2022	03/09/2022	630	CIBC World Markets Corporation	ISC	2157822	Jason Paul Sardo	FL	FA Expungement	NO	NO
21-01911	St. Louis, MO	07/27/2021	03/07/2022	03/10/2022	13609	Berthel Fisher & Company Financial Services Incorporated	ISC	U CRD#2714070	Joseph Robert Weinbauer	MO	AdvisorLaw LLC	OB	NO
20-03243	Dallas, TX	09/12/2020	03/01/2022	03/10/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4963876	Shaun Eugene Hayes	TX	Dailey Law Group	NO	NO
21-01637	Boca Raton, FL	06/28/2021	02/25/2022	03/14/2022	149777	Morgan Stanley	ISC	2232489	Charles Peter Wallace	FL	Zadanosky & Associates PA	NO	NO
20-02797	Raleigh, NC	08/26/2020	06/14/2021	03/14/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2338250	Kenneth Frederick Hill	NC	AdvisorLaw LLC	OB NO	NO
21-02104	San Juan, PR	08/13/2021	03/10/2022	03/14/2022	13042	UBS Financial Services Incorporated of Puerto Rico	McConnell Valdes LLC	5827677; 1854754	Jose E. Chaves; Jose A. Chaves	PR; PR	Toro Colon Mullet PSC	NO	NO
21-01726	San Juan, PR	07/07/2021	02/24/2022	03/15/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2180310	Angel Manuel Canabal	PR	Toro Colon Mullet PSC	NO	NO
21-02413	San Juan, PR	09/23/2021	03/04/2022	03/16/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	1813503	Sonia Pou Monagas	PR	McConnell Valdes LLC	NO	NO
21-01933	Washington, DC	07/28/2021	03/15/2022	03/16/2022	2881	Northwestern Mutual Investment Services LLC	ISC	exe CRD#5263007	Aubrey Jones Rosser III	VA	AdvisorLaw LLC	NO	NO
21-01283	Chicago, IL	05/17/2021	01/25/2022	03/17/2022	5685	Pruco Securities LLC	Reyes Kurson Ltd.	5659093	Anthony J. Riscilli	IL	Galvin Legal PLLC	NO	NO
21-01898	New Orleans, LA	07/26/2021	02/22/2022	03/17/2022	8174; 4; 7461	UBS Financial Services Incorporated; AG Edwards & Sons Incorporated; FSC Securities Corporation	John Murphy & Associates (UBS); Park Sensenig et al. (AGE); ISC (FSCS)	2013409	William Luther Crull IV	LA	AdvisorLaw LLC	NO/NN	NO

7	G/D/W	Daniel M. Yamshon, Esq.	1
1	G	Wallace Anthony Showman, Esq.	1
1	D	Gregory G. Gocek	2
7	G	David A. Schuler	1
1	G	Robert G. Geeseman, Esq.	1
1	G	Richard S. Zaifert, Esq.	2
2	G	Nancy J. Cliff, Esq.	1
10	G	Martin A. Feigenbaum, Esq.	2
1	G	Elena G. Rodriguez	1
1	G	Richard P. Regan, Esq.	1
1	G	Susanne J. Hollander, Esq. - Chair; Michael R. Sherwin, JD; Alfonso Cobb	2
8	G/W	Brian James Tagtmeier	1

20-03047	San Francisco, CA	09/08/2020	03/09/2022	03/18/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2441634	Robert Matthew Krieger	NY	HLBS Law	NO NN	NO
21-01540	San Juan, PR	06/17/2021	03/16/2022	03/18/2022	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	2945273	Jose David Mendez	PR	McConnell Valdes LLC	NO	NO
21-01889	New York, NY	07/23/2021	03/16/2022	03/21/2022	7569	National Securities Corporation	ISC	4658534	Christopher Bond	NY	Carmel Milazzo & Feil LLP	NO	NO
21-02043	San Francisco, CA	08/07/2021	03/15/2022	03/22/2022	250	Edward Jones	Keesal Young & Logan	4665018	David McFarland Amann	CA	FA Expungement	NO	NO
21-02572	San Juan, PR	10/11/2021	03/14/2022	03/22/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	4575302	Gabriel A. Matos	PR	McConnell Valdes LLC	NO	NO
21-01440	Phoenix, AZ	06/03/2021	02/28/2022	03/23/2022	25574; 19616	Chase Investment Services Corporation; Wells Fargo Clearing Services LLC	Keesal Young & Logan (CIS); ISC (WFCS)	4690876	Justin T. Hoyt	AZ	AdvisorLaw LLC	NO	NO
21-02214	San Diego, CA	08/25/2021	03/22/2022	03/23/2022	6413	LPL Financial LLC	ISC	2416479	Danielle DeMarce Stanton	CA	The Law Offices of Patrick R. Mahoney	NO	NO
21-02060	Philadelphia, PA	08/18/2021	03/08/2022	03/23/2022	8174	UBS Financial Services Incorporated	John Murphy & Associates	1092690	John Joseph Hanlon IV	FL; NJ	AdvisorLaw LLC	NO	NO
21-01919	New York, NY	07/27/2021	03/15/2022	03/24/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4321144	Timothy Ray Hilton	NJ	Zinober Diana & Monteverde	NO	NO
21-00632	Pittsburgh, PA	03/09/2021	10/26/2021	03/24/2022	10740	Prospera Financial Services Incorporated	ISC	2360456	Andrew James Pravlik	WA	AdvisorLaw LLC	NO/OB	NO
21-02138	San Francisco, CA	08/18/2021	02/22/2022	03/25/2022	7870	TD Ameritrade Incorporated	Keesal Young & Logan	5091378	Ian Ashley Castille	CA	HLBS Law	NO	NO
21-01990	Boca Raton, FL	08/03/2021	03/22/2022	03/25/2022	132995	Rainmaker Securities LLC	ISC	5030000	Glen Wayne Anderson	FL	HLBS Law	OB	NO
21-01519	New York, NY	06/29/2021	03/17/2022	03/25/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5038163	Ian Fuller	NY	Fowler White Burnett PA	NO	NO

3	G	John J. Fitzpatrick, Jr., Esq.	1
9	G	Christopher J. Klein, Esq.	1
1	G	Ira A. Auerbach	1
2	G	Alden Sharp Adkins	1
5	G	Christopher J. Klein, Esq.	1
3	G	Benjamin F. Breslauer	1
1	G	Kirtley M. Thiesmeyer, Esq. - Chair; Thomas L. Marshall; Robert A. Lakosil	1
4	G	Louis P. Wagman	1
2	G	Edmund Timothy Donovan	1
2	G	Mark Alexander Sipper	2
1	G	William W. Haskell, Esq.	1
1	G	Louis David Huss	1
1	G	James M. Rhodes	1

21-02082	Philadelphia, PA	08/12/2021	03/15/2022	03/25/2022	19616	Wells Fargo Clearing Services LLC	ISC	3102721	Manfred Kanther	PA	Louviere Law Firm PA	NO	NO
21-01938	Portland, OR	07/29/2021		03/25/2022	17868	US Bancorp Investments Incorporated	Dorsey & Whitney	U CRD#4451850	Shawn Patrick Weidmann	WA	AdvisorLaw LLC	UN	OB E
21-01912	Denver, CO	07/29/2021	02/15/2022	03/28/2022	7059; 8174	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated	Kauff Laton Miller LLP (CGM); John Murphy & Associates (UBS)	2972794	Julie Smith Johnson	CO	Galvin Legal PLLC	NO	NO
21-02188	San Juan, PR	08/24/2021	03/23/2022	03/28/2022	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	3139380	David L. Rojas	PR	McConnell Valdes LLC	NO	NO
20-04000	Seattle, WA	12/02/2020	02/24/2022	03/28/2022	10409	MML Investors Services LLC	Stevens & Lee	4282283	Kevin Edward Stokesbary	WA	McDougald Law Group	NO	NO
20-03070	New York, NY	09/09/2020	05/04/2021	03/29/2022	249	Oppenheimer & Company Incorporated	ISC	2547500	Patrick Jude Esparrago	NY	The Rosenfeld Law Office	NO	NO
21-01967	Cleveland, OH	08/02/2021	03/24/2022	03/29/2022	2936	The ON Equity Sales Company	ISC	3050103; U CRD#5615783	Karl David Schlabach; Andrew Stephen Miller	OH; OH	FA Expungement	OB	NO
21-01644	Albany, NY	06/28/2021	03/04/2022	03/30/2022	18334	Prime Capital Services Incorporated	ISC	1173411	Jason Harry Kurchner	NY	AdvisorLaw LLC	NO/NN NO-D	NO
21-01747	San Francisco, CA	07/09/2021	03/29/2022	03/31/2022	149777	Morgan Stanley	ISC	1639250	Michael Patrick Ross	CA	HLBS Law	NO	NO
21-02366	San Francisco, CA	09/20/2021	03/31/2022	04/01/2022	30833; 10205	Centaurus Financial Incorporated; Securities America Incorporated	ISC	1530880	James Orth Davis	CA	Louviere Law Firm PA	NO/NN	NO
21-02705	Boca Raton, FL	10/26/2021	03/30/2022	04/04/2022	149777	Morgan Stanley Smith Barney LLC	ISC	1918944; 2053684; 4552866	Sean Fetterman; Adam Fetterman; David Raphan	FL; FL; FL	Greenberg Traurig LLP	NO	NO
21-01120	Seattle, WA	05/28/2021	03/10/2022	04/04/2022	6391; 7471	Pacific West Securities Incorporated; Prudential Equity Group LLC	No-show (PWS); Reyes Kurson Ltd. (PEG)	1503719	Brian James Decker	WA	AdvisorLaw LLC; HLBS Law	OB UN E	NO
21-02031	Boca Raton, FL	08/06/2021	03/07/2022	04/05/2022	130645	Dawson James Securities Incorporated	Kaufman Dolowich & Voluck LLP	4313454	Paul Robert DiPietro	FL	Farrar Law PLLC	OB/NO	NO

4	G	Guillermo L. Bosch, Esq.	1
1	D	Mark Lee Haggard	0
2	G	Philip J. Glick, Esq. - Chair; Michael Jeffrey Norton, Esq.; Gregory M. Scanlon, Esq.	1
1	G	Louis David Huss	1
1	G	Jane Ann McKenzie - Chair; William J. Bender, Esq.; Steven Phillip Caplow, Esq.	1
1	G	Cheryl H. Agris, PhD	2
2	G/D	Gary B. Deutsch	1
3	G	Ted M. Rosen, Esq.	2
1	G	Shawn Ridgell	1
2	G	William W. Haskell, Esq.	1
3	G	Christopher J. Klein, Esq. - Chair; Thomas Mead Santoro, Esq.; George D. Davidson	1
3	D	Stephany Adriene Watson, Esq. - Chair; Charles Scott McClellan; Joan M. Schroeder, Esq.	2
7	G	Will Murphy, Esq.	5

21-02117	Kansas City, MO	08/18/2021	03/14/2022	04/05/2022		None.	Customers	2233448	Phillip Adam Rademacher	KS	Kean Miller LLP	OB	OB
21-02334	San Francisco, CA	09/20/2021	03/30/2022	04/08/2022	6363; 103919; 14455; 10582	Ameriprise Financial Services Incorporated; Countrywide Investment Services Incorporated; Unionbanc Investment Services LLC; Wells Fargo Investments LLC	ISC (AFS & WFI); Bressler Amery & Ross (CIS); Keesal Young & Logan (UIS)	3046369	Vu Hoang Nguyen	CA	HLBS Law	OB/NO NN	NO
21-02478	Chicago, IL	09/30/2021	04/06/2022	04/08/2022	6413	LPL Financial LLC	ISC	2968881	Ranjit Bahadur	IL	Louviere Law Firm PA	NO	NO
21-01848	Dallas, TX	07/21/2021	03/07/2022	04/08/2022	611	Mutual of Omaha Investor Services Incorporated	Cline Williams et al.	5743023	Michael Lee Escobar	TX	Galvin Legal PLLC	NO	NO
21-02483	New York, NY	09/29/2021	03/01/2022	04/12/2022	7784	Fidelity Brokerage Services LLC	ISC	U CRD#2671642	George Alexander Milani	NY	Bressler Amery & Ross	NO	NO
21-01959	New York, NY	07/30/2021	03/23/2022	04/13/2022	4039	The Equitable Life Assurance Society of The United States	Gordon Rees et al.	1456630	Cynthia Mary Couyoumjian	CA	HLBS Law	NO/NN	NO
21-02200	Denver, CO	08/26/2021	04/07/2022	04/14/2022	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	3031776	Keys Ericson Tinney	CO	HLBS Law	NO	NO
21-02092	New York, NY	08/12/2021	03/24/2022	04/14/2022	6363	Ameriprise Financial Services LLC	ISC	2910121	Anthony J. Salerno	CT	Saretsky Hart et al.	NO	NO
21-03071	San Juan, PR	12/21/2021	04/13/2022	04/14/2022	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	4575302	Gabriel Angel Matos	PR	McConnell Valdes LLC	NO	NO
21-01598	Houston, TX	06/23/2021	04/05/2022	04/14/2022	103789; 152170	USCA Securities LLC; USCA RIA LLC	Therese L. Surprenant, Attorney-at-Law	1068809; 2731904	Patrick Michael Mendenhall; Christian Chance Bauman	TX; TX	AdvisorLaw LLC	NO/NN	NO
21-03023	New York, NY	12/13/2021	03/31/2022	04/18/2022	116681	Hightower Securities LLC	ISC	1538649	Mark Kravietz	NJ	Bressler Amery & Ross	NO	NO
21-01557	Jersey City, NJ	06/18/2021	04/12/2022	04/20/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2194815	Charles Belluardo	FL; NJ	AdvisorLaw LLC	NO-D	NO

1	G	Lawrence R. Maxwell, Jr., Esq. - Chair; Brandon Gordon Kinney; Veronica Sellers	4
8	G/D	Shawn Ridgell	2
1	G	Theodore W. Wroblewski, Esq.	1
1	G	Robert J. Gregory - Chair; Jay M. Vogelson; Kurt L. Smith	1
1	D	David I. Goldblatt, Esq.	2
3	G/D	Josian Antoine, Esq. - Chair; Denise L. Quarles, Esq.; Nadia Polack	1
3	G	Anita Rae Shapiro, Esq.	1
1	G	Arthur Neil Tolciss, Esq.	1
1	G	Christopher J. Klein, Esq.	1
2	G	Brian James Tagtmeier	1
1	G	James M. Rhodes	1
1	G	Robert E. Anderson, Esq.	1

21-02415	New York, NY	09/29/2021	03/08/2022	04/20/2022	15007; 119037	Aegis Capital Corporation; Laidlaw & Company (UK) Limited	ISC	2309181	Stephen Giannantonio	NY	Conway & Conway	NO	NO
21-01401	Boca Raton, FL	06/01/2021	04/11/2022	04/21/2022	17609; 15007	GunnAllen Financial Incorporated; Aegis Capital Corporation	ISC	4227216	Brian Joseph Lombardi	FL	Sallah Astarita & Cox LLC	NO	NO
21-02292	Jersey City, NJ	09/09/2021	04/14/2022	04/21/2022	7059; 31194	Citigroup Global Markets Incorporated; RBC Capital Markets LLC	Kauff Laton Miller LLP (CGM); Dorsey & Whitney (RBC)	3201389	David Hugh Bindelglass	NJ	HLBS Law	NO/NN	NO
21-02048	Houston, TX	08/09/2021	04/14/2022	04/21/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2600744	Guy Champion Clayton	TX	AdvisorLaw LLC	NO	NO
21-02124	San Francisco, CA	08/17/2021	04/20/2022	04/25/2022	23988; 7870; 10582	Citicorp Investment Services; TD Ameritrade Incorporated; Wells Fargo Investments LLC	Kauff Laton Miller LLP (CIS); Keasal Young & Logan (TDA); ISC (WFI)	3141582	Mearu Takatsu	CA	Louviere Law Firm PA	NO/NN	NO
21-02303	Oklahoma City, OK	09/10/2021	04/19/2022	04/25/2022	14251	MSI Financial Services Incorporated	Harris & Affiliates Ltd.	5135075	Michelle R. Coble	OK	AdvisorLaw LLC	NO	NO
21-02329	Louisville, KY	09/15/2021	04/21/2022	04/26/2022	10205	Securities America Incorporated	ISC	5159652	Benjamin Hoehler	KY	AdvisorLaw LLC	NO	NO
19-02034	Boston, MA	07/24/2019	04/05/2022	04/26/2022	5167; ;	NYLife Securities LLC; New York Life Insurance and Annuity Corporation; New York Life Insurance Company	Holland & Knight	1684172	Michael Paul Randolph Arnheiter	MA	O'Connor Carnathan & Mack	NO	NO
21-01202	Detroit, MI	05/10/2021	03/24/2022	04/26/2022	14754	QA3 Financial Corporation	No-show	3031864	David Brent Fennema	MI	HLBS Law	NO	NO
21-02457	Philadelphia, PA	09/28/2021	04/21/2022	04/26/2022	519	Lincoln Investment	Winget Spadafora & Schwartzberg	2232801	Joslyn Gail Ewart	PA	Marshall Dennehey et al.	NN	NO
21-02432	San Juan, PR	09/24/2021	04/20/2022	04/26/2022	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC;	1019547; 4116565	Orlando Javier Perez; Viviana Cristina Perez Cordero	PR; PR	McConnell Valdes LLC	NO	NO
21-03058	San Juan, PR	12/17/2021	04/19/2022	04/27/2022	8174	UBS Financial Services Incorporated	ISC	4529782	Jorge L. Rodriguez	PR	McConnell Valdes LLC	NO	NO

4	G	Clive I. Morricks	1
2	G	Mark Allen Bilawsky - Chair; Howard Bernstein; Marc S. Dobin, Esq.	1
2	G	Robert E. Anderson, Esq.	1
1	G	Lynne M. Gomez, Esq.	1
3	G	Daniel M. Yamshon, Esq.	1
1	G	Mark C. Watler, JD	1
1	G	Douglas M. Branson, LLM	1
1	G	Robert J. Ambroggi, Esq. - Chair; Joseph Edward Riley; Sharon L. Monroe	1
1	G	Tracy L. Allen, Esq.	2
1	G	Carol H. Gold, Esq. - Chair; Louis P. Wagman; Richard Frank Colello	1
11	G	Louis David Huss	1
1	G	Martin A. Feigenbaum, Esq.	1

21-00095	Nashville, TN	01/14/2021	01/25/2022	04/27/2022	33856	BB&T Investment Services Incorporated	Gray Robinson PA	4494803	Shaun Michael Rowles	TN	AdvisorLaw LLC	NO	OB
21-02677	Los Angeles, CA	10/21/2021	04/13/2022	04/27/2022	16164	Transamerica Financial Advisors Incorporated	ISC	4890998	Rusty Allen Hood	TX	Louviere Law Firm PA	OB/NO	NO
21-02811	Hartford, CT	11/09/2021	04/15/2022	04/29/2022	46947	Silver Oak Securities Incorporated	Doug Baxley, Attorney at-Law	4799191	Eric Hogarth	CT	McGonigle PC	NO	NO
21-02836	San Juan, PR	11/12/2021	04/27/2022	04/29/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2180310	Angel M. Canabal	PR	Toro Colon Mullet PSC	NO	NO
21-02175	Houston, TX	08/26/2021	04/25/2022	04/29/2022	132939	GF Investment Services LLC	No-show	4212297	Michael Allen Neuenschwander	TX	AdvisorLaw LLC	OB	NO
21-01986	Hartford, CT	08/03/2021	03/28/2022	05/02/2022	6413	LPL Financial LLC	ISC	3274194	Cynthia Ann Giovacchino	CT	AdvisorLaw LLC	OB/NO	NO
21-02992	San Juan, PR	12/09/2021	04/26/2022	05/02/2022	8174	UBS Financial Services Incorporated	ISC	4886487	Ivan R. Pelegrina	PR	McConnell Valdes LLC	NO	NO
21-02774	Hartford, CT	11/03/2021	04/29/2022	05/03/2022	46947	Silver Oak Securities Incorporated	ISC	4018002	Heath G. Grossman	CT	McGonigle PC	OB	NO
21-02449	Wilmington, DE	09/27/2021	04/25/2022	05/04/2022	6413	LPL Financial LLC	ISC	1967086	G. Ward Keever	DE	Ghabai Law Group LLC	NO	NO
21-02723	Las Vegas, NV	10/27/2021	04/26/2022	05/04/2022	10582	Wells Fargo Investments LLC	ISC	2727114	Marc Steven Kreisberger	NV	FA Expungement	OB/NO	NO
21-02257	New York, NY	09/02/2021	04/27/2022	05/04/2022	40077	Alexander Capital Limited Partnership	ISC	2751635	Joseph Amato	PA	Holcomb + Ward LLP	NO	NO
21-02062	Los Angeles, CA	08/10/2021	05/04/2022	05/05/2022	6413	LPL Financial LLC	ISC	1680680	Jerry Sterling Blakely	CA	HLBS Law	NO	NO
21-01362	New York, NY	05/26/2021	04/26/2022	05/05/2022	149777; 23131	Morgan Stanley; Royal Alliance Associates Incorporated	ISC	2722419	Dolores B. Mitchell	NY	Louis Tambaro, Attorney-at-Law	NO	NO
21-01978	Boca Raton, FL	08/02/2021	04/28/2022	05/09/2022	6363	Ameriprise Financial Services Incorporated	ISC	1697946	Anthony John Leopizzi	FL	HLBS Law	NO	NO
21-02391	New York, NY	09/21/2021	05/06/2022	05/09/2022	103737; 114338	DPEC Capital Incorporated; Westrock Advisors Incorporated	ISC	2688043	Steven William Rapoport	FL	Sichenzia Ross Ference LLP	NO	NO
21-02558	New Orleans, LA	10/08/2021	04/27/2022	05/11/2022	29604; 10409	National Planning Corporation; MML Investors Services LLC	Saretsky Hart et al. (NP); Stevens & Lee (MML)	2161106	Brian Daniel Parker	LA	AdvisorLaw LLC	NO	NO

2	G/W	Mauricio Arcadier, JD	2
3	G	Neil S. Jasper	2
1	G	Robert E. Anderson, Esq.	1
9	G	Louis David Huss	2
1	G	Maryanne M. Esser, Esq.	1
3	G	Linda J. Baer, Esq.	1
1	G	Martin A. Feigenbaum, Esq.	1
1	G	Thomas Matthew Madden	1
1	G	Robert E. Anderson, Esq.	1
3	G	Milton N. Gross	1
2	G	Harrison Johnson - Chair; Veronica Ann Williams; Stephen J. Patti, Esq.	1
1	G	Robert E. Jenks	1
3	G	Brian John Gallagher - Chair; John Warner Lowe, Jr.; Robert J. Miller	1
2	G	Louis David Huss	1
3	G	Sandra J. Mullings, Esq.	1
2	D	Jeffrey H. Kilgore, Esq.	1

21-02633	Tampa, FL	10/18/2021	05/05/2022	05/12/2022	43100	Questar Capital Corporation	Johnson Cassidy et al.	4182788	Jason Michael Edwards	FL	HLBS Law	NO/NN	NO
22-00359	Washington, DC	02/16/2022	05/10/2022	05/13/2022	8174	UBS Financial Services Incorporated	ISC	4270444	Roderick Von Lipsey	DC	Bressler Amery & Ross	OB	NO
21-02316	New York, NY	09/13/2021	05/03/2022	05/13/2022	10; 7692	Advest Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2526192	Thomas Wilson Moore	NY	AdvisorLaw LLC	NO/NN	NO
21-02703	Seattle, WA	10/26/2021	05/03/2022	05/13/2022	26091	Banc of America Securities LLC	Bressler Amery & Ross	2169200	Peter Dierks Joers III	WA	AdvisorLaw LLC	NO/NN	NO
21-01365	Jersey City, NJ	05/26/2021	05/04/2022	05/16/2022	6958; 19616	JB Hanauer & Company; Wells Fargo Clearing Services LLC	Dorsey & Whitney (JBH); ISC (WFCS)	2420229	Allen H. Wilson	NJ	AdvisorLaw LLC	OB/NO	NO
21-02826	New York, NY	11/11/2021	05/10/2022	05/19/2022	8174	UBS Financial Services Incorporated	John Murphy & Associates	2425341	David H. Howard Savetz	NY	The Rosenfeld Law Office	NO	NO
20-02284	San Francisco, CA	08/20/2020	05/17/2022	05/20/2022	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2229762	Matthew Paul Schweifler	CA	The Rosenfeld Law Office	UN	NO
21-02909	Raleigh, NC	11/23/2021	05/17/2022	05/20/2022	10299	Cetera Advisors LLC	ISC	1780923	Kenneth Nelson	FL; NC	FA Expungement	OB	NO
21-02511	New York, NY	10/04/2021	05/04/2022	05/20/2022	40077	Alexander Capital Limited Partnership	ISC	2744738	Jeanpaul Charles Skovronck	NY	Holcomb + Ward LLP	NO	NO
21-02330	San Juan, PR	09/15/2021	05/18/2022	05/26/2022	13042; 8174	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	3139380	David L. Rojas	PR	McConnell Valdes LLC	NO	NO
21-02693	Los Angeles, CA	10/22/2021	05/26/2022	05/27/2022	8174	UBS Financial Services Incorporated	John Murphy & Associates	2135789	Eric Garcia Moreno	CA	Keesal Young & Logan	OB	NO
21-02526	Honolulu, HI	10/06/2021	05/17/2022	05/27/2022	6413	LPL Financial LLC	ISC	3159954	David John Kimura	HI	HLBS Law	OB	NO
21-02211	Chicago, IL	08/30/2021	06/01/2022	06/02/2022	7691; 7556	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley DW Incorporated	Bressler Amery & Ross (MLPFS); ISC (MSDW)	U CRD#1672880	Timothy O'Connor	IL	FA Expungement	UN	NO
21-03068	San Juan, PR	12/20/2021	05/27/2022	06/02/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	5057939	Ernest Eugene Musgrave	PR	McConnell Valdes LLC	NO	NO
21-02325	Phoenix, AZ	09/14/2021	06/01/2022	06/03/2022	19616	Wells Fargo Clearing Services LLC	ISC	5089368	Travis J. McGann	AZ	AdvisorLaw LLC	NO/NN	NO

2	G	Gayle B. Carlson, Esq.	1
1	D	Patricia Horan Latham, Esq.	1
5	G/W	Ronald Harris Kisner	1
1	G	Stephany Adriene Watson, Esq.	1
4	G	Paul Allan Massaro	1
2	G	Julian F. Santos, Esq. - Chair; Roy Lukins Rowsell; Gregg Lance Zeoli	1
4	D	Mary Margaret Bush, Esq.	1
1	G	John Winslow Griesser	1
4	G	Alfreida B. Kenny, Esq. - Chair; William A. Rome, JD; Christopher C. Gorski, Esq.	1
1	G	Elena G. Rodriguez	1
1	G	Robert E. Jenks	1
2	G/D	Laurel Littman Gothelf, MPH	1
1	D	Thomas P. Valenti	1
1	G	Louis David Huss	1
1	G	Walter Steven Schwartz	1

21-01621	Boca Raton, FL	06/24/2021	05/25/2022	06/06/2022	8174; 463	UBS Financial Services Incorporated; Janney Montgomery Scott LLC	John Murphy & Associates (UBS); ISC (JMS)	2510256	Rosario Cammarata Jr.	FL	The Rosenfeld Law Office	NO	NO
21-02881	Birmingham, AL	11/19/2021	05/31/2022	06/08/2022	42132	CUSO Financial Services Limited Partnership	ISC	5921205	John David Holt	AL	Bressler Amery & Ross	OB/NO	NO
21-02938	Cleveland, OH	12/01/2021	06/02/2022	06/09/2022	8174	UBS Financial Services Incorporated	ISC	U CRD#1492642	Kenneth James Wise	FL	Riker Danzig et al.	OB	NO
22-00679	Dallas, TX	03/30/2022	06/06/2022	06/09/2022	8174	UBS Financial Services Incorporated	ISC	2230893; 4589554; 5130512	Brant Christopher Ferguson; Andrew Charles O'Connell; Cory Alan Durham	TX; TX; TX	Bressler Amery & Ross	OB	NO
21-02785	Jacksonville, FL	11/04/2021	05/25/2022	06/10/2022	19616	Wells Fargo Clearing Services LLC	ISC	3070468	Christopher Howard Sivley	FL	FA Expungement	NO	NO
21-01754	Chicago, IL	07/12/2021	06/07/2022	06/15/2022	42046	Kestra Investment Services LLC	D'Amura & Zaidman	2163773	John Edward Freiburger	IL	AdvisorLaw LLC	NO	NO
21-03050	San Juan, PR	12/16/2021	06/07/2022	06/15/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	4492331	Maria Teresa Torruella	PR	McConnell Valdes LLC	NO	NO
21-01204	Dallas, TX	05/10/2021	06/07/2022	06/16/2022	149777; 8174	Morgan Stanley; UBS Financial Services Incorporated	Greenberg Traurig LLP (MSSB); ISC (UBS)	1509949	William Ernest Stockum	TX	Bressler Amery & Ross	NO	NO
21-02945	Boston, MA	11/30/2021	06/06/2022	06/17/2022	105394	GW & Wade Asset Management Company LLC	ISC	2937604	Eric Herd Rosenberg	MA	Murphy & McGonigle	NO	NO
21-01389	New York, NY	05/28/2021	04/25/2022	06/17/2022	30613; 23131	Investors Capital Corporation; Royal Alliance Associates Incorporated	ISC	2664405	Nicholas Agnone	NY	Offit Kurman LLP	NO	NO
22-00072	Chicago, IL	01/12/2022	06/15/2022	06/17/2022	6413	LPL Financial LLC	ISC	2293189	Annette Erika Findling	TX	AdvisorLaw LLC	OB	NO
21-02776	San Francisco, CA	11/04/2021	06/21/2022	06/22/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	3154358	Ting Xie O'Connor	CA	HLBS Law	NO	NO
21-02682	Philadelphia, PA	10/22/2021	06/01/2022	06/24/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1773456	Gary Edward Karch	PA	AdvisorLaw LLC	NO	NO

4	G	Marie G. Peterson, CPA - Chair; Allen Robin; Carl Joseph Domino	1
2	G	Earle J. Schwarz, Esq.	1
1	D	William M. Azkoul, JD - Chair; John C. Aten; Joseph Edelstein	2
3	G	David A. Schuler	1
5	G	Mitchel Weiss, Esq.	1
1	G	Steven H. Vogel, Esq.	1
2	G	Louis David Huss	1
2	G	Louis J. Weber, Jr., Esq.	1
1	G	Howard N. Gorney - Chair; Gerard S. Marsan, Esq.; John R. Snyder, Esq.	1
1	G	Sam Antar, Esq. - Chair; Evan Powell; Paul M. Friedman	1
1	G	Leon Fox, JD	1
2	G	Arocles Aguilar	1
1	G	Carol H. Gold, Esq.	1

21-02864	Boca Raton, FL	11/18/2021	06/22/2022	06/28/2022	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1721569	Anthony Javarone	FL	Gonzalez Shenkman & Buckstein	NO/NN	NO
21-02827	New Orleans, LA	11/11/2021	06/23/2022	06/28/2022	42803	VALIC Financial Advisors Incorporated	Shook Hardy & Bacon	4945227	Daniel M. Abraham Jr.	LA	Louviere Law Firm PA	NO	NO
20-03226	Boca Raton, FL	09/11/2020	06/21/2022	06/28/2022	8096; 7059	Popular Securities LLC; Citigroup Global Markets Incorporated	ISC (PS); Kauff Laton Miller LLP (CGM)	1146086	Raquel Gonzalez Chavez	PR	Haselkorn & Thibaut	NO/NN	NO
21-02834	San Juan, PR	11/12/2021	06/17/2022	06/28/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2784555	Francisco Javier Landivar	PR	McConnell Valdes LLC	NO	NO
21-02378	Boston, MA	10/26/2021	06/16/2022	06/29/2022	149777; 7556; 8174	Morgan Stanley; Morgan Stanley DW Incorporated; UBS Financial Services Incorporated	ISC (MSSB & MSDW); John Murphy & Associates (UBS)	2594921	Jonathan William Lonske	MA	AdvisorLaw LLC	NO/NN	NO
21-02565	Phoenix, AZ	10/10/2021	06/27/2022	06/30/2022	104065	Newbridge Securities Corporation	Kaufman Dolowich & Voluck LLP	4348584	Kerri Suzanne Jamison	AZ	FA Expungement	NO	NO
21-03052	Phoenix, AZ	12/16/2021	06/23/2022	06/30/2022	16361; 7691	Banc of America Investment Services Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5366466	Craig R. Bottolfson	AZ	AdvisorLaw LLC	NO	NO
21-02840	New York, NY	11/14/2021	06/29/2022	07/01/2022	7569	National Securities Corporation	ISC	4684851	Stephen Brian Barry	NY	Judex Law LLC	NO	NO
21-02408	Los Angeles, CA	09/22/2021	06/28/2022	07/07/2022	151604	Concorde Investment Services LLC	Holcomb + Ward LLP	1713921	Jim Andrew Lund	CA	Winget Spadafora & Schwartzberg	NO	NO
22-00021	Los Angeles, CA	01/05/2022	07/07/2022	07/11/2022	110925	Gold Coast Securities Incorporated	ISC	2954486	John Thomas Bowers	CA	HLBS Law	NO	NO
21-02545	New York, NY	10/06/2021	06/30/2022	07/11/2022	421	Woodbury Financial Services Incorporated	ISC	1017223	Edward Paul Hadel	KS	Winget Spadafora & Schwartzberg	NO	NO
22-00022	Houston, TX	01/06/2022	07/07/2022	07/11/2022	23131	Royal Alliance Associates Incorporated	ISC	3185639	Amanda Lauren Dunlap	TX	D'Amura & Zaidman	NO	NO
21-03077	Indianapolis, IN	12/22/2021	07/07/2022	07/12/2022	5685	Pruco Securities LLC	Reyes Kurson Ltd.	1849847	James Jeffrey McAtee	IL	AdvisorLaw LLC	NO	NO

2	G/D	Leslie L. Cooney, Esq. - Chair; Stephenie Dorris; Robert C. Harris	1
2	G	Robert J. Gregory	1
13	G/D/W	Leslie L. Cooney, Esq.	1
5	G	Martin A. Feigenbaum, Esq.	1
5	G/D	Linda J. Baer, Esq.	1
3	G	George W. Harding	1
2	G	Erik R. Siering	1
1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Peter Whittingham; David Stein	1
1	G	Sandra L. Malek, Esq.	1
1	G	Andrew M. Mintzer, CPA	1
1	G	Joan Maxine Secofsky	1
1	G	Daniel J. Pagnano, Esq.	1
3	G	Gregory G. Gocek	1

21-02480	Houston, TX	09/30/2021	06/30/2022	07/12/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1743294	Hal Mitchell Finberg	TX	AdvisorLaw LLC	NN	NO
21-02546	Birmingham, AL	10/07/2021	07/07/2022	07/14/2022	4161; 705	Morgan Keegan & Company LLC; Raymond James & Associates Incorporated	ISC	1017982; 4053759	John Dwight Brewer; Jeannan Castleberry Brewer	FL; FL	HLBS Law	NO/NN	NO
22-00534	Washington, DC	03/14/2022	07/11/2022	07/14/2022	41791	Santander Securities LLC	Pietrantonio Mendez & Alvarez	3129454	Beatriz Luna Vida	VA	Bressler Amery & Ross	NO	NO
21-02832	Pittsburgh, PA	11/12/2021	07/06/2022	07/15/2022	793; 3248; 249	Stifel Nicolaus & Company Incorporated; Ryan Beck and Company; Oppenheimer & Company Incorporated	ISC	2504584	Guy B. Deemer	PA	FA Expungement	NO	NO
22-00181	San Juan, PR	01/27/2022	06/28/2022	07/15/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2444524	Casto Miguel Coll Del Rio	PR	Toro Colon Mullet PSC	NO NO-D	NO
22-00089	Hartford, CT	01/13/2022	07/11/2022	07/18/2022	46947	Silver Oak Securities Incorporated	ISC	4018002	Heath G. Grossman	CT	Stradley Ronon et al.	NO	NO
21-02711	Boca Raton, FL	10/27/2021	07/12/2022	07/19/2022	13686	Avantax Investment Services Incorporated	ISC	2164405	Charles Andrew Fischer	FL	HLBS Law	NO	NO
21-02716	New Orleans, LA	10/27/2021	07/06/2022	07/20/2022	19616	Wells Fargo Clearing Services LLC	ISC	2296303	Keith Alva Fontenot	LA	AdvisorLaw LLC	NO	NO
22-00100	Wilmington, DE	01/14/2022	07/14/2022	07/22/2022	6694	Raymond James Financial Services Incorporated	ISC	1024576	Frederick Jack Dawson	DE	FA Expungement	NO	NO
20-02678	Boston, MA	08/19/2020	06/01/2022	07/22/2022	8174	UBS Financial Services Incorporated	ISC	2286524	Brian Patrick Mulvey	MA	AdvisorLaw LLC	OB	NO
21-02845	New York, NY	11/15/2021	07/07/2022	07/22/2022	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2539153	Seth D. Marcus	NY	Kalberer LLP	NN	NO
21-02994	San Juan, PR	12/09/2021	07/21/2022	07/25/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	5606224	Jaime M. Musa	NC	McConnell Valdes LLC	NO	NO
21-02355	Houston, TX	09/17/2021	07/22/2022	07/25/2022	31194	RBC Capital Markets LLC	Dorsey & Whitney	841006	Randy Scott Nelson	TX	AdvisorLaw LLC	NO	NO
21-02828	New York, NY	11/11/2021	07/06/2022	07/27/2022	3978	Lincoln Financial Advisors Incorporated	ISC	1550332	Eric Stephen Schmidt	NY	AdvisorLaw LLC	NO	NO

1	G	Thomas A. Martin, Esq.	1
4	G	Michael J. Ahlstrom, Esq.	1
7	G	Patricia Horan Latham, Esq.	1
4	G/D	Louis Charles Schmitt, Jr.	1
7	G	Steven N. Ainbinder, Esq.	3
1	G	Robert B. Titus	1
1	G	Mark Allen Bilawsky	1
1	G	Simeon B. Reimonenq, Jr., Esq.	1
1	G	William Stephen Mailander	1
1	G	John Francis Markuns	2
5	G	Howard L. Sobel	1
1	G	Martin A. Feigenbaum, Esq.	1
1	G	Lynne M. Gomez, Esq.	1
1	G	Ira A. Auerbach	2

21-02412	New York, NY	12/22/2021	07/18/2022	07/28/2022	32664	Halcyon Cabot Partners Limited	No-show	1713921	Siddarth P. Reddy	CA	The Rosenfeld Law Office	UN	NO
20-01553	Atlanta, GA	05/18/2020	07/23/2020	07/29/2022	149777	Morgan Stanley	ISC	3174259	Thomas Andrew McDavid	GA	Bressler Amery & Ross	OB	NO
21-02919	Jacksonville, FL	11/24/2021	07/19/2022	08/01/2022	32444	First Allied Securities Incorporated	ISC	2956880	William Shane Hunt	FL	HLBS Law	NO	NO
20-03230	New York, NY	09/11/2020	04/02/2021	08/01/2022	24795; 6413	Joseph Gunnar & Company LLC; LPL Financial LLC	ISC	2796674	Ryan Christopher Faley	NY	Daley Law Group	NO	OB E
22-00987	Boca Raton, FL	05/06/2022	07/28/2022	08/02/2022	149777	Morgan Stanley	ISC	5709772	Trevor Alexander Fried	FL	Bressler Amery & Ross	NO	NO
21-02807	San Juan, PR	11/09/2021	07/28/2022	08/02/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	2180310	Angel M. Canabal	PR	McConnell Valdes LLC	NO	NO
22-00051	Chicago, IL	01/10/2022	07/27/2022	08/03/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2371154	Steven Scott LaPorta	IL	FA Expungement	NO	NO
21-02916	Des Moines, IA	11/29/2021	08/02/2022	08/04/2022	103717	NRP Financial Incorporated	No-show	4578790	Keith James Gredys	IA	AdvisorLaw LLC	NO	NO
21-02962	Cleveland, OH	12/03/2021	08/03/2022	08/05/2022	5685	Pruco Securities LLC	Reyes Kurson Ltd.	1212338	Jeffrey Jay Gollehon	NC	AdvisorLaw LLC	NN	NO
21-03059	Boca Raton, FL	12/17/2021	07/19/2022	08/05/2022	13572	Cetera Advisor Networks LLC	Winget Spadafora & Schwartzberg	2268259	Robert Brian Wolfe	SC	AdvisorLaw LLC	OB/NO	NO
21-02891	Los Angeles, CA	11/19/2021	07/26/2022	08/09/2022	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	3175815	Aric Jonathan Zamel	CA	Judex Law LLC	NO	NO
21-02763	Cincinnati, OH	11/03/2022	08/04/2022	08/09/2022	628	Fifth Third Securities Incorporated	Dinsmore & Shohl	4652408	Lisa Ann Murray	IN	AdvisorLaw LLC	OB	NO E
21-02877	Little Rock, AR	11/19/2021	08/02/2022	08/10/2022	15840	Walnut Street Securities Incorporated	ISC	U CRD#1335361	Christopher Charles Fess	TX	Law Office of Charles M. O'Rourke	UN	NO
22-00365	Houston, TX	02/18/2022	08/03/2022	08/10/2022	8174	UBS Financial Services Incorporated	ISC	4452169	Alexander Charles Ladage	TX	UBS AG	NO	NO
21-02813	Milwaukee, WI	11/10/2021	08/09/2022	08/15/2022	4; 19616	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	2685281	Shawn Longley	WI	AdvisorLaw LLC	OB/NO	NO
22-00063	Chicago, IL	01/11/2022	08/09/2022	08/16/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2371154	Steven Scott LaPorta	IL	FA Expungement	NO-D	NO
22-00054	New York, NY	01/10/2022	08/09/2022	08/17/2022	7569	National Securities Corporation	ISC	U CRD#4025263	Robert Nicholas Rotunno	NY	Warren Law Group	NO	NO

3	D	Dora M. Lassinger, Esq. - Chair; Howard D. Jacob, Esq.; Margarita Echevarria, Esq.	1
1	G	Michael J. Ahlstrom, Esq.	5
1	G	John P. Cullem, Esq.	1
3	G	Serge Krimnus	2
1	G	Kimberly A. Gilmour, Esq.	1
1	G	Martin A. Feigenbaum, Esq.	1
1	G	Philip J. Glick, Esq.	1
1	G	William M. Azkoul, JD; David J. Hase (Withdraw)	1
1	G	Carl E. Ver Beek, JD	1
2	G	Diane M. Perry, Esq.	1
2	G	Constance Ellen Boukidis - Chair; Gecole L. Harley; Lorraine Woodwark	1
1	G	Mark Alexander Sipper	1
4	D	Mary Elizabeth Skelnik - Chair; Robert L. Chisolm; William Stephen Lee	1
1	G	Robert C. Rice	1
2	G	Michael F. Jordan, Esq.	1
1	G	Lawrence W. Arness, Esq.	1
1	D	Ellyn S. Roth - Chair; Evdokia Sofos, Esq.; Seth T. Taube, Esq.	1

21-03037	Boca Raton, FL	12/15/2021	08/05/2022	08/18/2022	7569	National Securities Corporation	ISC	1700153	Barbara Robin Shaffer	FL	Shumaker Loop & Kendrick	NO	NO
21-03116	Des Moines, IA	12/29/2021	08/02/2022	08/19/2022	6363	Ameriprise Financial Services LLC	ISC	2630600	Brian Jacob Nikulski	IA	HLBS Law	OB/NO-D NN	NO
22-00189	Los Angeles, CA	01/28/2022	08/10/2022	08/22/2022	6413	LPL Financial LLC	ISC	2216040	Martin Jeffrey Lombrano	CA	Ghabai Law Group LLC	NO	NO
21-03078	San Diego, CA	12/21/2021	08/10/2022	08/23/2022	16668; 23224	Financial West Group; Madison Avenue Securities LLC	No-show (FW); Kob Law (MAS)	3255143	Tod Leighton Lenhoff	CA	Louviere Law Firm PA	NO	NO
22-00411	Los Angeles, CA	02/24/2022	08/08/2022	08/23/2022	249	Oppenheimer & Company Incorporated	ISC	1387390	Kenneth H. South	CA	The Law Offices of Patrick R. Mahoney	OB	NO
22-00298	New York, NY	02/09/2022	08/18/2022	08/24/2022	17412	Gould Ambrosion & Associates Limited	ISC	859012	Jay Allan Ambrosion	NY	AdvisorLaw LLC	NO	NO
22-00507	Philadelphia, PA	03/11/2022	08/16/2022	08/24/2022	20472	TIAA-CREF Individual & Institutional Services LLC	ISC	1649604 CRD#2926605	Ayad Amary	PA	Galvin Legal PLLC	NO	NO
22-00004	Omaha, NE	01/03/2022	08/16/2022	08/26/2022	250	Edward Jones	Quarles & Brady	4071401	Paula K. Deitering	FL; NE	AdvisorLaw LLC	OB	NO
21-02762	Jersey City, NJ	11/03/2021	08/23/2022	08/26/2022	463	Janney Montgomery Scott LLC	ISC	1339668	Stephen G. Powers	NY	Donovan & Rainie	NO	NO
21-02773	Albuquerque, NM	11/03/2021	08/16/2022	08/26/2022	30613; 5167	Investors Capital Corporation; NYLife Securities LLC	ISC (IC); Emry Murdoch LLC (NYLS)	2762071	Roberto Alexandro Blanco	TX	AdvisorLaw LLC	NO	NO
21-02790	New York, NY	11/05/2021	07/26/2022	08/31/2022	31194; 41282	RBC Capital Markets LLC; The Jeffrey Matthews Financial Group LLC	Greenberg Traurig LLC (RBC); ISC (TJMFG)	1542177	Anthony DeMaio	NJ	Jardim Meisner & Susser	NO	NO
21-03002	Wilmington, DE	12/09/2021	08/24/2022	09/01/2022	6413	LPL Financial LLC	ISC	2736605	Wayne David Wagner Jr.	NJ	AdvisorLaw LLC	OB	NO
21-02550	Dallas, TX	10/08/2021	05/18/2022	09/01/2022	7461; 3866	FSC Securities Corporation; KMS Financial Services Incorporated	ISC	802035	Drew Alan Springer, Sr.	TX	AdvisorLaw LLC	NO/NN	NO
21-03114	Seattle, WA	12/28/2021	08/31/2022	09/01/2022	13572	Cetera Advisor Networks LLC	ISC	U CRD#1308083	Gary Lee Meagher	WA	AdvisorLaw LLC	OB	NO
22-00445	New York, NY	03/01/2022	08/24/2022	09/02/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2955430	Christopher Thomas Farrell	CT	FA Expungement	NO	NO
21-03097	New York, NY	12/24/2021	07/19/2022	09/06/2022	46947	Silver Oak Securities Incorporated	ISC	1941908	Joel Johnson	CT	Stradley Ronon et al.	NO	NO

3	G	Kimberly A. Gilmour, Esq. - Chair; Rosemarie Ann Jannuzzi, Esq.; John S. Leech	1
3	G/D	Tracy L. Allen, Esq.	1
3	G	Erik R. Siering	1
3	G	Mark R. Lee	1
1	G	Steven H. Gourley, Esq. - Chair; Howard Clark Posner; Andrea Luise Halperin	1
2	G	Linda J. Baer, Esq.	1
1	G	Louis P. Wagman - Chair; Hiren B. Patel	1
1	G	Philip J. Glick, Esq.	1
1	G	Martin R. Cramer	1
2	G	Michael Lancaster Garcia	1
1	G	Brian John Gallagher	1
1	G	Linda J. Baer, Esq.	1
2	G	Thomas W. Allen	2
1	D	Katherine Hendricks, Esq.	1
2	G/D	Harrison Johnson	1
1	G	Keely D. Parr, Esq.	2

22-00101	New York, NY	01/14/2022	08/25/2022	09/06/2022	105108	First Republic Securities Company LLC	ISC	1024576 CRD#2247008	Joseph Luis Duarte	NY	Lax & Neville	NO	NO
22-00105	New York, NY	01/14/2022	08/23/2022	09/07/2022	104474	Sanford C Bernstein & Company LLC	Davis Wright Tremaine LLP	2230596	Kenneth A. Mayer	NJ	AdvisorLaw LLC	NO	NO
22-00031	Denver, CO	01/06/2022	08/11/2022	09/08/2022	120894	Geneos Wealth Management Incorporated	Kutak Rock LLP	1094557	Joseph Sylvester Sturniolo	CO	HLBS Law	OB	NO
22-00135	Hartford, CT	01/20/2022	09/06/2022	09/09/2022	149777	Morgan Stanley	ISC	3130116	Charles B. Crilly	CT	Judex Law LLC	NO	NO
22-00281	Los Angeles, CA	02/07/2022	09/07/2022	09/09/2022	8361	AGP/Alliance Global Partners	ISC	4056506	Gerald Lee Mars	FL	HLBS Law	NO	NO
22-00403	New York, NY	03/28/2022	09/07/2022	09/12/2022	32396	VectorGlobal WMG Incorporated	ISC	4668953	Monica Cleves	FL	Robert M. Bursky, Attorney-at-Law	NO	NO
22-00415	Los Angeles, CA	02/24/2022	08/30/2022	09/13/2022	249	Oppenheimer & Company Incorporated	ISC	1387390	Kenneth H. South	CA	The Law Offices of Patrick R. Mahoney	NO	NO
22-00331	Philadelphia, PA	02/11/2022	09/07/2022	09/13/2022	70	BCG Securities Incorporated	Winget Spadafora & Schwartzberg	5613533	Gerald Lee Preschutti	PA	Louviere Law Firm PA	OB/NO	NO
22-00416	Los Angeles, CA	02/24/2022	09/13/2022	09/15/2022	249	Oppenheimer & Company Incorporated	ISC	1387390	Kenneth H. South	CA	The Law Offices of Patrick R. Mahoney	NO	NO
22-00279	Indianapolis, IN	02/08/2022	09/07/2022	09/15/2022	115368	Parkland Securities LLC	Tadjedin Thomas & Engbloom Law Group LLP	2491757	David Earl McGill	IN	Gonser Law PC	NN	NO
21-01299	Dallas, TX	05/19/2021	07/19/2022	09/15/2022	104343	Colorado Financial Service Corporation	Lewis Roca et al.	6617847	Mark C. Creason	NV	Carr Butterfield LLP	NO	NO
22-00562	San Juan, PR	03/16/2022	09/08/2022	09/15/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2121621	William John Serralles	PR; FL	McConnell Valdes LLC	NO	NO
20-03234	Tampa, FL	09/14/2020	11/10/2021	09/15/2022	14892; 43413	J Gregory & Company Incorporated; Salomon Grey Financial Corporation	No-show	1950804	Raymond Walter Robert Borota II	TX	Farrar Law PLLC	NN	NO
22-00642	San Juan, PR	03/24/2022	09/13/2022	09/20/2022	41791	Santander Securities LLC	Pietrantonio Mendez Alvarez LLC	4032530	James Malcolm Ugobono	PR	McConnell Valdes LLC	NO	NO

3	G	Mary Julia O'Connell	1
2	G	Susan A. Romano	1
1	G	Anita Rae Shapiro, Esq.	1
1	G	Steven R. Rolnick, Esq. - Chair; Samuel Harrison Chorches, Esq.; John B. Dew	1
1	G	Joyce L. Hurley	1
1	G	Karen Isabel Bedrosian-Richardson - Chair; Miriam Goode; Brian S. Hamburger, Esq.	1
1	G	Neil S. Jasper - Chair; Sean Anthony Richardson	1
1	G	Louis P. Wagman	1
1	G	Erik R. Siering - Chair; Noel Harvey Applebaum; Daniel Farid Yasharel	1
1	G	Carl E. Ver Beek, JD - Chair; Robert David Epstein; David Joseph Remondini	1
1	G	Thomas W. Allen - Chair; Ross B. Russell, Esq.; Jan Glenn Valecka (fka C. Jan Bohannon)	2
7	G	Louis David Huss	1
3	G	Nicholas John Taldone, Esq.	3
4	G	Martin A. Feigenbaum, Esq.	1

21-02469	Pittsburgh, PA	09/29/2021	09/14/2022	09/21/2022	793; 249	Stifel Nicolaus & Company Incorporated; Oppenheimer & Company Incorporated	ISC	U CRD#2504584	Guy Deemer	PA	FA Expungement	UN	NO
22-00285	Dallas, TX	02/08/2022	08/24/2022	09/21/2022	13941	Cuna Brokerage Services Incorporated	Faegre Drinker et al.	U CRD#3045217	John Christopher Husby	TX	The Rosenfeld Law Office	UN	OB
21-02061	Atlanta, GA	08/10/2021	09/08/2022	09/22/2022	4	AG Edwards & Sons Incorporated	ISC	1817103	Sandra Pope Edwards	GA	AdvisorLaw LLC	OB	NO
22-00023	Los Angeles, CA	01/05/2022	09/20/2022	09/22/2022	137906	Sandlapper Securities LLC	No-show	6266415	Trawnegan Gall	TX	HLBS Law	NO	NO
22-00114	Birmingham, AL	01/17/2022	09/09/2022	09/23/2022	14819; 4173	Principal Securities Incorporated; OneAmerica Securities Incorporated	Maynard Cooper & Gale	736820	Gregory Hampton Crance	AL	AdvisorLaw LLC	NO	NO
22-00082	Helena, MT	01/12/2022	09/22/2022	09/26/2022	6413	LPL Financial LLC	ISC	2128422	Daniel Walter Pinkerton	ID	AdvisorLaw LLC	NO	NO
22-00529	Chicago, IL	03/15/2022	09/16/2022	09/26/2022	2881	Northwestern Mutual Investment Services LLC	ISC	4554745	Nathan R. Kinzinger	IL	Tomlinson & Shapiro	NO	NO
22-00585	Jersey City, NJ	03/18/2022		09/26/2022	29604; 2881	National Planning Corporation; Northwestern Mutual Investment Services LLC	Saretsky Hart et al. (NP); ISC (NMIS)	U CRD#2212700	Keith Joseph Steidle	NJ	AdvisorLaw LLC	UN	OB E
20-03103	New York, NY	09/09/2020	09/13/2022	09/26/2022	421	Woodstock Financial Group Incorporated	No-show	2009609	Stephen Mark Kiront	NY	Baritz & Colman	NO	NO
22-00143	Baltimore, MD	01/21/2022	09/20/2022	09/28/2022	7691; 124504	Merrill Lynch Pierce Fenner & Smith Incorporated; Glen Eagle Wealth LLC	Bressler Amery & Ross (MLPFS); Rubin Fortunato & Harbison (GEW)	2108146	Nilos Theodore Sakellariou	MD	AdvisorLaw LLC	NO	NO
22-00426	Jersey City, NJ	02/28/2022	09/22/2022	09/28/2022	25803	Triad Advisors LLC	ISC	5524262	Gregory Thomas Giardino	NJ	Ghabai Law Group LLC	NO	NO
22-00386	Orlando, FL	02/22/2022	09/13/2022	09/29/2022	13475	Summit Brokerage Services Incorporated	Winget Spadafora & Schwartzberg	2525309	Thomas Clyde Massebeau Jr.	FL	HLBS Law	OB/NO	NO
22-00239	Minneapolis, MN	02/03/2022	09/27/2022	09/29/2022	6694	Raymond James Financial Services Incorporated	ISC	2005805	Kevin Michael Mann	MN	AdvisorLaw LLC	NO	NO

1	D	John Joseph Neely - Chair; Richard W. Dissen, Esq.; David Michael Stabile	1
1	D	William M. Lamoreaux, Esq. - Chair; Michael Wayne Johnston; Linda B. Kelly	1
2	G	James C. Hoover, Esq.	1
2	G	Benjamin F. Breslauer - Chair; Noel Harvey Applebaum; Nicholas J. Caputo	2
3	G/D	Mollie Wagner Neal, Esq.	1
1	G	John J. Fitzpatrick, Jr., Esq.	1
1	G	Lynn Hirschfeld Brahin, Esq. - Chair; Leonard Arthur Nelson, Esq.; Mitchell Lee Marinello, Esq.	1
1	D	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	0
3	G	Anna M. Fanelli, Esq.	1
2	G	Thomas B. Corey, Esq.	1
1	G	Michael H. DuBoff, Esq.	1
3	G	Stuart K. Furman	1
2	G	Carl E. Ver Beek, JD	1

22-00631	Baltimore, MD	03/23/2022	09/26/2022	09/30/2022	17790	BT Alex Brown Incorporated aka BD Alex Brown LLC	No-show	1026793	Kevin Nolan	FL	Winget Spadafora & Schwartzberg	NN	NO
22-00289	Phoenix, AZ	02/08/2022	09/27/2022	10/04/2022	19616	Wells Fargo Clearing Services LLC	ISC	2971543	Juan Ley	AZ	Snell & Wilmer	NO-D	NO
22-00171	New York, NY	01/26/2022	09/27/2022	10/06/2022	7569; 39781	National Securities Corporation; Eastbrook Capital Group LLC	ISC	2273334	Stuart Leighton Updegrave	CT	Judex Law LLC	NO	NO
22-00456	Hartford, CT	03/03/2022	09/19/2022	10/06/2022	46947	Silver Oaks Securities Incorporated	ISC	4799191	Eric Hogarth	CT	Stradley Ronon et al.	NO	NO
22-00627	Boca Raton, FL	03/23/2022	09/27/2022	10/06/2022	19616	Wells Fargo Clearing Services LLC	ISC	1785738	Angelo Thomas Kafkes	IL	Stein & Stein	NO	NO
22-00760	San Juan, PR	04/06/2022	09/30/2022	10/06/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2006959	Frank Julio Carrasco	PR	McConnell Valdes LLC	NO	NO
22-01139	Boca Raton, FL	05/24/2022	10/05/2022	10/10/2022	705	Raymond James & Associates Incorporated	ISC	19753	Peter Leslie Bermont	FL	Guerra King PA	NO	NO
22-00648	New York, NY	03/24/2022	10/04/2022	10/11/2022	79	JP Morgan Securities LLC	Duane Morris LLP	2534260	David Loeb	FL	HLBS Law	NO	NO
22-00708	Jacksonville, FL	03/31/2022	10/07/2022	10/12/2022	6413	LPL Financial LLC	ISC	2158191	Travis Stanley Barnes Jr.	FL	Ghabai Law Group LLC	NO	NO
21-01661	New York, NY	07/01/2021	09/20/2022	10/13/2022	41791	Santander Securities LLC	Bressler Amery & Ross U CRD#4762644		Joseph Pietrykowski	NY	Todd A. Zuckerbrod PA	UN	OB
22-00398	Los Angeles, CA	02/23/2022	09/29/2022	10/14/2022	114473	World Group Securities Incorporated	ISC	4817521	Michael Anthony Valiente	CA	HLBS Law	NO	NO
22-00356	Boca Raton, FL	02/16/2022	10/04/2022	10/14/2022	7556	Morgan Stanley DW Incorporated	ISC	2495441; 2314120	Adrian Lorenzo; David Louis Burg	FL; FL	Louviere Law Firm PA	NO	NO
22-00543	Louisville, KY	03/16/2022	10/06/2022	10/14/2022	6413	LPL Financial LLC	ISC	3025608	Joseph Gary Smith	KY	AdvisorLaw LLC	NO	NO
22-00144	Dallas, TX	01/24/2022	10/11/2022	10/14/2022	10409	MML Investors Services LLC	Stevens & Lee	1691581; 6749793	Holly Brown Carroccio; Elaine Roumillat	TX; TX	Bell Nunnally & Martin	NO	NO
22-00798	Los Angeles, CA	04/12/2022	10/11/2022	10/17/2022	42046	Kestra Investment Services LLC	ISC	2913769	Kurt Charles Jackson	CA	D'Amura & Zaidman	OB	NO

1	G	Richard E. Lauziere, CPA - Chair; Jay B. Bachar; Patricia M. Maher, JD	1
1	G	Louis M. Parker, Esq. - Chair; Carrie Lynette Thompson Jones, Esq.; Adam Dylan Wick	1
2	G	Richard W. Cutler, Esq. - Chair; John Franklin Udochi; Adam J. Ciffone	1
1	G	David Adams Reif	1
1	G	Edward R. Niederriter, Esq. - Chair; Robert G. Falbisaner; Stephen Kahane, CPA	1
1	G	Martin A. Feigenbaum, Esq.	1
1	G	Mark C. Perry, Esq. - Chair; David P. Slater, Esq.; Steven M. Greenbaum, Esq.	1
1	G	Howard D. Jacob, Esq.	1
1	G	Richard S. Zaifert, Esq.	1
3	D	Richard W. Cutler, Esq. - Chair; Linda Ashley, Esq.; Jerome Francis Cangialosi	8
1	G	Joyce L. Hurley	1
2	G	Edward R. Niederriter, Esq.	1
1	G	James W. (Jim) Geiger	1
2	G	Andrea U. Calve, Esq. - Chair; Scott F. Stains, Esq.; Jeffrey Richard Chiappetta	1
1	G	Milton N. Gross	1

22-00516	Tampa, FL	03/12/2022	10/10/2022	10/17/2022	6363	Ameriprise Financial Services LLC	ISC	2504328	David Ross Thompson	FL	Galvin Legal PLLC	UN	NO
22-00322	Baltimore, MD	02/11/2022	10/06/2022	10/18/2022	11025	Wells Fargo Advisors Financial Network LLC	ISC	2516352	Marat Kushner	MD	AdvisorLaw LLC	NO	NO
22-00327	New York, NY	02/11/2022	09/27/2022	10/18/2022	8174	UBS Financial Services Incorporated	ISC	2754292	Scott M. Rosenberg	NY	Riker Danzig et al.	NO	NO
20-02412	New York, NY	07/30/2020	10/10/2022	10/20/2022	8174	UBS Financial Services Incorporated	ISC	1091826	Richard Vincent	FL	Sichenzia Ross Ference LLP	NO/NN	NO
21-02239	Atlanta, GA	08/31/2021	10/03/2022	10/24/2022	43285	M Holdings Securities Incorporated	Tadjedin Thomas & Engbloom Law Group LLP	4620202	Walter Lee Helms	GA	AdvisorLaw LLC	UN	NO
22-00502	Raleigh, NC	03/10/2022	10/04/2022	10/24/2022	6363	Ameriprise Financial Services LLC	ISC	3156997	Carman Theodore Hicks II	NC	Judex Law LLC	OB/NO	NO
21-01972	Cleveland, OH	09/07/2021	10/19/2022	10/25/2022	10299	Cetera Advisors LLC	ISC	1742952	Jess W. Hurst II	OH	Reminger Co. LPA	NO	NO
22-00427	New York, NY	02/28/2022	10/20/2022	10/26/2022	2002	Gilder Gagnon Howe & Company LLC	Schulte Roth & Zabel	1809872	Brian Joseph Gagnon	NJ	AdvisorLaw LLC	NO	NO
22-00256	Portland, OR	02/04/2022	09/20/2022	10/28/2022	6363; 2882	Ameriprise Financial Services LLC; Voya Financial Advisors Incorporated	ISC (AFS); Winget Spadafora & Schwartzberg (VFA)	1295057	Douglas Karl Everett	OR	AdvisorLaw LLC	NO/NN	NO
22-00454	San Juan, PR	03/03/2022	10/18/2022	10/28/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	1985568	Carlos Verner Ubinas Taylor	PR	O'Neill & Borges	NO	NO
22-00173	New York, NY	01/26/2022	09/28/2022	10/31/2022	7569; 39781	National Securities Corporation; Eastbrook Capital Group LLC	ISC	2273334	Stuart Leighton Updegrove	CT	Judex Law LLC	NO	NO
22-00786	New York, NY	04/08/2022	09/07/2022	10/31/2022	31194	RBC Capital Markets LLC	Dorsey & Whitney	U CRD#1222751	Robert Francis Tansey	NY	Davis Wright Tremaine LLP	OB	NO
22-00112	Hartford, CT	01/17/2022	10/05/2022	11/01/2022	13318	Securities Service Network LLC	ISC	2000926	Thomas Joseph Hine	CT	AdvisorLaw LLC	NO/NN	NO
22-00224	Charlotte, NC	02/01/2022	09/20/2022	11/01/2022	6694	Raymond James Financial Services Incorporated	ISC	1386092	Peter Harry Shanahan	NC	Lax & Neville	NO	NO
21-01929	Los Angeles, CA	07/28/2021	09/14/2022	11/02/2022	16361; 149777	Banc of America Investment Services Incorporated; Morgan Stanley	Buchanan Ingersoll & Rooney (BAIS); Keesal Young & Logan (MSSB)	U CRD#1396531	Richard L. Sholty Jr.	CA	HLBS Law	UN	OB/NO E

2	D	John P. Cullem, Esq. - Chair; Philip L. Manczak; Stuart Sinai, Esq.	1
1	G	Laura A. Kaster	1
1	G	Mary P. Bass - Chair; Gerry E. Feinberg, Esq.; Kathleen Cawley	1
5	G	Joan M. Traub, Esq.	1
1	D	Mollie Wagner Neal, Esq.	1
1	G	Richard James Igou - Chair; S.M. Kernodle-Hodges; Charles Robert Moore	1
2	G/D	Lynn Hirschfeld Brahin, Esq. - Chair; David Arnold; Scott C. Matasar	1
1	G	Howard D. Jacob, Esq.	1
4	G/D	Katherine Hendricks, Esq.	1
5	G	Martin A. Feigenbaum, Esq.	1
2	G	Eugene G.P. Byrne, Esq. - Chair; Mark Joseph Hyland	2
1	D	Michele S. Riley	2
3	G/D	Catherine Stewart, Esq.	1
3	G	Richard James Igou	1
3	D	Edith N. Dinneen, Esq. - Chair; David Harvey Failer; Jeffrey E. Skogsbergh, Esq.	1

22-00481	New York, NY	03/08/2022	11/01/2022	11/03/2022	2002	Gilder Gagnon Howe & Company LLC	Schulte Roth & Zabel	216440	Neil Joseph Gagnon	NJ	AdvisorLaw LLC	NO	NO
22-00444	San Juan, PR	03/01/2022	10/26/2022	11/04/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	1301785	Doel Rafael Garcia Romero	PR	O'Neill & Borges	NO	NO
22-00414	Los Angeles, CA	02/24/2022	11/03/2022	11/07/2022	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1387390	Kenneth H. South	CA	The Law Offices of Patrick R. Mahoney	NO	NO
21-02393	Denver, CO	09/21/2021	10/20/2022	11/07/2022	79	JP Morgan Securities LLC	Keesal Young & Logan	6217636	Jerry Mathew	CO	Henneman Rau et al.	NO	NO
22-00249	Portland, OR	02/03/2022	11/04/2022	11/07/2022	7600	Dain Rauscher Incorporated	Dorsey & Whitney	1133893	Kyle Lynn Dunning	ID	AdvisorLaw LLC	NO	NO
21-01761	Chicago, IL	07/18/2021	07/19/2022	11/07/2022	5611	Insight Securities Incorporated	ISC	2148751	Carlos Javier Legaspy	IL	The Iavarone Law Firm	NO	NO
22-00556	Raleigh, NC	03/16/2022	10/28/2022	11/07/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4636537	Michael Patti	NC	AdvisorLaw LLC	NO	NO
22-01071	San Francisco, CA	05/17/2022	11/07/2022	11/08/2022	19616	Wells Fargo Clearing Services LLC	ISC	2360057	Frank Antonio Gavidia	CA	HLBS Law	NN	NO
22-00888	Hartford, CT	04/22/2022	10/26/2022	11/08/2022	6413	LPL Financial LLC	ISC	4148333	Josh W. Oliver	CT	Cohen & Wolf	NO	NO
22-01726	Atlanta, GA	08/01/2022	11/02/2022	11/08/2022	8174	UBS Financial Services Incorporated	ISC	4858405	Brent Lane	GA	Bressler Amery & Ross	NO	NO
21-02638	New York, NY	10/19/2021	11/07/2022	11/08/2022	149777	Morgan Stanley	ISC	2651076	Jeffrey Filone	NY	Ellenoff Grossman & Schole	NO	NO
22-01269	San Juan, PR	06/07/2022	11/08/2022	11/08/2022	13042	UBS Financial Services Incorporated of Puerto Rico	ISC	4552348	Ramon E. Domenech	PR	McConnell Valdes LLC	NO	NO
22-00321	Memphis, TN	02/11/2022	10/27/2022	11/09/2022	7461; 14251; 133763	FSC Securities Corporation; MSI Financial Services Incorporated; Sagepoint Financial Incorporated	ISC (FSCS); Martin Harris, Harris & Affiliates Ltd. (MSIFS)	1054714	Larry Jefferson Tolbert	TN	AdvisorLaw LLC	NO	NO
22-01364	New York, NY	06/17/2022	11/09/2022	11/11/2022	79	JP Morgan Securities LLC	ISC	4229150	Frank David Metzke	NY	Duane Morris LLP	NO	NO
22-00109	New York, NY	01/17/2022	08/30/2022	11/15/2022	104065	Newbridge Securities Corporation	Kaufman Dolowich & Voluck LLP	4814368	Frank Louis Avallone	CT	Judex Law LLC	NO/NN	NO
22-00940	Chicago, IL	04/29/2022	11/08/2022	11/15/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5341073	Anthony V. Vito	IL	FA Expungement	NO	NO

1	G	Gerald M. Levine	1
5	G	Martin A. Feigenbaum, Esq.	1
1	G	Anita Rae Shapiro, Esq. - Chair; Michael D. Harrison, Esq.; Mario H. Metzger	1
1	G	Gregory G. Gocek - Chair; Ronald G. Guida; Patricia M. Bottoms	1
1	G	Katherine Hendricks, Esq.	1
4	G	Lawrence W. Arness, Esq. - Chair; Marilee Roberg, JD; Seymour Andrew Newman	3
2	G	Michael J. Ahlstrom, Esq.	1
1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
1	G	David Adams Reif	1
1	G	Michael J. Ahlstrom, Esq.	1
1	G	Clive I. Morrisk - Chair; Pierre F. de Ravel d'Esclapon; Antoinette E. La Bella	1
1	G	Christopher J. Klein, Esq.	1
1	G	Michael J. Ahlstrom, Esq.	1
1	G	Morton S. Bunis, Esq.	1
2	G	Roger M. Deitz, Esq. - Chair; Mary-Jo Marchisello, Esq.; Jennifer Lupo, JD	1
1	G	Arne R. Rode, Esq.	1

22-00672	Pittsburgh, PA	03/29/2022	11/03/2022	11/16/2022	5685	Pruco Securities LLC	Reyes Kurson Ltd.	U CRD#2181208	Julian Adam Marturano	AZ; PA	FA Expungement	UN	NO
22-00764	Hartford, CT	04/06/2022	11/07/2022	11/16/2022	35723	Harvest Capital LLC	ISC	1728073	Ralph A. Giansanti Jr.	FL	Cohen & Wolf	NO	NO
22-00981	San Juan, PR	06/02/2022	11/10/2022	11/16/2022	8174	UBS Financial Services Incorporated	ISC	4648278	Manuel Francisco Melendez	PR	McConnell Valdes LLC	NO	NO
22-00058	Los Angeles, CA	01/13/2022	10/20/2022	11/17/2022	7691; 8174	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (MLPFS); John Murphy & Associates (UBS)	1636264	Bhadresh Shah	CA	The Rosenfeld Law Office	NO	NO
22-00657	Las Vegas, NV	03/25/2022	09/28/2022	11/17/2022	6363	Ameriprise Financial Services Incorporated	ISC	6244760	Brent Walter Ure	NV	Galvin Legal PLLC	NO	NO
22-02286	Jersey City, NJ	10/06/2022	11/16/2022	11/18/2022	25766	Hennion & Walsh Incorporated	ISC	U CRD#2048378	William Hennion	NJ	Hennion & Walsh Incorporated	NO	NO
22-01296	San Francisco, CA	06/09/2022	11/15/2022	11/21/2022	8174	UBS Financial Services Incorporated	ISC	2524067	Kevin Michael Sanchez	CA	RikerDanzig LLP	NO	NO
22-00818	New York, NY	04/14/2022	11/15/2022	11/21/2022	133763	Sagepoint Financial Incorporated	ISC	3222439	Christopher R. Bice	NC	Winget Spadafora & Schwartzberg	OB/NO	NO
22-02288	Jersey City, NJ	10/06/2022	11/17/2022	11/21/2022	25766	Hennion & Walsh Incorporated	ISC	3093506	Joseph Ismael Rodriguez	NJ	Hennion & Walsh Incorporated	NO	NO
22-00124	Portland, OR	01/19/2022	11/01/2022	11/21/2022	165828; 421	Lion Street Financial LLC; Woodbury Financial Services Incorporated	ISC	2847591	Tim Daniel Clairmont	OR	The Rosenfeld Law Office	NO	NO
22-01368	Houston, TX	06/17/2022	11/07/2022	11/25/2022	23131	Royal Alliance Associates Incorporated	ISC	2343868	Jennifer Lynn Scroggins	TX	D'Amura & Zaidman	OB	NO
22-00174	New York, NY	01/26/2022	11/17/2022	11/28/2022	7569; 39781	National Securities Corporation; Eastbrook Capital Group LLC	ISC	2672274	Eric Robert Hilderbrand	CT	Judex Law LLC	NO	NO
22-00917	Boca Raton, FL	04/27/2022	11/22/2022	11/28/2022	11025	Wells Fargo Advisors Financial Network	ISC	2932226	Yan Binder	FL	Shumaker Loop & Kendrick	NO	NO
22-01867	Omaha, NE	08/18/2022	11/22/2022	11/29/2022	8174	UBS Financial Services Incorporated	ISC	2434370	Jason Matthew Dworak	NE	Bressler Amery & Ross	NO/NN	NO

1	D	John W. Eichleay, Jr., Esq.	1
3	G	John J. Mager, Esq. - Chair; Jud Perkins; Richard Hallett Nichol	1
1	G	Martin A. Feigenbaum, Esq.	1
2	G	Adam Michael Porter - Chair; Robert Rosen; Yvonne YingFan Yiu	1
1	G	Louis M. Parker, Esq. - Chair; Ann H. Nevers; Nancy Lynn Boyd	2
1	D	Sam Antar, Esq.	1
1	G	Daniel M. Yamshon, Esq.	1
2	G	Linda J. Baer, Esq. - Chair; Denise Campbell Sagua, Esq.; Judith E. Gross, Esq.	1
1	G	Linda J. Baer, Esq.	1
3	G/D	James E. Bartels - Chair; Reuel Kenneth Fish; Lisa Vioni	1
1	G	G. Maynard Green, JD	2
1	G	Ellyn S. Roth - Chair; Lynne M. Reid-McQueen, Esq.; Raymond Xerri	1
1	G	Robert Lawrence Ostrov - Chair; Stuart Bruce Klein, Esq.; Robert G. Geeseman, Esq.	1
2	G	Gregory G. Gocek	1

22-00299	Washington, DC	02/09/2022	10/27/2022	11/30/2022	17499	Truist Investment Services Incorporated fka SunTrust Investment Services Incorporated	Gray Robinson PA	4276472	Tyrone A. Chaplin	MD	Louviere Law Firm PA	UN	NO
22-00768	Boca Raton, FL	04/07/2022	11/22/2022	12/02/2022	19616	Wells Fargo Clearing Services LLC	ISC	4950691	Fernando Panizzutti	FL	Law Offices of Jonathan E. Neuman	NO	NO
22-01395	Columbia, SC	06/22/2022	11/30/2022	12/02/2022	2882	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	2456312	Samuel Ray Head	SC	Murphy & Anderson	NO	NO
22-00418	Tampa, FL	02/24/2022	11/17/2022	12/05/2022	12984; 124583	Invest Financial Corporation; JW Cole Financial Incorporated	Saretsky Hart et al. (IF); Sichenzia Ross Ference LLP (JWCF)	4230825	Jeffrey Brian Golubeff	FL	HLBS Law	NO	NO
22-02135	Jersey City, NJ	09/19/2022	11/29/2022	12/05/2022	8174	UBS Financial Services Incorporated	ISC	5348427	Harrison C. Hoyes	NJ	Bressler Amery & Ross	NO	NO
21-02947	New York, NY	12/01/2021	12/02/2022	12/05/2022	149777	Morgan Stanley	ISC	1198456	Joseph Andrew Scotto	NY	Winget Spadafora & Schwartzberg	NO	NO
22-00868	Birmingham, AL	04/21/2022	12/01/2022	12/06/2022	46214	NEXT Financial Group Incorporated	ISC	2395948	Stephen Joe Williams	AL	The Rosenfeld Law Office	NO	NO
22-00947	Kansas City, MO	04/29/2022	12/06/2022	12/07/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1992187	Thomas Henry Freeman	KS	AdvisorLaw LLC	NO	NO
22-01013	Philadelphia, PA	05/10/2022	12/01/2022	12/07/2022	7246	Summit Financial Services Group Incorporated	No-show	1911418	James Leo	NJ	AdvisorLaw LLC	NO/NN	NO
22-01250	Boca Raton, FL	06/03/2022	12/05/2022	12/08/2022	8032	Commonwealth Financial Network	No-show	2284738	Richard Stephen Grund	FL	FA Expungement	NO	NO
22-01435	Orlando, FL	06/24/2022	11/30/2022	12/08/2022	2225	SII Investments Incorporated	Saretsky Hart et al.	5078232	Steven David Kurland	FL	Winget Spadafora & Schwartzberg	NO	NO
22-00738	Omaha, NE	04/05/2022	11/29/2022	12/08/2022	10111	PFS Investments Incorporated	No-show	1350071	Anthony Arthur Kayser	SD	AdvisorLaw LLC	NO	NO
22-00827	Los Angeles, CA	04/18/2022	12/06/2022	12/09/2022	19616	Wells Fargo Clearing Services LLC	ISC	2977095	Sydney Walker IV	CA	FA Expungement	NO	NO
22-01069	Detroit, MI	05/18/2022	11/14/2022	12/09/2022	8174	UBS Financial Services Incorporated	John Murphy & Associates	2470163	Karl Eric Schwartz	MI	Saretsky Hart et al.	NO	NO
22-02294	Jersey City, NJ	10/07/2022	11/30/2022	12/09/2022	25766	Hennion & Walsh Incorporated	ISC	4428102	John Tsoukalas	NJ	Hennion & Walsh Incorporated	NO	NO
22-01045	Reno, NV	05/13/2022	12/09/2022	12/12/2022	18272	Allstate Financial Services LLC	Reyes Kurson Ltd.	5910732	Robert Elias Sorensen	CA	FA Expungement	NO	NO

1	D	Kelli J. Jareaux, Esq.	1
1	G	Christopher J. Klein, Esq. - Chair; Richard William Barry; Ronald David Katz	1
3	G/D	Harvey R. Linder, Esq. - Chair; Larry Kenneth Lott; Christopher Cecil Lamb	1
2	G	John P. Cullem Esq.	1
1	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1
1	G	Harvey Barrison, Esq. - Chair; John Warner Lowe, Jr.; Jeffrey P. Bachmann	1
7	G	Harvey R. Linder, Esq. - Chair; Cynthia Lashon May, Esq.; Nathan Allen Collins	1
1	G	David A. Schuler	1
2	G	Louis P. Wagman - Chair; Joseph J. Dougherty, JD; John T. Hausladen	1
2	G	Layne Verebay, Esq. - Chair; Eric Mealus	1
1	G	Stuart K. Furman - Chair; Catherine Harper; Gregory Scott Knight	1
2	G	Philip J. Glick, Esq.	1
1	G	Erik R. Siering	1
1	G	Tracy L. Allen, Esq.	1
1	G	Linda J. Baer, Esq.	1
1	G	William Michael Samsel	1

22-00796	Manchester, NH	04/11/2022	12/08/2022	12/13/2022	10409; 5167	MML Investors Services LLC; NYLife Securities LLC	Stevens & Lee (MMLIS); Emry Murdoch LLC (NYLS)	U CRD#5364724	Daniel Muskat	NH	Louviere Law Firm PA	NO	NO
22-00284	Portland, OR	02/07/2022	11/07/2022	12/13/2022	7717; 18387	Independent Financial Group LLC; Thrivent Investment Management Incorporated	ISC (IFG); Bryan Cave et al. (TIM)	1868447	Gerhard Frederick Heuer	OR	The Rosenfeld Law Office	NO/NN	NO
22-00155	Phoenix, AZ	01/24/2022	12/08/2022	12/14/2022	665; 7471	Piper Sandler & Company; Prudential Equity Group LLC	ISC (PS); Reyes Kurson Ltd. (PEG)	U CRD#2246403	Michael Kenneth Self	AZ	The Rosenfeld Law Office	UN	NO
20-00892	Los Angeles, CA	03/17/2020	12/06/2022	12/14/2022	14667	Brookstreet Securities Corporation	No-show	2708820	Travis Allen	CA	HLBS Law	UN	NO
22-00297	Los Angeles, CA	02/02/2022	11/21/2022	12/14/2022		None.	Customers	5935993	Justin Charles Lowy	CA	Jones Bell et al.	NO	NO
22-00823	Nashville, TN	04/15/2022	12/07/2022	12/14/2022	5435; 13318; 46947	American General Equity Services Corporation; Securities Service Network LLC; Silver Oak Securities Incorporated	Shook Hardy & Bacon (AGE); ISC (SNN & SOS)	4032305	Anthony Eugene Cosey	TN	AdvisorLaw LLC	NO	NO
22-00780	Boca Raton, FL	04/08/2022	12/13/2022	12/15/2022	7569	National Securities Corporation	ISC	4581807	Matthew Scott Harris	FL	HLBS Law	NO	NO
22-01169	Boca Raton, FL	05/26/2022	12/09/2022	12/15/2022	19616	Wells Fargo Clearing Services LLC	ISC	4578025	Justin R. Apakian	FL	HLBS Law	NO-D	NO
22-00505	Louisville, KY	03/11/2022	10/18/2022	12/16/2022	16164; 103857	Transamerica Financial Advisors Incorporated; USA Financial Securities Corporation	ISC	1649604	Bradley Scott Ford	IN	AdvisorLaw LLC	NO/NN	NO
22-00342	Dallas, TX	02/21/2022	11/09/2022	12/16/2022	8392; 15699; 14503	Rushmore Securities Corporation; EDI Financial Incorporated; VSR Financial Services Incorporated	ISC	U CRD#1311728	Bobby Glenn James	TX	AdvisorLaw LLC	NO	NO
22-00560	Phoenix, AZ	03/16/2022	11/10/2022	12/19/2022	137115	BMO Harris Financial Advisors Incorporated	Godfrey & Kahn	5183259	Erin A. Daniels	AZ, OH	AdvisorLaw LLC	NO	NO

3	D	Edward W. Morris, Jr., Esq.	1
6	G/D	David William Hickman, JD - Chair; Eric A. LaBrant; Joseph L. Mangan	1
8	D	Richard Kent Mahrle - Chair; Deana S. Peck; Matthew G. McGinnis	1
1	D	Joyce L. Hurley	1
1	G	Robert D. Sussin, Esq. - Chair; Joyce L. Hurley; Karen J. Burneff	1
2	G	Harvey R. Linder, Esq.	1
1	G	Edward R. Niederriter, Esq.	1
1	G	Monica I. Salis, Esq.	1
7	G/D	Amelia Franklin Adams, Esq.	1
2	D	Frances Johnson-Wright, Esq. - Chair; Franklin Lewis Broyles	1
1	G	Floyd Gerry Hoffman	1

22-00291	Los Angeles, CA	02/08/2022	12/08/2022	12/19/2022	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1295255	Kerry M. Moy	CA	HLBS Law	NO/NN	NO
22-00824	Los Angeles, CA	04/15/2022	12/13/2022	12/19/2022	14068; 2882	Pension Planners Securities Incorporated; Voya Financial Advisors Incorporated	No-show (PPS); Winget Spadafora & Schwartzberg (VFA)	2448364	William Lester Krebs	GA	HLBS Law	NO UN	NO
22-00242	Syracuse, NY	02/08/2022	11/10/2022	12/19/2022	23131	Royal Alliance Associates Incorporated	ISC	722787	Gregory B. McLean	NY	Finer & Fanelli	NO	NO
22-00407	Phoenix, AZ	02/24/2022	12/12/2022	12/20/2022	6627	Equitable Advisors LLC	ISC	5904492	Shannon Nicole Larson	AZ	Tiffany & Bosco	NO	NO
22-01402	Tampa, FL	06/22/2022	12/15/2022	12/20/2022	705	Raymond James & Associates Incorporated	ISC	4417516	Damien F. Bertucelli	FL	Guerra King PA	OB	NO
22-01249	Philadelphia, PA	06/03/2022	12/12/2022	12/20/2022	13572	Cetera Advisor Networks LLC	ISC	731732	Stanley Ira Cooper	NJ	Winget Spadafora & Schwartzberg	NO	NO
22-01073	New York, NY	05/17/2022	12/16/2022	12/20/2022	7569	National Securities Corporation	ISC	5280293	Kunal Arora	NY	Carmel Milazzo & Feil LLP	NO	NO
22-00723	Pittsburgh, PA	04/04/2022	12/13/2022	12/22/2022	6627; 421	AXA Advisors LLC real party in interest Equitable Advisors LLC; Woodbury Financial Services Incorporated	ISC	2181208	Julian Adam Marturano	AZ; PA	FA Expungement	NO	NO E
22-00531	Reno, NV	03/14/2022	12/20/2022	12/22/2022	6413	LPL Financial LLC	ISC	1852661	Derrick Smith Andrews	CA	HLBS Law	NO	NO
22-00937	San Juan, PR	04/28/2022	12/15/2022	12/22/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	2096091	Carlos Arturo Pou	FL	McConnell Valdes LLC	NO	NO
22-02260	Omaha, NE	10/04/2022	12/16/2022	12/22/2022	8174	UBS Financial Services Incorporated	ISC	852878	William Burton Shreve	NE	Bressler Amery & Ross	NO	NO
22-00938	New York, NY	04/28/2022	12/14/2022	12/27/2022	3227; 35476	Josephthal & Company Incorporated; Nichols Safina Lerner & Company Incorporated	No-show	2102285	Steven Jay Maurer	FL	AdvisorLaw LLC	NO	NO

4	G/D	Joyce L. Hurley	1
4	G/D	Milton N. Gross - Chair; Cherie S. Lewis; Michael W. Burnett, PhD, CFA	1
2	G	Ira A. Auerbach	1
1	G	W. Michael Kelley, Esq. - Chair; Virginia H. Wertz, RHU; Patricia Diane Muse (fka Diane Muse)	1
2	G	Karimu F. Hill-Harvey, Esq. - Chair; Richard R. Logsdon, Esq.; Roger G. Young	1
1	G	James W. (Jim) Geiger - Chair; Thomas R. Nathan; Alan J. Blocher	1
1	G	Thomas Matthew Madden - Chair; Eva H. Posman, Esq.; Herbert N. Fishman	1
4	G/D	Douglas M. Branson, LLM	1
2	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
1	G	Elena G. Rodriguez	1
2	G/D	Susan L. Walker, Esq.	1
2	G	Veronica Ann Williams	1

19-03035	New York, NY	10/08/2019	05/02/2022	12/27/2022	7784; 288590	Fidelity Brokerage Services LLC; Fidelity Personal and Workplace Advisors	Morgan Lewis & Bockius (FBS); No-show (FP&W)	4169548	Ryan Sanghak Lee	NJ	Landsman Saldinger Carroll PLLC	NO	OB
22-01286	San Juan, PR	06/09/2022	12/20/2022	12/27/2022	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	4313868	Ricardo Eboli-Kodesh	PR	McConnell Valdes LLC	NO	NO
21-02474	Los Angeles, CA	09/28/2021	11/18/2022	12/29/2022	250	Edward Jones	Keesal Young & Logan	6334674	Zhe Feng Zhang	CA	Law Offices of Montgomery G. Griffin	NO	NO
22-01397	Albany, NY	06/22/2022	12/21/2022	12/29/2022	35747	Purshe Kaplan Sterling Investments Incorporated	ISC	2379172	Lawrence Michael Natale	NY	Lax & Neville	NO	NO
22-00088	Los Angeles, CA	01/13/2022	12/06/2022	01/03/2023	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2636180	Bernard Gustavo Reina	CA	Gonser Law PC	NO	NO
22-00388	Orlando, FL	02/22/2022	10/11/2022	01/05/2023	32444	First Allied Securities Incorporated	ISC	4256666	Andrew Raymond Scheirer	FL	HLBS Law	NO	NO
22-00514	Boca Raton, FL	03/11/2022	01/04/2023	01/09/2023	33832; 11025; 7569	JWGenesis Securities Incorporated; Wells Fargo Advisors Financial Network LLC; National Securities Corporation	ISC	2213888	Eric Lee Lyon	FL	HLBS Law	NO/NN	NO
22-00740	Cheyenne, WY	04/04/2022	01/04/2023	01/09/2023	31194	RBC Capital Markets LLC	Dorsey & Whitney	1768838	Edwin Clifton Hodder	WY	AdvisorLaw LLC	NN	NO
22-00412	Los Angeles, CA	02/24/2022	12/19/2022	01/10/2023	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1387390	Kenneth H. South	CA	The Law Offices of Patrick R. Mahoney	NO	NO
22-01659	Norfolk, VA	07/25/2022	01/05/2023	01/11/2023	6694	Raymond James Financial Services Incorporated	ISC	5681782	Margaret Newell Wiley	VA	Holcomb + Ward LLP	UN	NO
22-01812	Boca Raton, FL	08/11/2022	01/05/2023	01/13/2023	11025	Wells Fargo Advisors Financial Network LLC	ISC	1549351	Stuart Craig Chamberlin	FL	None	UN	NO
22-01035	Dallas, TX	05/12/2022	01/10/2023	01/13/2023	149777; 7471	Morgan Stanley Smith Barney LLC; Prudential Equity Group LLC	ISC (MSSB); Reyes Kurson Ltd. (PEG)	1087513	William Joseph Sammons	TX	Berry Odom LLP	NO NO-D	NO

1	G	Jay Alan Kranis - Chair; Howard W. Hirschhorn; William Travis	19
22	G/W	Gerald Silverman, Esq.	1
1	G	Kirtley M. Thiesmeyer, Esq. - Chair; Jonathan D. Gereige; Steve S. Baghoomian, Esq.	1
2	G	Stuart M. Schwartz, Esq.	1
3	G	Steven H. Gourley, Esq. - Chair; Robert E. Jenks; Zygmunt Jacob Boxer	1
4	G/D	Gerald Thomas Harper	1
9	G	Louis David Huss	1
1	G	Daniel M. Yamshon, Esq.	1
1	G	Anita Rae Shapiro, Esq. - Chair; Ronald L. Cameron; Blaine Smith	1
1	D	Michael J. Ahlstrom, Esq. - Chair; John D. Mattingly, JD; Edward R. Hipp, III	1
1	D	John B. Sochacki - Chair; Edward Alexander Jaffe; Bart Samuel Cohodas	1
2	G	Andrea U. Calve, Esq.	1

22-01316	Houston, TX	06/14/2022	01/11/2023	01/13/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	6507487	David Andrew Smith	TX	AdvisorLaw LLC	NO	NO
22-00659	Charlotte, NC	03/25/2022	01/09/2023	01/17/2023	6413; 33856	LPL Financial LLC; BB&T Investment Services Incorporated	ISC (LPL); Davis Wright Tremaine LLP (BB&T)	2581344	James Joseph Kinsey	NC	The Rosenfeld Law Office	NO	NO
22-01630	New York, NY	07/21/2022	01/17/2023	01/20/2023	104474; 8174	Sanford C Bernstein & Company LLC; UBS Financial Services Incorporated	Davis Wright Tremaine LLP (SCB); ISC (UBS)	4043653	Adam F. Epstein	CT	Bressler Amery & Ross	OB/NO	NO
22-01072	Milwaukee, WI	05/18/2022	01/19/2023	01/20/2023	8209	Morgan Stanley & Company LLC	ISC	2749040	Jan Christian Dyke	WI	AdvisorLaw LLC	NO	NO
22-00912	New York, NY	04/26/2022	10/11/2022	01/23/2023	79	JP Morgan Securities LLC	Duane Morris LLP	1843712	John B. Hess	CT	AdvisorLaw LLC	OB	NO
22-01400	Denver, CO	06/22/2022	01/12/2023	01/24/2023	6694	Raymond James Financial Services Incorporated	ISC	1284978	Harold Reed Madison	CO	Galvin Legal PLLC	NO	NO
22-00686	Boca Raton, FL	03/30/2022	01/10/2023	01/24/2023	6627	Equitable Advisors LLC	ISC	2513153; 5719709	Kevin Thomas Dooley; Gloria Barbier	FL; FL	HLBS Law	UN	NO
22-00165	Hartford, CT	01/25/2022	12/08/2022	01/25/2023	44848; 35723	Kovack Securities Incorporated; Harvest Capital LLC	ISC	2501354	Jeffrey Paul Davis	CT	The Rosenfeld Law Office	NO	NO
22-01505	New York, NY	07/04/2022	01/17/2023	01/25/2023	7556; 8209;	Morgan Stanley DW Incorporated; Morgan Stanley & Company Incorporated; Morgan Stanley Smith Barney LLC	ISC	3236220	David P. Calderon	NY	Judex Law LLC	NO	NO
22-00755	St. Louis, MO	04/05/2022	01/17/2023	01/26/2023	13318	Securities Service Network LLC	ISC	1920936	David Scott Brooks	MO	AdvisorLaw LLC	NO/NN	NO
22-01753	Raleigh, NC	08/04/2022	01/24/2023	01/27/2023	6413	LPL Financial LLC	ISC	1743602	Don Michael Rudolph	NC	Galvin Legal PLLC	NO	NO
22-00410	Los Angeles, CA	02/24/2022	01/13/2023	02/01/2023	249	Oppenheimer & Company Incorporated	ISC	1387390	Kenneth H. South	CA	The Law Offices of Patrick R. Mahoney	OB	NO
20-03069	New York, NY	09/09/2020	08/22/2022	02/02/2023	7569	National Securities Corporation	ISC	2547500	Patrick Jude Esparrago	NY	The Rosenfeld Law Office	NO	NO
22-01962	San Juan, PR	08/30/2022	02/02/2023	02/06/2023	8174	UBS Financial Services Incorporated	ISC	2965940	Isabel C. Haigler	PR	McConnell Valdes LLC	NO	NO

1	G	Lynne M. Gomez, Esq.	1
3	G	Richard James Igou - Chair; Jay Jordan; Robert T. Allen, Jr.	1
3	G	Madelon M. Rosenfeld, Esq.	1
1	G	Michael F. Jordan, Esq.	1
1	G	Roger M. Deitz, Esq.	2
1	G	Michael Jeffrey Norton, Esq. - Chair; Sophia C. Hassman; Amani Amir Ali	1
2	D	Seth L. Finkel, Esq.	1
10	G/D	Steven R. Rolnick, Esq. - Chair; Andrea Joan Harman; Dale S. Cronnell, CFP	1
3	G	Arthur Neil Tolciss, Esq. - Chair; Cheryl Catherine McLarin; Alan Steven Mittleman	1
4	G	Philip J. Glick, Esq.	1
1	G	Michael J. Ahlstrom, Esq. - Chair; Michael J. Pasquale; Paul Nicholas Inerra	1
1	G	Benjamin F. Breslauer - Chair; Richard Maurice Robinson; A. Joel Klein, Esq.	1
1	G	Rory M. McLaughlin, Esq.	2
1	G	Louis David Huss	1

22-00616	San Juan, PR	03/22/2022	01/31/2023	02/07/2023	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	858500	Anita M. Brennan	PR	McConnell Valdes LLC	NO	NO
22-00945	Kansas City, MO	04/29/2022	02/07/2023	02/09/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1992187	Thomas Henry Freeman	KS	AdvisorLaw LLC	NO/NN	NO
22-01576	New Orleans, LA	07/14/2022	01/31/2023	02/09/2023	4; 7461	AG Edwards & Sons Incorporated; FSC Securities Corporation	ISC	2013409	William Luther Crull IV	LA	AdvisorLaw LLC	NO	NO
22-01390	New York, NY	06/21/2022	01/24/2023	02/09/2023	79	JP Morgan Securities LLC	ISC	5456332	Michael Craig Briese	NY	Duane Morris LLP	NO	NO
22-01650	Cleveland, OH	07/25/2022	02/08/2023	02/09/2023	6413; 10409	LPL Financial LLC; MML Investors Services LLC	ISC (LPL); Stevens & Lee (MMLIS)	2229603	Russell T. McAlonie	OH	Ghabai Law Group LLC	NO/NN	NO
22-00804	Indianapolis, IN	04/12/2022	02/08/2023	02/10/2023	205	David A Noyes & Company aka Sanctuary Securities Incorporated	DeLaney & DeLaney	U CRD#2213108	Scott Lindsay Reed	IN	Farrar Law PLLC	UN	NO
21-02760	Boston, MA	01/11/2022	11/10/2022	02/10/2023	468	Signator Investors Incorporated	ISC	852438	James Edmond Moniz	MA	AdvisorLaw LLC	NO	NO
22-00283	New York, NY	02/07/2022	11/30/2022	02/10/2023	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2209252	Steven Nicholas Jaenichen	NY	The Rosenfeld Law Office	NO	NO
22-01958	New York, NY	08/30/2022	01/30/2023	02/14/2023	104474	Sanford C Bernstein & Company LLC	ISC	5069689	Daniel Joseph Pacella	FL	Davis Wright Tremaine LLP	NO	NO
22-01560	Chicago, IL	07/13/2022	02/13/2023	02/14/2023	8174	UBS Financial Services Incorporated	ISC	1341777	David Alan Hirsch	IL	Riker Danzig et al.,	NO	NO
22-00840	Jersey City, NJ	04/19/2022	12/12/2022	02/14/2023	19616	Wells Fargo Clearing Services LLC	ISC	1674702	Christopher George Falconer	NJ	The Rosenfeld Law Office	NO/NN	NO
22-00209	Los Angeles, CA	02/01/2022	02/13/2023	02/17/2023		None.	Customer	13891; 2501641	Harry Michael Barth; Richard W. Jackman	CA; NV	Jones Bell et al.	NO	NO
22-01078	Cheyenne, WY	05/18/2022	02/09/2023	02/17/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	4788149	Jason P. Burkett	CO	HLBS Law	NN	NO
22-00176	Philadelphia, PA	01/26/2022	11/04/2022	02/17/2023	7059; 23769	Citigroup Global Markets Incorporated; Coastal Equities Incorporated	Kauff Laton Miller LLP (CGM); ISC (CE)	1395715	Douglas Louis Kobak	PA	The Rosenfeld Law Office	NO	NO
22-02279	San Juan, PR	10/06/2022	02/14/2023	02/17/2023	8174	UBS Financial Services Incorporated	ISC	3139380	David L. Rojas	PR	McConnell Valdes LLC	NO	NO

1	G	Christopher J. Klein, Esq.	1
1	G	David A. Schuler	1
3	G	Simeon B. Reimonenq, Jr., Esq.	1
1	G	Michael S. Lazan, Esq.	1
2	G	Gregory G. Gocek	1
9	D	Barry Goldman, Esq. - Chair; David E. Bailey; Robert L. Smith	1
5	G	Howard N. Gorney	3
4	G	Ira A. Auerbach - Chair; Qiana Martin; Daniel D'Costa, Esq.	1
1	G	Andrew M. Schmertz	1
3	G	James J. Stamos, Esq.	1
4	G/D	Jack Friedman, Esq. - Chair; Sandra Holtzman; Marc B. Adelman	2
2	G	Robert E. Jenks - Chair; Norman Michael Garland; Roberta Lynn Haft	1
1	G	Frederick Ramos, Esq.	1
3	G	Fred W. Miller, Esq. - Chair; Kathleen Jones Spilker; Buzz Adelman	1
2	G	Louis David Huss	1

22-02423	Pittsburgh, PA	10/21/2022	02/07/2023	02/20/2023	19616	Wells Fargo Clearing Services LLC	ISC	1648935	John P. Rauch	NJ	Faegre Drinker et al.	NO	NO
22-01721	Tampa, FL	08/01/2022	02/16/2023	02/22/2023	149777; 8209; 7556	Morgan Stanley Smith Barney LLC; Morgan Stanley & Company LLC; Morgan Stanley DW Incorporated	ISC	2150733	John Anthony Posey	FL	Louviere Law Firm PA	NO/NN	NO
22-01648	Boca Raton, FL	07/25/2022	02/21/2023	02/28/2023	38619	Shearson Financial Services LLC	ISC	1622929	Jed Philip Kaplan	FL	HLBS Law	NO/NN	NO
22-01326	Omaha, NE	06/13/2022	02/17/2023	02/28/2023	14503	VSR Financial Services Incorporated	ISC	U CRD#1002907	Scott Vincent Kaup	NE	Winget Spadafora & Schwartzberg	UN	NO
22-01843	Albany, NY	08/15/2022	02/15/2023	03/01/2023	6413; 2882	LPL Financial LLC; Voya Financial Advisors Incorporated	ISC (LPL); Winget Spadafora & Schwartzberg (VFA)	1924692	Todd Arthur Slingerland	NY	Ghabai Law Group LLC	NO	NO
22-01255	New York, NY	06/10/2022	03/01/2023	03/02/2023	144403; 15007	PHX Financial Incorporated; Aegis Capital Corporation	ISC	5493064	Serge Parakhnevich	FL	Warren Law Group	NO	NO
22-01469	Detroit, MI	06/29/2022	01/25/2023	03/03/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	U CRD#2681624	Bradley Thomas Lott	MI	HLBS Law	OB	NO
22-01788	Richmond, VA	08/09/2022	03/01/2023	03/03/2023	20472	TIAA-CREF Individual & Institutional Services LLC	ISC	5817380	Loizos Sergios Kapnisi	VA	Galvin Legal PLLC	NO	NO
22-01244	Los Angeles, CA	06/02/2022	02/23/2023	03/09/2023	30833	Centaurus Financial Incorporated	ISC	1126586	Kelley Susan Slaughter	CA	Gordon Rees et al.	OB/NO	NO
22-02175	Dallas, TX	09/22/2022	03/02/2023	03/09/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	6404842	Andrew R. Johnsen	TX	Louviere Law Firm PA	NO	NO
22-02103	San Juan, PR	09/14/2022	03/07/2023	03/13/2023	8174	UBS Financial Services Incorporated	ISC	5057939	Ernest E. Musgrave	PR	McConnell Valdes LLC	NO	NO
22-02170	San Juan, PR	09/22/2022	03/08/2023	03/13/2023	8174	UBS Financial Services Incorporated	ISC	2784555	Francisco Javier Landivar	PR	McConnell Valdes LLC	NO	NO
22-02052	San Juan, PR	09/08/2022	03/09/2023	03/15/2023	8174	UBS Financial Services Incorporated	ISC	2121621	William John Serralles	PR	McConnell Valdes LLC	NO	NO
22-01555	New York, NY	07/12/2022	03/07/2023	03/16/2023	10409	MML Investors Services LLC	Stevens & Lee	2476604	Jeffrey Paul Weiner	NY	Law Office of Brian Kennedy	UN	NO
22-01665	Albuquerque, NM	07/26/2022	03/13/2023	03/16/2023	30613; 15296	Investors Capital Corporation; Securian Financial Services Incorporated	ISC	1848968	Henry Gallardo	TX	AdvisorLaw LLC	NO	NO

1	G	James T. Carney - Chair; William L. White, Jr.; John Joseph Neely	1
9	G	Maurice M. Feller, Esq.	1
3	G	Martin A. Feigenbaum, Esq.	1
4	D	Steven A. Meyrich, Esq. - Chair; Richard Djokic, Esq.; William H. O'Donnell	1
2	G	Steven R. Rolnick, Esq.	1
3	G/D	Lise Gabrielle Hunter, Esq. - Chair; April D. Bowie, Esq. (fka April D. Bowie Mena, Esq.); Rena E. Grossfield	1
1	D	Charles A. Palmer, JD	1
1	G	James W. (Jim) Geiger	1
2	G	Neil S. Jasper	2
1	G	David A. Schuler	1
1	G	Christopher J. Klein, Esq.	1
1	G	Martin A. Feigenbaum, Esq.	1
6	G	Martin A. Feigenbaum, Esq.	1
10	D	David Sorokoff, Esq. - Chair; Clive I. Morricks; Andrew Robert Kosloff	2
2	G	Walter Steven Schwartz	1

22-01816	Denver, CO	09/08/2022	03/06/2023	03/17/2023	120894; 665	Geneos Wealth Management Incorporated; Piper Jaffray & Company	Kutak Rock LLP (GWM); ISC (PS)	2411358	Robert Earl Stanlick	CO	The Rosenfeld Law Office	UN	NO
23-00026	Chicago, IL	01/03/2023	03/09/2023	03/22/2023	8174	UBS Financial Services Incorporated	ISC	872707	John David Jacobs	IL	Bressler Amery & Ross	NO	NO
22-02320	Denver, CO	10/11/2022	03/21/2023	03/24/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	1332458	Timothy Barnard Kneen	CO	Galvin Legal PLLC	OB/NO	NO
22-01454	Jersey City, NJ	06/28/2022	03/23/2023	03/24/2023	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	2219243	Todd Adam Sacks	FL	AdvisorLaw LLC	NO	NO
22-02149	Birmingham, AL	09/20/2022	03/20/2023	03/24/2023	250	Edward Jones	Quarles & Brady	5472003	James William Roberson III	FL	Jenks & Harvey	NO	NO
22-00894	Seattle, WA	04/22/2022	03/22/2023	03/24/2023	5167	NYLife Securities LLC	Emy Murdoch LLC	2765863	Shane Ryan VanDalen	WA	AdvisorLaw LLC	OB/NO	OB
22-01746	Portland, OR	08/03/2022	03/22/2023	03/27/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	4858761	Patrick M. Cummings	OR	Lax & Neville	NO	NO
22-00159	Boca Raton, FL	01/25/2022	02/21/2023	03/29/2023	149777; 7059	Morgan Stanley; Citigroup Global Markets Incorporated	ISC (MSSB); Kauff Laton Miller LLP (CGM)	2102283	Andrew George Sukhin	FL; NY	The Rosenfeld Law Office	OB/NO NN	NO
22-02308	Salt Lake City, UT	10/10/2022	03/15/2023	03/29/2023	3978	Lincoln Financial Advisors Corporation	ISC	2872276	James Franklin Davenport	UT	Louviere Law Firm PA	NO	NO
22-01608	Philadelphia, PA	07/19/2022	03/21/2023	03/30/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1276418	Michael Joseph Cifelli	NJ	AdvisorLaw LLC	OB/NO NN	NO
22-02206	New York, NY	09/27/2022	03/23/2023	03/30/2023	44319	Family Management Securities LLC	ISC	1407430; 816096	Andrea Leslie Tessler; Seymour William Zises	NY; FL, NY	Bressler Amery & Ross	NO	NO
22-02238	Boca Raton, FL	09/30/2022	03/24/2023	03/31/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5326755	Joseph C. Bowden	FL	Galvin Legal PLLC	OB	NO
22-02226	San Juan, PR	09/29/2022	03/27/2023	03/31/2023	8174	UBS Financial Services Incorporated	ISC	2180310	Angel Manuel Canabal Sr.	PR	McConnell Valdes LLC	NO	NO
22-01678	Omaha, NE	07/27/2022	03/14/2023	03/31/2023	32444	First Allied Securities Incorporated	ISC	2342398	Dennis Patrick Thurman	SD	AdvisorLaw LLC	NO/NN	NO
22-01742	Detroit, MI	08/03/2022	03/28/2023	04/03/2023	8158; 32444	Robert W Baird & Company Incorporated; First Allied Securities Incorporated	Todd Holleman Law (RWB); ISC (FAS)	2582912	David Lee Wilson	MI	HLBS Law	OB/NO NN	NO
22-02054	Tampa, FL	09/08/2022	04/03/2023	04/06/2023	5393	Charles Schwab & Company Incorporated	ISC	6969748	John Michael Redhead	FL	Winget Spadafora & Schwartzberg	NO	NO

3	D	Tina Allison Davis - Chair; Fernando Lugo; Douglas Lou Dombey	1
1	G	Susanne J. Hollander, Esq.	1
2	G	Frances Johnson-Wright, Esq.	1
2	G	Michael H. DuBoff, Esq.	1
1	G	Earle J. Schwarz, Esq.	1
3	D	Katherine Hendricks, Esq.	1
1	G	Daniel M. Yamshon, Esq.	1
8	G/D/W	Nanci Sondra Landy - Chair; Annelise Sander, Esq.; Steven Barry Paskal	1
2	G	Richard J. Lawrence, Esq.	1
10	G/D	Louis P. Wagman	1
19	G	Amy Jill Baranoff	1
1	G	Donna Greenspan Solomon	1
1	G	Nancy J. Cliff, Esq.	1
2	G	Gregory G. Gocek	1
3	G	Carl E. Ver Beek, JD	1
1	G	Karl A. Vogeler, III - Chair; Maurice M. Feller, Esq.; Howard B. Scherer	1

23-00164	New York, NY	01/19/2023	04/04/2023	04/06/2023	19714	Barclays Capital Incorporated	Parker Hudson et al.	3245720	Josef Runes Najar	NY	Kaufmann Gildin & Robbins	NO	NO
22-01549	Washington, DC	07/12/2022	04/04/2023	04/07/2023	6627; 6413	Equitable Advisors LLC; LPL Financial LLC	ISC	2284105	Kelly Peter Campbell	VA	AdvisorLaw LLC	NO/NN	NO
22-02163	San Francisco, CA	09/21/2022	04/06/2023	04/10/2023	6413	LPL Financial LLC	ISC	1652015	Bradley Christopher Towers	CA	Ghabai Law Group LLC	NO	NO
22-01865	New Orleans, LA	08/17/2022	03/29/2023	04/10/2023	250	Edward Jones	Quarles & Brady	2907104	Toby Lafont	LA	Louviere Law Firm PA	NO	NO
22-00889	Albuquerque, NM	04/22/2022	03/23/2023	04/11/2023	23131	Royal Alliance Associates Incorporated	ISC	4124115; 824546	Michael Edward Kiefer; Mark Jay Napolin	NM; NM	AdvisorLaw LLC	NO	NO
23-00280	Las Vegas, NV	02/02/2023	04/04/2023	04/11/2023	8174	UBS Financial Services Incorporated	ISC	5584098	Jeremy Guy Charles Keller	NV	Bressler Amery & Ross	NO	NO
22-00892	Providence, RI	04/22/2022	03/15/2023	04/13/2023	10; 7691	Advest Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1110919	Joseph Crespi	MA	HLBS Law	OB/NO	NO
22-01284	Portland, OR	06/09/2022	03/29/2023	04/14/2023	10299	Cetera Advisors LLC	ISC	4353676	Nicholas Foulger Taggart	OR	AdvisorLaw LLC	NO	NO
22-01991	San Juan, PR	09/01/2022	04/13/2023	04/19/2023	8174	UBS Financial Services Incorporated	ISC	3191394	Magda Teresa Broco Rodriguez	PR	McConnell Valdes LLC	NO	NO
22-02445	San Juan, PR	10/26/2022	04/19/2023	04/21/2023	8174	UBS Financial Services Incorporated	ISC	2006959	Frank Julio Carrasco	PR	McConnell Valdes LLC	NO	NO
22-02582	San Juan, PR	11/10/2022	04/14/2023	04/21/2023	8174	UBS Financial Services Incorporated	ISC	4032530	James Malcom Ugobono	PR	McConnell Valdes LLC	NO	NO
22-01660	Bismarck, ND	07/25/2022	04/05/2023	04/24/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	2205477	Matthew Howard Engen	ND	AdvisorLaw LLC	NN	NO
22-01878	San Diego, CA	08/18/2022	04/20/2023	04/26/2023	14754; 20068	QA3 Financial Corporation; SunAmerica Securities Incorporated	ISC	1163851	John Logan Jenkins	CA	HLBS Law	NO/NN	NO
22-01452	New York, NY	06/28/2022	04/04/2023	04/27/2023	24795	Joseph Gunnar & Company LLC	ISC	1840339	Joseph Anthony Alagna	NY	John E. Lawlor, Attorney-at-Law	NO	NO

1	G	Edward W. Morris, Jr., Esq. - Chair; Fred S. Pieroni; Joanne Basso Mack	1
2	G	Patricia Horan Latham, Esq.	1
1	G	Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1
1	G	Ashley Lucile Belleau, Esq.	1
2	G	Roger A. Geddes	1
1	G	Mark R. Lee	1
3	G/D	Howard N. Gorney	2
2	G	David William Hickman, JD	1
14	G	Nancy J. Cliff, Esq.	1
1	G	Louis David Huss	1
1	G	Martin A. Feigenbaum, Esq.	1
1	G	Mark L. Miller, Esq.	1
2	G	Erik R. Siering	1
3	G	Brian John Gallagher - Chair; Lynne M. Reid-McQueen, Esq.; Leslie Ruth Nydick	1

22-00654	Houston, TX	03/24/2022	04/05/2023	04/28/2023	46214; 13572; 4	NEXT Financial Group Incorporated; Cetera Advisor Networks LLC; AG Edwards & Sons Incorporated nka Wells Fargo Clearing Services LLC	ISC	U CRD#3199358	Troy Lane Stine	LA	The Rosenfeld Law Office	UN	OB/NO E
22-01870	Chicago, IL	08/18/2022	04/26/2023	05/01/2023	35545	Advanced Equities Incorporated	No-show	1586181	Byron Keith Crowe	IL	AdvisorLaw LLC	NO	NO
22-02151	Hartford, CT	09/20/2022	04/13/2023	05/02/2023	7569	National Securities Corporation	ISC	5280862	Dennis Karjanis	CT	Carmel Milazzo & Feil LLP	NO	NO
22-02934	New York, NY	12/22/2022	04/19/2023	05/02/2023	29278	Belle Haven Investments Limited Partnership	Pickard Djinis & Pisarri	1661099	Joseph Matthew Dalton	NY	Pickard Djinis & Pisarri	NN	NO
22-02209	San Juan, PR	09/27/2022	04/18/2023	05/02/2023	8174	UBS Financial Services Incorporated	ISC	2180310	Angel Manuel Canabal SR.	PR	McConnell Valdes LLC	NO	NO
22-02319	Denver, CO	10/11/2022	04/25/2023	05/03/2023	7059; 8174	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated	Kauff Laton Miller LLP (CGM); John Murphy & Associates (UBS)	1332458	Timothy Barnard Kneen	CO	Galvin Legal PLLC	NO	NO
22-01047	New York, NY	05/16/2022	03/17/2023	05/03/2023	14623	Ladenburg Capital Management Incorporated	No-show	2621258	Michael Christopher Lastihenos	NY	Carmel Milazzo & Feil LLP	NN	NO
22-02050	Cleveland, OH	09/08/2022	04/25/2023	05/03/2023	19616	Wells Fargo Clearing Services LLC	ISC	2615449	Shawn M. Burke	OH	Shumaker Loop & Kendrick	OB/NO NN	NO
22-00803	Manchester, NH	04/12/2022	05/02/2023	05/04/2023	10111	PFS Investments Incorporated	ISC	2420634	Norman D'Silva	FL	AdvisorLaw LLC	NO	NO
22-01675	Boca Raton, FL	07/27/2022	04/06/2023	05/04/2023	7569	National Securities Corporation	ISC	1757428	Willard Louis Pugh	FL	HLBS Law	NO	NO
22-02468	Orlando, FL	10/28/2022	04/12/2023	05/04/2023	10299	Cetera Advisors LLC	Winget Spadafora & Schwartzberg	4955951	Nicholas James Russell	FL	Johnson Newlon & DeCort	OB	NO
22-01046	New York, NY	05/13/2022	04/27/2023	05/04/2023	149777; 7569	Morgan Stanley; National Securities Corporation	ISC	2693480	Ronan David Cox	NY	Carmel Milazzo & Feil LLP	NO	NO
22-02352	Boca Raton, FL	10/13/2022	04/11/2023	05/05/2023	7461; 6694	FSC Securities Corporation; Raymond James Financial Services Incorporated	ISC	3213714	Jonathan Marc Beitler	FL	Farrar Law PLLC	NO	NO

7	D	Maryanne M. Esser, Esq. - Chair; Stuart M. Diamond; Irving Sylvester Moses, Jr., CFP	1
1	G	Theodore W. Wroblecki, Esq.	1
1	G	Peter E. Gillespie - Chair; David Adams Reif; Philip S. Wellman	1
1	G	Selma Moy, JD	1
2	G	Martin A. Feigenbaum, Esq.	1
3	G	Leonard Arthur Nelson, Esq. - Chair; Matthew Stalcup; Tosh Daniel Grebenik, Esq.	1
1	G	Howard L. Sobel - Chair; Peter A. Goldman, Esq.; Anthony J. Casino	1
3	G	Michael L. Fortney, Esq. - Chair; David Arnold; Stephen M. Bales	2
2	G	John James McGovern, Jr., Esq.	1
2	G	Seth L. Finkel, Esq.	1
1	G	Christopher J. Klein, Esq. - Chair; Alan E. Linden, BS, MA; Ken Ziesenheim, Esq.	1
1	G	Julian F. Santos, Esq. - Chair; Veera V. Konka, Esq.; Thomas Hansen Boast	1
3	G	Kimberly A. Gilmour, Esq.	1

22-02079	San Juan, PR	09/12/2022	04/25/2023	05/05/2023	8096	Popular Securities LLC	ISC	4205969	Roberto Luis Rivera Vazquez	PR	Kaufman Dolowich Voluck LLP	NO/NN	NO
22-02039	New York, NY	09/07/2022	04/25/2023	05/05/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	2741489	Steven Michael Lewine	TX; CT	AdvisorLaw LLC	NO-D	NO
22-01704	Tampa, FL	07/29/2022	04/20/2023	05/08/2023	6694; 705	Raymond James Financial Services Incorporated; Raymond James & Associates Incorporated	ISC	1040176	Cary Robert Kleinfeld	FL	HLBS Law	NO/NN	NO
22-01926	Chicago, IL	08/25/2022	05/02/2023	05/08/2023	104474	Sanford C Bernstein & Company LLC	ISC	814048	Robert Anthony Westropp Jr.	IL	Davis Wright Tremaine LLP	NO	NO
22-02016	New York, NY	09/05/2022	04/27/2023	05/08/2023	159744; 148366	Joseph Stone Capital LLC; Worden Capital Management LLC	No-show	U CRD#6220858	Joseph C. Fallarino	NY	The Rosenfeld Law Office	NO	NO
22-01839	Honolulu, HI	08/15/2022	04/03/2023	05/09/2023	14503	VSR Financial Services Incorporated	ISC	4800472	Ronald Craig Kuhn	HI	Winget Spadafora & Schwartzberg	NO	NO
23-00553	Dallas, TX	03/06/2023	05/05/2023	05/09/2023	8174	UBS Financial Services Incorporated	ISC	2230893	Brant Christopher Ferguson	TX	Bressler Amery & Ross	NO	NO
22-01470	San Diego, CA	08/10/2022	04/14/2023	05/10/2023	11025	Wells Fargo Advisors Financial Network	ISC	4157644	Jordan Valdez Varela	CA	Donovan & Rainie	OB	NO
22-01450	New York, NY	06/28/2022	05/08/2023	05/10/2023	24795	Joseph Gunnar & Company LLC	ISC	3238494	Stephan A. Stein	NY	John E. Lawlor, Attorney-at-Law	NO	NO
22-01819	Los Angeles, CA	08/12/2022	05/02/2023	05/11/2023	149777	Morgan Stanley Smith Barney LLC	ISC	2745005	Patrick Christopher Lowe	CA	Lax & Neville	NO	NO
22-00822	Boca Raton, FL	04/15/2022	04/12/2023	05/11/2023	25523; 31204; 104065; 7569	Fin-Atlantic Securities Incorporated; Monroe Parker Securities Incorporated; NewBridge Securities Corporation; National Securities Corporation	ISC (FAS & NS); Kaufman Dolowich & Voluck LLP (NBS)	2342989	Troy Jason Goldberg	FL	HLBS Law	NO/NN	NO
22-01909	San Juan, PR	08/23/2022	04/26/2023	05/11/2023	8174	UBS Financial Services Incorporated	ISC	1854754	Jose A. Chaves	PR	Toro Colon Mullet PSC	NO	NO
22-02171	San Juan, PR	09/22/2022	05/01/2023	05/11/2023	8174	UBS Financial Services Incorporated	ISC	2784555	Francisco Javier Landivar	PR	McConnell Valdes LLC	NO	NO

3	G/D	Robert G. Falbisaner	1
1	G	Veronica Ann Williams	1
3	G	Karl A. Vogeler, III	1
1	G	Leon Fox, JD	1
2	D	Eric Goldman - Chair; Mary Julia O'Connell; Thomas M. Amadio	1
1	G	Arocles Aguilar - Chair; Peter N. Daly; Bruce Swartout	1
1	G	David A. Schuler	1
1	G	Constance Ellen Boukidis	1
1	G	Vincent C. Pangia - Chair; John Warner Lowe, Jr.; James Carlone	1
3	G	Anita Rae Shapiro, Esq.	1
13	G	Steven N. Ainbinder, Esq.	4
7	G	Martin A. Feigenbaum, Esq.	2
11	G	Gerald Silverman, Esq.	1

22-01920	New York, NY	08/24/2022	05/02/2023	05/12/2023	7569	National Securities Corporation Incorporated	ISC	6551913	Andrew Massaro	CT	Judex Law LLC	NO	NO
22-01685	Boca Raton, FL	07/27/2022	04/24/2023	05/12/2023	7569; 159744	National Securities Corporation; Joseph Stone Capital LLC	ISC	4155504	Allan Daniel Babaian	FL	The Rosenfeld Law Office	NO	NO
22-00921	Boca Raton, FL	04/27/2022	05/09/2023	05/15/2023	11025	Wells Fargo Advisors Financial Network	ISC	1713313	John Thomas Holly Sr.	FL	HLBS Law	NO/NN	NO
22-01303	San Francisco, CA	06/10/2022	01/31/2023	05/19/2023	32444; 137743	First Allied Securities Incorporated; NPB Financial Group LLC	ISC	2092280	Kimberly Ann Barentsen	CA	Markun Zusman et al.	OB	NO
22-01600	San Juan, PR	07/18/2022	04/25/2023	05/19/2023	8174	UBS Financial Services Incorporated	ISC	2096091	Carlos Arturo Pou	FL	McConnell Valdes LLC	NO	NO
23-00568	New York, NY	03/07/2023	03/17/2023	05/19/2023	8174	UBS Financial Services Incorporated	ISC	713774	Nancy Matta	NY	Bressler Amery & Ross	OB	NO
22-02339	Milwaukee, WI	10/12/2022	05/03/2023	05/19/2023	6413	LPL Financial LLC	ISC	2649551	Earl Todd Marquardt	WI	Ghabai Law Group LLC	NO	NO
22-01955	New York, NY	08/30/2022	05/16/2023	05/22/2023	7569	National Securities Corporation	ISC	4814368	Frank Louis Avallone	CT	Judex Law LLC	NO	NO
22-01993	Orlando, FL	09/01/2022	03/29/2023	05/22/2023	15667; 43177; 159744; 39118	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)	4397656	Peter Joseph Mirenda	FL	The Rosenfeld Law Office	NO	NO
22-02205	San Juan, PR	09/27/2022	05/11/2023	05/22/2023	8174	UBS Financial Services Incorporated	ISC	1813503	Sonia Pou Monagas	PR	McConnell Valdes LLC	NO	NO
22-01938	Boca Raton, FL	08/26/2022	05/08/2023	05/23/2023	19616	Wells Fargo Clearing Services LLC	ISC	4044044	Henry Krich	AZ	Stein & Stein	NO	NO
22-02074	Boise, ID	09/10/2022	03/01/2023	05/23/2023	43177; 6413	JP Turner & Company LLC; LPL Financial LLC	ISC	4177415	Jason Steven Hawke	ID	Farrar Law PLLC	NO UN	NO
22-01428	New York, NY	07/12/2022	03/16/2023	05/26/2023	5167;	NYLife Securities LLC; New York Life Insurance Company	Emy Murdoch LLC	5565044	Carolina Tanjutco	NY	None	NO	OB

1	G	Susan A. Romano - Chair; Glenn Ravenelli; Anthony Marchese	1
2	G	George G. Kurschner, Esq. - Chair; David I. Stern; Philip Lindsay Bullen	1
4	G	Gerald Silverman, Esq.	1
1	G	Philip Aaron Tymon, JD - Chair; Nancy Lynne Williamson; Wendy L. Schmidt	2
1	G	Barth Satuloff, CPA	1
1	G	Madelon M. Rosenfeld, Esq.	1
1	G	Leon Fox, JD	1
2	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Jay Alan Kranis; Jonathan Ashley Pomeroy	1
6	G	Mauricio Arcadier, JD - Chair; Shameeka E. Quallo; Warren A. Forest	2
1	G	Louis David Huss	1
1	G	Will Murphy, Esq. - Chair; Steven N. Aimbinder, Esq.; Carl Joseph Domino	1
7	G/D	Daniel M. Yamshon, Esq.	1
1	G	Carol Maria Luttati - Chair; Abigail R. Levy	4

22-02675	New York, NY	11/21/2022	05/10/2023	05/31/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	5912743	Kristina Kimi Vikis	NY	Galvin Legal PLLC	NO	NO
22-00721	San Diego, CA	04/01/2022	05/18/2023	06/01/2023	7717; 6359; 13316	Independent Financial Group LLC; Titan/Value Equities Group Incorporated; Value Equities Corporation	ISC	836500	William Aubrey Morrow	CA	HLBS Law	NO UN	NO
22-02297	New York, NY	10/07/2022	05/24/2023	06/01/2023	6694; 705; 7011	Raymond James Financial Services Incorporated; Raymond James & Associates Incorporated; RD White & Company Incorporated	ISC	2628097	Charles L. Failla	CT	AdvisorLaw LLC	OB/NO	NO
22-02477	New York, NY	10/30/2022	05/23/2023	06/02/2023	7569	National Securities Corporation	ISC	2035526	David Grant Conrad Morgan	CT	Judex Law LLC	NO	NO
22-02027	New York, NY	09/06/2022	04/24/2023	06/02/2023	104474	Sanford C Bernstein & Company LLC	ISC	874075	Richard Lindsay Newton Weaver	NY	Davis Wright Tremaine LLP	NO	NO
22-00980	New York, NY	05/05/2022	06/01/2023	06/05/2023	7059; 149777	Citigroup Global Markets Incorporated; Morgan Stanley	Kauff Laton Miller LLP (CGM); ISC (MSSB)	1663752	Jeffrey Stuart Gerson	NY	AdvisorLaw LLC	NO/NN	NO
22-01754	Houston, TX	08/04/2022	06/01/2023	06/05/2023	19616	Wells Fargo Clearing Services LLC	ISC	2557442	Kimberly Ripoli	TX	AdvisorLaw LLC	NO	NO
22-01976	Seattle, WA	09/01/2022	04/12/2023	06/05/2023	14503	VSR Financial Services Incorporated	ISC	U CRD#5100936	Meris Arel Collier	WA	AdvisorLaw LLC	UN	NO
22-02257	San Francisco, CA	10/04/2022	06/01/2023	06/06/2023	14251; 866	Metlife Securities Incorporated; Waddell & Reed Incorporated	Proskauer Rose LLP (MS); ISC (W&R)	1318619	Gale Ann Brodie	CA	The Rosenfeld Law Office	NO	NO
21-01495	Tampa, FL	06/11/2021	05/02/2023	06/07/2023	5167	NYLife Securities LLC	Lubarsky Law Firm PLLC	5904812	Mark Paul Haye	FL	HLBS Law	NO/NN	NO
22-02422	San Juan, PR	10/21/2022	05/24/2023	06/07/2023	41791	Santander Securities LLC	Pietrantonio Mendez & Alvarez	4116565	Viviana Cristina Perez Cordero	PR	McConnell Valdes LLC	NO	NO
22-01105	Dallas, TX	05/19/2022	05/16/2023	06/07/2023	13905	Cantella & Company Incorporated	ISC	5117040	Bryan M. Rigg	TX	The Rosenfeld Law Office	NO	OB

1	G	Brian John Gallagher	1
10	G	Morris S. Getzels, Esq.	2
2	G/D	Michael H. DuBoff, Esq. - Chair; Jay Alan Kranis; Joanne Basso Mack	2
3	G	Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; John Lawniczak; Maria Barry	1
1	G	Edmund Timothy Donovan	1
3	G	Sandra J. Mullings, Esq.	1
2	G	Allan R. Lazor, Esq.	1
1	D	Daniel B. MacLeod, Esq.	1
2	G	Philip Aaron Tymon, JD - Chair; Bruce J. Highman; Gary A. Hooker	1
10	G/D	Kenneth R. Starr, Esq. - Chair; John Arthur Riherd; Steele Thomas Williams, Esq.	3
1	G	Louis David Huss	1
2	G	Douglas Wade Carvell - Chair; Nicole T. LeBoeuf, Esq.; Russell Phillips Gandy	1

22-00857	Birmingham, AL	04/20/2022	05/09/2023	06/08/2023	15708; 132939	Concourse Financial Group Securities Incorporated; GF Investment Services LLC	Maynard Cooper & Gale (CFGs); No-show (GIFS)	1014024	Michael Bingham Ballard	AL	HLBS Law	OB/NO	NO
22-00821	Boca Raton, FL	04/15/2022	05/23/2023	06/08/2023	7569	National Securities Corporation	ISC	1271500	William John Braun	FL	HLBS Law	NO	NO
22-02695	Salt Lake City, UT	11/26/2022	06/07/2023	06/09/2023	3978; 23131	Lincoln Financial Advisors Corporation; Royal Alliance Associates Incorporated	ISC	2205783	Samuel Cabot Clark	UT	Louviere Law Firm PA	NO	NO
22-01599	Minneapolis, MN	07/18/2022	05/31/2023	06/09/2023	6413	LPL Financial LLC	ISC	3106745	Jamie Michael Grupe	WI	AdvisorLaw LLC	NO	NO
22-02764	Jackson, MS	12/02/2022	06/01/2023	06/12/2023	32444	First Allied Securities Incorporated	ISC	2300301	Alan Eric Kent	LA	AdvisorLaw LLC	NO	NO
22-02659	Chicago, IL	11/20/2022	06/01/2023	06/13/2023	14048	Continental Broker-Dealer Corporation	No-show	3236945	Chenguttuvan Surendran	IL	Galvin Legal PLLC	NO	NO
22-02404	Wilmington, DE	10/19/2022	06/08/2023	06/14/2023	6363	Ameriprise Financial Services Incorporated	ISC	1743707	Kimberlee Marie Orth	DE	Saretsky Hart et al.	NO	NO
22-02007	Jersey City, NJ	10/03/2022	04/25/2023	06/14/2023	11025	Wells Fargo Advisors Financial Network LLC	ISC	2373042	David Andrew Hammer	NJ	The Rosenfeld Law Office	NO	NO
22-02626	Houston, TX	11/16/2022	06/13/2023	06/14/2023	17086	BBVA Compass Investment Solutions Incorporated	Batch & Bingham	2774409	Benton Curtis Lucy	TX	AdvisorLaw LLC	NO	NO
22-02296	Chicago, IL	10/07/2022	06/13/2023	06/15/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1487294	Mark W. Thorndyke	FL	AdvisorLaw LLC	NO	NO
23-00225	New York, NY	01/26/2023	06/13/2023	06/15/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	2441778	Eric M. Yamin	FL	Kaufmann Gildin & Robbins	NO	NO
22-02508	Los Angeles, CA	11/03/2022	06/15/2023	06/16/2023	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1877212	Anouchka Marie Balog	CA	HLBS Law	NO/NN	NO
22-01520	Detroit, MI	07/06/2022	05/18/2023	06/16/2023	25427; 137945	CFD Investments Incorporated; Founders Financial Securities LLC	No-show (CFDI); Donovan & Rainie (FFS)	2347495	Richard Allen Barnett	MI	HLBS Law	NO NO-D	NO
22-02418	New York, NY	10/20/2022	06/13/2023	06/16/2023	6363	Ameriprise Financial Services LLC	ISC	4342889	Christopher Kaihong Tong	NY	AdvisorLaw LLC	NO	NO

4	G	Michael J. Ahlstrom, Esq.	1
7	G	Louis David Huss	1
5	G/W	Richard J. Lawrence, Esq.	1
1	G	Tracy L. Allen, Esq.	1
1	G	Michael J. Ahlstrom, Esq.	1
2	G	Susanne J. Hollander, Esq. - Chair; Jean Jacques Kande; James Hofheimer	1
2	G	Morton S. Bunis, Esq.	1
3	G	Jeffrey Alan Helewitz, Esq. - Chair; Kevin K. Walsh; William J. Travis, Esq.	1
1	G	Lynne M. Gomez, Esq.	1
1	G	Michael F. Jordan, Esq.	1
1	G	Edward W. Morris, Jr., Esq. - Chair; Gerald M. Levine; Madelyn A. Levy, Esq.	1
2	G	Robert D. Sussin, Esq.	1
2	G	Susanne L. Ulicny	1
1	G	Madelon M. Rosenfeld, Esq.	1

22-01558	Pittsburgh, PA	07/13/2022	05/16/2023	06/20/2023		None.	Customers	4497457; 3211966; 6290456	Amy Beth Seltzer; James Edward Ellis; David Robert Neumann	PA; PA; PA	Ratner Law	NO	NO
22-02421	Houston, TX	10/21/2022	05/25/2023	06/20/2023	705	Raymond James & Associates Incorporated	ISC	2286601	Paolo M. Thompson	TX	Guerra King PA	NO	NO
22-01579	San Juan, PR	07/14/2022	06/09/2023	06/22/2023	8174	UBS Financial Services Incorporated	ISC	2096091	Carlos Arturo Pou	FL	McConnell Valdes LLC	NO	NO
22-00830	Wichita, KS	04/18/2022	06/06/2023	06/22/2023	15896; 16337; 2225	Primeline Securities Corporation; FFP Securities Incorporated nka First Allied Securities Incorporated; SII Investments Incorporated	No-show (PS); ISC (FFPS); Saretsky Hart et al. (SIII)	828637	Donald Eugene Baxter	KS	AdvisorLaw LLC	OB/NO NN	NO
22-02327	Jersey City, NJ	10/11/2022	06/14/2023	06/22/2023	250	Edward Jones	Quarles & Brady	5143977	Jonathan Michael LeVar	NJ	Louviere Law Firm PA	NO	NO
23-00112	New York, NY	01/12/2023	06/20/2023	06/23/2023	119249	American Capital Partners LLC	ISC	2162706	Richard F. Reynolds	FL	Farrar Law PLLC	UN	NO
22-02662	San Juan, PR	11/21/2022	06/08/2023	06/23/2023	8174	UBS Financial Services Incorporated	ISC	4032530	James Malcom Ugobono	PR	McConnell Valdes LLC	NO	NO
22-02766	Dallas, TX	12/02/2022	06/12/2023	06/23/2023	22704; 15724	WFG Investments Incorporated; Capital Investment Group Incorporated	No-show (WFGI); Lloyd Gray et al. (CIG)	2577634	Timothy Joe Hightower	TX	Farrar Law PLLC	NO/NN	NO
21-02075	Philadelphia, PA	08/11/2021	03/03/2023	06/26/2023	615	New England Securities	Harris & Affiliates Ltd.	U CRD#1317819	Bernard Joseph Audet	PA	Wilson Elser et al.	NO	OB
22-01980	Salt Lake City, UT	09/01/2022	06/12/2023	06/26/2023	23131	Royal Alliance Associates Incorporated	ISC	4326978	Christopher J. Dame	UT	AdvisorLaw LLC	OB	NO
22-02232	San Juan, PR	09/29/2022	06/20/2023	06/27/2023	8174	UBS Financial Services Incorporated	ISC	1813503	Sonia Pou Monagas	PR	McConnell Valdes LLC	NO	NO
22-02982	Dallas, TX	12/29/2022	06/26/2023	06/28/2023	13686	Avantax Investment Services Incorporated	ISC	6083735	Stephen Matthew Buchanan	TX	AdvisorLaw LLC	NO	NO
22-02657	Nashville, TN	11/18/2022	06/05/2023	06/29/2023	15296	Securian Financial Services Incorporated	No-show	4746495	Justin Allan Goodbread	TN	AdvisorLaw LLC	NO	NO
22-01682	Houston, TX	07/27/2022	06/14/2023	06/30/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	1199559	Stephen Francis Caton	TX	AdvisorLaw LLC	NO	NO

5	G	Gregory Hunter Mathews - Chair; Kenneth Alan Eisner; Peter Glasser	3
1	G	Lynne M. Gomez, Esq. - Chair; Montie G. Grimes; Leslie Bernard Jallans	1
1	G	Louis David Huss	1
4	G/D	Joseph Neal Richardson	1
1	G	Paul Allan Massaro	1
4	D	David John Reilly	1
3	G	Stuart K. Furman	1
3	G	Thomas W. Allen	1
6	D/W	John James McGovern, Jr., Esq. - Chair; Robin L. Lewis; Alan M. Schankel	5
1	G	Steven A. Meyrich, Esq.	1
1	G	Louis David Huss	1
1	G	David A. Schuler	1
4	G	John Winslow Griesser	1
1	G	Maryanne M. Esser, Esq.	1

22-02203	Los Angeles, CA	09/26/2022	06/27/2023	07/03/2023	133763	Sagepoint Financial Incorporated	ISC	4595377	Brett Edward Weichbrod	CA	Winget Spadafora & Schwartzberg	NO	NO
22-02799	San Diego, CA	12/08/2022	06/29/2023	07/03/2023	31194; 19616	Sutro & Company Incorporated nka RBC Capital Markets LLC; Wachovia Securities LLC nka Wells Fargo Clearing Services LLC	Dorsey & Whitney (S&C); ISC (WS)	1131796	Edward Lorne Dawson	CA	Louviere Law Firm PA	NO/NN	NO
22-02614	San Juan, PR	11/14/2022	06/22/2023	07/03/2023	8174	UBS Financial Services Incorporated	ISC	3083300	Rocio Del Pilar Rivera	PR	McConnell Valdes LLC	NO	NO
22-02034	San Juan, PR	09/07/2022	06/27/2023	07/06/2023	8174; 13042	UBS Financial Services Incorporated; UBS Financial Services Incorporated of Puerto Rico	ISC	858500; 2269112	Anita M. Brennan; Marina Sonya Tudela	PR; TX	McConnell Valdes LLC	NO	NO
22-02235	Los Angeles, CA	09/29/2022	06/21/2023	07/07/2023	39262	Western International Securities Incorporated	ISC	2523397; 4415637	Bradley Clifford Kaiser; Andrew C. Kuo	CA; CA	Markun Zusman & Compton	OB	NO
22-02369	Birmingham, AL	10/14/2022	06/13/2023	07/10/2023	705	Raymond James & Associates Incorporated	ISC	4412715	Christopher Michael Hagen	AL	Bressler Amery & Ross	NO/NN	NO
22-02755	Boca Raton, FL	12/02/2022	06/21/2023	07/10/2023	104065	NewBridge Securities Corporation	ISC	1812805	Thomas Joseph Casolaro	FL	Kaufman Dolowich & Voluck LLP	UN	NO
22-02941	Cincinnati, OH	12/22/2022	07/06/2023	07/11/2023	16164	Transamerica Financial Advisors Incorporated	ISC	1241905	William Francis Mitchell	OH	Ulmer & Berne	NO	NO
22-02599	San Juan, PR	11/11/2022	06/21/2023	07/11/2023	8174	UBS Financial Services Incorporated	ISC	815453	Miguel A. Hernandez	PR	McConnell Valdes LLC	NO	NO
22-02597	Los Angeles, CA	11/04/2022	06/14/2023	07/14/2023	8361	AGP / Alliance Global Partners	No-show	5380092	Hermant Kathuria	NV	Kalberer LLP	NO	NO
22-01905	New York, NY	08/22/2022	06/06/2023	07/14/2023	43177; 26816; 148441	JP Turner & Company LLC; Sands Brothers & Company Limited; Felix Investments LLC	ISC	2755224	Emilio Disanluciano	NY	Sallah Astarita & Cox LLC	NO/NN	NO
22-02500	New York, NY	11/02/2022	07/12/2023	07/17/2023	112697	American Portfolios Financial Services Incorporated	ISC	1375433	Louise Deluca Fallica	NY	AdvisorLaw LLC	NO	NO

1	G	Anita Rae Shapiro, Esq.	1
3	G	Benjamin F. Breslauer	1
1	G	Martin A. Feigenbaum, Esq.	1
4	G	Christopher J. Klein, Esq.	1
4	G	Kirtley M. Thiesmeyer, Esq. - Chair; Mary M. O'Neil; Sidney Kinji Kanazawa, Esq.	1
32	G	Michael J. Ahlstrom, Esq.	1
4	D	Robert G. Falbisaner	1
1	G	Robert David Epstein	1
5	G	Martin A. Feigenbaum, Esq.	1
1	G	Constance Ellen Boukidis	1
7	G/D	Brian John Gallagher	1
1	G	Howard L. Sobel	1

22-02295	Milwaukee, WI	10/07/2022	03/27/2023	07/18/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	5389825	Cynthia G. Farnsworth	AZ	Stowell & Friedman Limited	NO	NO
22-02220	San Juan, PR	09/28/2022	07/12/2023	07/18/2023	8174	UBS Financial Services Incorporated	ISC	1813503	Sonia Pou Monagas	PR	McConnell Valdes LLC	NO	NO
22-02489	San Juan, PR	11/01/2022	07/06/2023	07/18/2023	8174	UBS Financial Services Incorporated	ISC	1143417	Dario Suarez	PR	McConnell Valdes LLC	NO	NO
22-02578	San Juan, PR	11/10/2022	07/11/2023	07/19/2023	8174	UBS Financial Services Incorporated	ISC	5057939	Ernest Eugene Musgrave	PR	McConnell Valdes LLC	NO	NO
23-00248	San Juan, PR	01/31/2023	07/12/2023	07/19/2023	8096	Popular Securities LLC	ISC	5204687	Karlamary Aleman Aponte	PR	Kaufman Dolowich & Voluck LLP	NN	NO
23-00126	Indianapolis, IN	01/13/2023	07/19/2023	07/20/2023	19616	Wells Fargo Clearing Services LLC	ISC	3000856	Michael William Berger	IN	AdvisorLaw LLC	NO	NO
22-02981	Wichita, KS	12/29/2022	07/11/2023	07/20/2023	19616	Wells Fargo Clearing Services LLC	ISC	1010586	Donald Lee Barry	KS	AdvisorLaw LLC	NN	NO
22-02420	San Juan, PR	10/21/2022	07/13/2023	07/20/2023	8174	UBS Financial Services Incorporated	ISC	1019547; 4116565	Orlando Javier Perez; Viviana Cristina Perez	PR; PR	McConnell Valdes LLC	NO	NO
22-02117	Boca Raton, FL	09/15/2022	07/13/2023	07/21/2023	79	JP Morgan Securities LLC	Ulmer & Berne	4596205	Meryll Biala Bangsil	FL	HLBS Law	OB NN	NO
23-00247	Dallas, TX	01/30/2023	07/17/2023	07/21/2023	421	Woodbury Financial Services Incorporated	ISC	U CRD#6034987	Beliveau Bays	TX	None	OB	NO
22-02663	Atlanta, GA	11/21/2022	07/11/2023	07/24/2023	19616; 7691	Wells Fargo Clearing Services LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	ISC (WFCS); Bressler Amery & Ross (MLPFS)	3197594	Danny Zuhair Kamal	GA	AdvisorLaw LLC	NO	NO
23-01495	Nashville, TN	05/19/2023	07/20/2023	07/24/2023	8174	UBS Financial Services Incorporated	ISC	4980276	Benjamin J. Walker	TN	Bressler Amery & Ross	NO	NO
22-02282	Boca Raton, FL	10/06/2022	07/10/2023	07/25/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	4578138	Christian D. Searcy Jr.	FL	Stein & Stein	NN	NO
22-02831	Boca Raton, FL	12/13/2022	07/18/2023	07/25/2023	6627	Equitable Advisors LLC fka AXA Advisors LLC	Bressler Amery & Ross	3117657	Jorge Garrido	FL	Todd A. Zuckerbrod PA	NO	NO
23-00565	Boca Raton, FL	03/07/2023	07/19/2023	07/25/2023	8174	UBS Financial Services Incorporated	ISC	5317492	Donald J. Dever	FL	Bressler Amery & Ross	NO	NO
22-02990	Las Vegas, NV	12/29/2022	07/10/2023	07/25/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	3082327	Adam Bingham Udy	NV	AdvisorLaw LLC	NO	NO
22-02637	San Juan, PR	11/16/2022	07/18/2023	07/26/2023	8174	UBS Financial Services Incorporated	ISC	2096091	Carlos Arturo Pou	FL	McConnell Valdes LLC	NO	NO

1	G	Sal Presti, CPA	2
1	G	Christopher J. Klein, Esq.	1
11	G	Martin A. Feigenbaum, Esq.	1
2	G	Christopher J. Klein, Esq.	1
1	G	Barth Satuloff, CPA	1
1	G	John L. Krauss, Esq.	1
1	G	Joseph Neal Richardson	1
9	G	Martin A. Feigenbaum, Esq.	1
1	G	Robert G. Geeseman, Esq.	1
2	D	Lawrence R. Maxwell, Jr., Esq.	2
3	G	Larry Mims	1
1	G	Richard S. Zaifert, Esq.	1
1	G	Nanci Sondra Landy - Chair; David P. Slater, Esq.; Marc S. Dobin, Esq.	1
2	G	Robert Steven Haught, Esq. - Chair; Gloria O. North, Esq.; Marisol Puga	1
1	G	Edward R. Niederriter, Esq.	1
1	G	Walter Steven Schwartz	1
1	G	Stuart K. Furman	1

22-02258	New Orleans, LA	10/04/2022	07/11/2023	07/26/2023	10205	Securities America Incorporated	ISC	2176088	Ronald Joseph Carazo	LA	The Rosenfeld Law Office	UN	NO
22-02044	San Francisco, CA	09/08/2022	06/20/2023	07/27/2023	3978; 19616	Lincoln Financial Advisors Corporation; Wells Fargo Clearing Services LLC	ISC	3090052	Matthew Edward Roberson	CA	HLBS Law	NO	NO
22-02452	Los Angeles, CA	10/26/2022	07/25/2023	08/02/2023	15340	Cetera Investment Services LLC	ISC	4201624	Mei Xia Guo	CA	Winget Spadafora & Schwartzberg	NO	NO
20-03018	Jersey City, NJ	09/04/2020	07/27/2023	08/03/2023	17499	SunTrust Investment Services Incorporated	ISC	2144853	Kevin P. Fay	NJ	AdvisorLaw LLC	NO NN	NO
22-02523	Houston, TX	11/07/2022	08/02/2023	08/03/2023	14819	Principal Securities Incorporated	Maynard Nexson PC	2021611	Donald Terry Jr.	TX	FA Expungement	NO	NO
22-01567	San Francisco, CA	07/13/2022	07/24/2023	08/04/2023	1027; 10205	Foothill Securities Incorporated; Securities America Incorporated	ISC	1447147	Paul Louis Knoblich	CA	HLBS Law	NO/NN	NO
23-00057	Nashville, TN	01/06/2023	07/25/2023	08/04/2023	12984	Invest Financial Corporation	Saretsky Hart et al.	5011536	Matthew Datis-O'Neal Kennedy	TN	AdvisorLaw LLC	OB	NO
23-00428	Dallas, TX	02/17/2023	07/24/2023	08/04/2023	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1130068; 1268213	David N. Bower; Russell E. Cooper	TX; TX	Bressler Amery & Ross	NO	NO
22-02627	Omaha, NE	11/15/2022	08/01/2023	08/07/2023	10299	Cetera Advisors LLC	ISC	1622995	Kirby Spencer McDonald	FL; AZ; NE	Winget Spadafora & Schwartzberg	OB	NO
23-00432	New York, NY	02/17/2023	07/26/2023	08/07/2023	116681	Hightower Securities LLC	ISC	1523734	Peter Joseph Klein	NY	Bressler Amery & Ross	OB/NO	NO
22-01896	Denver, CO	08/22/2022	08/01/2023	08/10/2023	30002; 32444; 10645; 124583; 14754; 10205	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)	2374045	Terry Morris Anderson	CO	The Rosenfeld Law Office	NO UN	NO

8	D	Robert H. Putnam, Jr., Esq. - Chair; Ralph Hamilton Schofield, Jr.; Eric M. Schorr	1
3	G	Kevin C. Coleman, JD	1
1	G	Robert D. Sussin, Esq.	1
6	G	Joan M. Traub, Esq.	1
1	G	Robert C. Rice	1
5	G/D	Daniel M. Yamshon, Esq. - Chair; Mary Margaret Bush, Esq.; Carlos Richard Mangum	1
1	G	Michael J. Ahlstrom, Esq.	1
2	G	Thomas W. Allen	1
1	G	Charles G. Michaels, Esq.	1
1	G	Lynne M. Reid-McQueen, Esq.	1
11	G/D	Leonard M. Goldstein - Chair; Steven A. Meyrich, Esq.; Aaron J. Haley, Esq.	1

22-02082	Atlanta, GA	09/12/2022	08/01/2023	08/10/2023	18456; 43035	SA Stone Wealth Management Incorporated; Southeast Investments NC Incorporated	ISC	1233778	David Kent Prewette	NC	AdvisorLaw LLC	UN	NO
23-00736	Philadelphia, PA	03/28/2023	08/07/2023	08/10/2023	39543; 2882	Cambridge Investment Research Incorporated; Voya Financial Advisors Incorporated (fka Washington Square Securities Incorporated)	ISC (CIR); Winget Spadafora & Schwartzberg (VFA)	2329819	Gary C. Sanson	PA	Bressler Amery & Ross	NO	NO
22-02754	Jersey City, NJ	12/02/2022	08/02/2023	08/15/2023	7691	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); Freniere Law Group PLLC (CSM)	1180416	James Brian Moran	FL	AdvisorLaw LLC	OB/NO	NO
22-02970	Tampa, FL	12/28/2022	07/25/2023	08/16/2023		None.	Customers	6986025	William J. Durrant	TN	Murphy & Anderson	NO	NO
23-00071	New York, NY	01/09/2023	08/15/2023	08/17/2023	10299	Cetera Advisors LLC	ISC	4838402	Korsa K. Nzidee	NY	Herskovits PLLC	NO	NO
22-02852	Los Angeles, CA	12/15/2022	08/09/2023	08/18/2023	7059	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	1103923	Stephen George Hekimian	CA	HLBS Law	NN	NO
23-00025	Boca Raton, FL	01/11/2023	08/03/2023	08/18/2023	137919; 32444	Capital Guardian LLC; First Allied Securities Incorporated	No-show (CG); ISC (FAS)	1089065	Robert Weissbein	FL	Winget Spadafora & Schwartzberg	NO	NO
23-00352	Des Moines, IA	02/10/2023	07/18/2023	08/18/2023	13572; 14503	Cetera Advisor Networks LLC; VSR Financial Services Incorporated	ISC	U CRD#4064503	Timothy J. Hawkins	IA	Rees Kincaid & Stanfield	NO UN	NO
23-00237	New York, NY	01/27/2023	08/16/2023	08/18/2023	7569	National Securities Corporation	ISC	2858626	Christopher Ortiz	NY	Carmel Milazzo & Feil LLP	NO	NO
22-02583	San Juan, PR	11/10/2022	08/14/2023	08/18/2023	8174	UBS Financial Services Incorporated	ISC	5161388	Michelle M. Rodriguez	PR	McConnell Valdes LLC	NO	NO
23-00210	New York, NY	01/25/2023	08/15/2023	08/21/2023	6363	Ameriprise Financial Services Incorporated	ISC	2419509	Jon Louis Newman	CT	Shumaker Loop & Kendrick	NO	NO
22-02748	Chicago, IL	12/01/2022	08/02/2023	08/23/2023	8174	UBS Financial Services Incorporated	John Murphy & Associates	5376727	Frederick Maximilian Kort	IL	AdvisorLaw LLC	NO	NO
22-01504	Minneapolis, MN	09/12/2022	07/19/2023	08/24/2023		None.	Customer	5170055	Terrence Scott Ransom	AZ	Robert D. Loventhal Law Offices	NO	NO

1	D	Barbara Black, Esq.	1
2	G	Louis P. Wagman	1
5	G	Veronica Ann Williams	2
1	G	Thomas J. Patka, Esq. - Chair; Kathy A. Tatone, Esq.; Caroline Josephine Welsh	1
1	G	Richard W. Vallario, Esq.	1
1	G	Benjamin F. Breslauer	1
2	G	Steven Gerard Goerke, Esq.	1
2	D	Michael William Gear - Chair (Dissents); Mark S. Foster, Esq.; David Evans Rosedahl, Esq.	1
1	G	Jeanne M. Keefe, Esq. - Chair; Denise Campbell Sagua, Esq.; Madelyn A. Levy, Esq.	1
8	G	Christopher J. Klein, Esq.	1
4	G	Richard W. Cutler, Esq. - Chair; Jay Alan Kranis; Lynda Kommel-Browne	1
4	G	Mark L. Miller, Esq.	1
1	G	Phyllis Karasov, Esq. - Chair; Martin D. Munic; Emily B. Boote	2

