

**BrokerCheck Report**

**DENNIS ALBERT MEHRINGER JR**

CRD# 722569

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## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



## DENNIS A. MEHRINGER JR

CRD# 722569

### Currently employed by and registered with the following Firm(s):

#### WESTERN INTERNATIONAL SECURITIES, INC.

70 SOUTH LAKE AVENUE  
SUITE 700  
PASADENA, CA 91101  
CRD# 39262

Registered with this firm since: 03/16/2009

#### WESTERN INTERNATIONAL SECURITIES, INC.

33 S. CATALINA BLVD. #201  
PASADENA, CA 91106  
CRD# 39262

Registered with this firm since: 03/16/2009

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

#### This broker is registered with:

- 1 Self-Regulatory Organization
- 6 U.S. states and territories

#### This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

#### This broker was previously registered with the following securities firm(s):

##### FIRST ALLIED SECURITIES, INC.

CRD# 32444  
PASADENA, CA  
05/2004 - 03/2009

##### FSC SECURITIES CORPORATION

CRD# 7461  
ATLANTA, GA  
08/2001 - 06/2004

##### WALNUT STREET SECURITIES, INC.

CRD# 15840  
EL SEGUNDO, CA  
10/1995 - 09/2001

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

#### The following types of disclosures have been reported:

Type	Count
Investigation	2
Customer Dispute	7

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 6 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **WESTERN INTERNATIONAL SECURITIES, INC.**

Main Office Address: **70 SOUTH LAKE AVENUE  
SUITE 700  
PASADENA, CA 91101**

Firm CRD#: **39262**

SRO	Category	Status	Date
FINRA	Direct Participation Programs	APPROVED	03/16/2009
FINRA	General Securities Principal	APPROVED	03/16/2009
FINRA	General Securities Representative	APPROVED	03/16/2009
FINRA	Invest. Co and Variable Contracts	APPROVED	03/16/2009
FINRA	Municipal Fund	APPROVED	03/16/2009

U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	03/16/2009
Florida	Agent	APPROVED	05/06/2015
Michigan	Agent	APPROVED	03/16/2009
Montana	Agent	APPROVED	06/15/2011
North Carolina	Agent	APPROVED	12/06/2011
Washington	Agent	APPROVED	11/04/2010

### Branch Office Locations

**WESTERN INTERNATIONAL SECURITIES, INC.**

## Broker Qualifications



### Employment 1 of 1, continued

33 S. CATALINA BLVD. #201  
PASADENA, CA 91106

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	05/23/2000
Municipal Fund Securities Principal Examination	Series 51	03/29/2003

### General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination	Series 6	01/23/1981
General Securities Representative Examination	Series 7	07/08/1998
Direct Participation Programs Representative Examination	Series 22	06/10/1992

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	09/07/1990
Uniform Combined State Law Examination	Series 66	08/24/2015

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
05/2004 - 03/2009	FIRST ALLIED SECURITIES, INC.	32444	PASADENA, CA
08/2001 - 06/2004	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
10/1995 - 09/2001	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
06/1990 - 02/1996	EQUICO SECURITIES, INC.	6627	NEW YORK, NY
06/1990 - 02/1996	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY
06/1994 - 10/1994	UNITED PACIFIC SECURITIES, INC.	21986	CARLSBAD, CA
10/1992 - 01/1994	NEW ENGLAND SECURITIES	615	NEW YORK, NY
03/1991 - 02/1992	U.S. SECURITIES CLEARING CORP.	15403	SAN DIEGO, CA
06/1987 - 03/1989	GUARDIAN INVESTOR SERVICES CORPORATION	6635	
09/1984 - 05/1987	PML SECURITIES COMPANY	4082	
02/1981 - 10/1984	NEL EQUITY SERVICES CORPORATION	615	

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
03/2009 - Present	WESTERN INTERNATIONAL SECURITIES, INC.	PASADENA, CA
08/2001 - Present	FSC SECURITIES CORPORATION	PASADENA , CA

## Registration and Employment History



### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

- 1) VELA & MEHRINGER, INC. DBA VMKS; NON-INVESTMENT RELATED; 33 S. CATALINA BLVD. #201, PASADENA, CA 91106; PRINCIPAL; THIRD PARTY ADMINISTRATOR FOR QUALIFIED PENSION & EMPLOYEE BENEFIT PLANS; PRINCIPAL; 08/16/1990; PART-TIME
  - 2) NEUTRA INSTITUTE FOR SURVIVAL THROUGH DESIGN; NON-INVESTMENT RELATED; 2440 NEUTRA PLACE, LOS ANGELES, CA 90039; SCHOLARSHIPS; 01/01/2011-PRESENT; 1HR/MO  
12/2016-PRESENT; MDT, LLC; NIR; CREATED TO SHARE LEASE EXPENSES; 600 S LAKE AVE #310 PASADENA, CA;
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## Disclosure Events

### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

**For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.**

	Pending	Final	On Appeal
Customer Dispute	0	7	N/A



Investigation	2	N/A	N/A
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## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST ALLIED SECURITIES
<b>Allegations:</b>	IN 2005 THE FC HAD ADVISED THE CUSTOMER OF THE ADVANTAGES OF A DEFINED BENEFIT PLAN. THE CUSTOMER ALLEGES THAT THE FC GAVE THEM ERRONEOUS ADVICE CONCERNING LOANS MADE FROM THE DBP AND PURCHASE OF REAL PROPERTY.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/17/2008
<b>Settlement Amount:</b>	\$75,000.00
<b>Individual Contribution Amount:</b>	\$75,000.00

### Civil Litigation Information



<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	SUPERIOR COURT OF CALIFORNIA
<b>Location of Court:</b>	LOS ANGELES
<b>Docket/Case #:</b>	CASE NO.: SC 100191
<b>Date Notice/Process Served:</b>	10/17/2008
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Monetary Judgment to Customer
<b>Disposition Date:</b>	10/28/2009
<b>Monetary Compensation Amount:</b>	\$75,000.00
<b>Individual Contribution Amount:</b>	\$75,000.00



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WESTERN INTERNATIONAL SECURITIES, INC.
<b>Allegations:</b>	MATTER WAS SETTLED BETWEEN REP & CLIENT FOR A TRADE NOT EXECUTED ON 05/20/2014
<b>Product Type:</b>	Debt-Corporate
<b>Alleged Damages:</b>	\$47,000.00
<b>Is this an oral complaint?</b>	Yes
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/24/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/24/2015
<b>Settlement Amount:</b>	\$47,000.00
<b>Individual Contribution Amount:</b>	\$47,000.00

### Disclosure 2 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST ALLIED SECURITIES, INC. AND WESTERN INTERNATIONAL SECURITIES, INC.
<b>Allegations:</b>	AT FIRST ALLIED 7/2007 TO 3/2009. THE CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY; FRAUD AND MISREPRESENTATION; NEGLIGENCE AND



NEGLIGENT SUPERVISION; BREACH OF CONTRACT; VIOLATION OF STATE AND FEDERAL LAWS; FAILURE TO SUPERVISE; AND BREACH OF FINRA RULES.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** AMOUNT UNSPECIFIED BUT BELIEVED TO EXCEED \$5,000.

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA DISPUTE RESOLUTION

**Docket/Case #:** 14-02643

**Filing date of arbitration/CFTC reparation or civil litigation:** 04/29/2015

### Customer Complaint Information

**Date Complaint Received:** 05/01/2015

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 05/01/2015

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA DISPUTE RESOLUTION

**Docket/Case #:** 14-02643



**Date Notice/Process Served:** 05/01/2015  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 05/24/2016  
**Monetary Compensation Amount:** \$290,000.00  
**Individual Contribution Amount:** \$45,000.00

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** WESTERN INTERNATIONAL SECURITIES, INC.  
**Allegations:** EXCESSIVE & IMPROPER COMMISSION CHARGES IN ADDITION TO UNAUTHORIZED TRADING during the period 2010 through 2013  
**Product Type:** Equity Listed (Common & Preferred Stock)  
 Mutual Fund  
**Alleged Damages:** \$165,000.00  
**Is this an oral complaint?** No  
**Is this a written complaint?** Yes  
**Is this an arbitration/CFTC reparation or civil litigation?** Yes  
**Arbitration/Reparation forum or court name and location:** FINRA  
**Docket/Case #:** 14-02643  
**Filing date of arbitration/CFTC reparation or civil litigation:** 08/26/2014

### Customer Complaint Information

**Date Complaint Received:** 05/22/2014  
**Complaint Pending?** No  
**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)



**Status Date:** 08/26/2014

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 14-02643

**Date Notice/Process Served:** 05/22/2014

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/24/2016

**Monetary Compensation Amount:** \$290,000.00

**Individual Contribution Amount:** \$45,000.00

### Disclosure 3 of 3

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** WESTERN INTERNATIONAL SECURITIES, INC.

**Allegations:** OVER CONCENTRATION WITH INADEQUATE PUT COVERAGE

**Product Type:** Options

**Alleged Damages:** \$140,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 08/06/2012





<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/10/2012
<b>Settlement Amount:</b>	\$81,296.00
<b>Individual Contribution Amount:</b>	\$0.00



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST ALLIED SECURITIES, INC.
<b>Allegations:</b>	CLIENT IS ALLEGING THAT REGISTERED REPRESENTATIVE, ALONG WITH ANOTHER INSURANCE AGENT, MISLEAD HER REGARDING THE STATUS OF A RIDER GUARANTEE ON HER ANNUITY CONTRACT.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$35,535.36
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/05/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	12/14/2010

### Settlement Amount:

### Individual Contribution Amount:

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST ALLIED SECURITIES, INC.



**Allegations:** CLIENT IS ALLEGING THAT REGISTERED REPRESENTATIVE, ALONG WITH ANOTHER INSURANCE AGENT, MISLEAD HER REGARDING THE STATUS OF A RIDER GUARANTEE ON HER ANNUITY CONTRACT.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$35,535.36

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 01/05/2009

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 12/14/2010

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 2 of 3

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FIRST ALLIED SECURITIES, INC.

**Allegations:** CLIENT CLAIMS HE DID NOT SIGN THE OPTION AGREEMENT, SIGNED 12/19/2006, TO EFFECT PURCHASE OF REVERSE CONVERTIBLE NOTES.

**Product Type:** Debt - Corporate

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 04/24/2007

**Complaint Pending?** No

**Status:** Closed/No Action



**Status Date:** 07/20/2007

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 3 of 3

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FIRST ALLIED SECURITIES, INC.

**Allegations:** [CUSTOMER] ALLEGED THAT SHE WAS NOT INFORMED OF HOW THE STRUCTURED PRODUCTS HELD IN HER DEFINED BENEFIT PLAN COULD POTENTIALLY LOSE VALUE BECAUSE OF THE STOCK PUT OPTION ASSOCIATED WITH THEM. SHE BEGAN FORMALLY QUESTIONING THIS ACTIVITY IN HER LETTER DATED 8/28/06. IN HER LETTER OF 10/4/2006 SHE REQUESTS REIMBURSEMENT OF \$7402.88 FOR "DEFICIENCIES" IN HER ACCOUNT.

**Product Type:** Other

**Other Product Type(s):** REVERSE CONVERTIBLES

**Alleged Damages:** \$7,402.88

### Customer Complaint Information

**Date Complaint Received:** 10/04/2006

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 04/20/2007

**Settlement Amount:**

**Individual Contribution Amount:**



## Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Initiated By:</b>	FINRA
<b>Notice Date:</b>	12/28/2015
<b>Details:</b>	Possible violations of NASD Rule 2310 & FINRA Rule 2010
<b>Is Investigation pending?</b>	Yes
<b>Broker Statement</b>	I did not commit any NASD Rule 2310 or FINRA Rule 2010 violations.

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Initiated By:</b>	FINRA
<b>Notice Date:</b>	12/04/2015
<b>Details:</b>	Possible violations of FINRA Rule 2010 regarding Outside Business Activities & Settling Away with a Customer
<b>Is Investigation pending?</b>	Yes
<b>Broker Statement</b>	I did not commit any violations regarding outside business activities, settling away, or otherwise.

## End of Report



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