



IAPD Report

JOHN AMADOR BLAKEZUNIGA

CRD# 1014886

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JOHN AMADOR BLAKEZUNIGA (CRD# 1014886)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VANGUARD CAPITAL	CRD# 285052	11/21/2016

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	VANGUARD CAPITAL	22081	IRVINE, CA	08/08/2006 - 12/31/2016
B	VANGUARD CAPITAL	22081	IRVINE, CA	02/07/1999 - 12/31/2016
IA	SECTOR LOGIC, LP	143470	LOS ALAMITOS, CA	06/21/2007 - 09/14/2011

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VANGUARD CAPITAL**
Main Address: 999 18 ST SUITE 3000
DENVER, CO 80202
Firm ID#: 285052

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/21/2016

Branch Office Locations

VANGUARD CAPITAL
2030 Main Street
13th Floor
Irvine, CA 92614



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/23/1999
Registered Options Principal Examination (S4)	Series 4	06/08/1999

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	12/31/2016
Futures Managed Funds Examination (S31)	Series 31	06/24/1994
Interest Rate Options Examination (S5)	Series 5	11/09/1981
General Securities Representative Examination (S7)	Series 7	10/17/1981

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/07/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	11/01/1982

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/08/2006 - 12/31/2016	VANGUARD CAPITAL	CRD# 22081	IRVINE, CA
B	02/07/1999 - 12/31/2016	VANGUARD CAPITAL	CRD# 22081	IRVINE, CA
IA	06/21/2007 - 09/14/2011	SECTOR LOGIC, LP	CRD# 143470	LOS ALAMITOS, CA
IA	06/15/2007 - 09/14/2011	AMERICAN STRATEGIC CAPITAL	CRD# 138144	LOS ALAMITOS, CA
B	07/31/1993 - 02/01/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	03/05/1993 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	12/12/1983 - 02/25/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/12/1984 - 04/15/1987	PRUDENTIAL-BACHE PUERTO RICO INC.	CRD# 8450	
B	10/31/1981 - 12/09/1983	PAINE, WEBBER, JACKSON & CURTIS INC.	CRD# 8174	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2016 - Present	Vanguard Capital Wealth Advisors, LLC	Financial Advisor	Y	Irvine, CA, United States
09/2013 - Present	800AARDVARK.COM LLC	OWNER	N	HENDERSON, NV, United States
01/1999 - 12/2016	VANGUARD CAPITAL	NOT PROVIDED	Y	IRVINE, CA, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

PAYDAY LOAN LLC - NON-INVESTMENT RELATED; 46% STOCK HOLDER NO ACTIVE DUTIES; // 800AARDVARK.COM - OWNER - MARKETING 1-800 NUMBER - 0% OF TIME TO THIS ACTIVITY AS BUSINESS IS DORMANT// Clarity Consulting International LLC - Sole owner, managing member; affiliation started Feb 2016; 30 - 50 hours per month; Consulting services to Payday Loan regarding general business strategy, real estate leasing, pawn activities, payday loan activities and personnel management //



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 04/03/2017

Docket/Case Number: [2016048453601](#)

Employing firm when activity occurred which led to the regulatory action: Vanguard Capital

Product Type: Other: non-traditional ETFs

Allegations: Without admitting or denying the findings, Blakezuniga consented to the sanctions and to the entry of findings that he borrowed a total of \$775,000 from two of his member firm's customers in violation of the firm's policy and he has not repaid the full principal amount owed for either of these loans. The findings stated that Blakezuniga completed the firm's annual compliance questionnaire and answered no to a question that asked if he had ever borrowed money from a customer. This answer was false because Blakezuniga had, in fact, previously borrowed money. The findings also stated that Blakezuniga recommended approximately 1,280 transactions in inverse and inverse leveraged exchange traded funds (non-traditional ETFs) in 85 customer accounts without a reasonable basis for the recommendations. Specifically, despite the warning in the prospectuses for the non-traditional ETFs (as well as FINRA Regulatory Notice 09-31), Blakezuniga recommended that the non-traditional ETF positions be held in customer accounts for periods ranging from approximately 30 days to several years. Blakezuniga did not have reasonable grounds for believing these recommendations were suitable giving that these investments were not meant to be held for long periods of time.

Current Status: Final



Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/03/2017

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: Any capacity
Duration: 22 months
Start Date: 04/03/2017
End Date: 02/02/2019

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$25,000.00
Portion Levied against individual: \$25,000.00
Payment Plan: deferred
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Monetary Penalty other than Fines
Suspension
Date Initiated: 04/03/2017
Docket/Case Number: [2016048453601](#)



Employing firm when activity occurred which led to the regulatory action:	Vanguard Capital CRD #22081
Product Type:	Other: Leveraged ETF
Allegations:	Allegations were failure to disclose loans originated by clients; improper completion of compliance review; and unsuitable recommendations in leveraged ETFs for more than one trading period.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/03/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities for Association with FINRA Member
Duration:	22 months
Start Date:	04/03/2017
End Date:	02/03/2019
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$25,000.00
Portion Levied against individual:	\$25,000.00
Payment Plan:	Payment due upon reassociation with FINRA member firm, if any.
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Disclosure 2 of 3	
Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/30/2011



Docket/Case Number:	2010024761201
Employing firm when activity occurred which led to the regulatory action:	VANGUARD CAPITAL
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULES 2110, 3030: BLAKE-ZUNIGA FAILED TO PROVIDE PROMPT WRITTEN NOTICE OF AN OUTSIDE BUSINESS ACTIVITY TO HIS MEMBER FIRM. BLAKE-ZUNIGA FORMED A COMPANY BEFORE BECOMING ASSOCIATED WITH HIS FIRM; ONCE HE BECAME ASSOCIATED WITH HIS FIRM, HE DISCLOSED THE COMPANY HE FORMED AS AN OUTSIDE BUSINESS ACTIVITY AND DESCRIBED HIS ROLE AS A PASSIVE INVESTOR WITH NO DAY TO DAY EMPLOYMENT OR MANAGEMENT RESPONSIBILITY. WHILE STILL ASSOCIATED WITH HIS FIRM, BLAKE-ZUNIGA BECAME A DIRECTOR AND THE CEO OF THE COMPANY. THIS WAS A MATERIAL CHANGE IN THE NATURE OF BLAKE-ZUNIGA'S AFFILIATION WITH HIS COMPANY AND, THEREFORE, A NEW OUTSIDE BUSINESS ACTIVITY OF WHICH HE WAS REQUIRED TO PROVIDE THE FIRM WITH PROMPT WRITTEN NOTICE; BLAKE-ZUNIGA FAILED TO PROVIDE THE FIRM WITH THE REQUIRED NOTICE.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/30/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	30 BUSINESS DAYS
Start Date:	09/19/2011



End Date: 10/28/2011

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 09/09/2011

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, BLAKE-ZUNIGA CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM SEPTEMBER 19, 2011, THROUGH OCTOBER 28, 2011.

Reporting Source: Individual

Regulatory Action Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

Sanction(s) Sought:

Date Initiated: 11/15/2010

Docket/Case Number: [2010024761201](#)

Employing firm when activity occurred which led to the regulatory action: VANGUARD CAPITAL

Product Type: Other: DISCLOSURE - OUTSIDE BUSINESS ACTIVITY

Allegations: MR. BLAKE-ZUNIGA FAILED TO PROVIDE PROMPT WRITTEN NOTICE TO HIS EMPLOYER FIRM OF AN UPDATE TO A PREVIOUS OUTSIDE BUSINESS ACTIVITY. THIS CONDUCT VIOLATED NASD CONDUCT RULES 3030 AND 2110 AND FINRA RULE 2010.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 08/30/2011

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)



Sanction 1 of 1	Suspension
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THIRTY (30) BUSINESS DAYS
Start Date:	09/19/2011
End Date:	10/28/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	A PERSONAL, BUSINESS OR BANK CHECK FOR THE FULL AMOUNT
Is Payment Plan Current:	Yes
Date Paid by individual:	09/08/2011
Was any portion of penalty waived?	No
Amount Waived:	
Disclosure 3 of 3	
Reporting Source:	Regulator
Regulatory Action Initiated By:	ARKANSAS SECURITIES DEPARTMENT
Sanction(s) Sought:	Cease and Desist Monetary Penalty other than Fines Other: CONSENT ORDER
Date Initiated:	03/30/2011
Docket/Case Number:	S-11-0228-11OR1
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	VANGUARD CAPITAL, CRD #22081
Product Type:	Promissory Note
Allegations:	BLAKEZUNIGA FAILED TO DISCLOSE TO HIS BROKER-DEALER HIS POSITION AS CEO OR CHIEF EXECUTIVE OF AN ENTITY IN WHICH HE ISSUED PROMISSORY NOTES AND THEREFORE CONDUCTED UNAUTHORIZED OUTSIDE BUSINESS ACTIVITIES.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

03/30/2011

Sanctions Ordered:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$3,500.00

Portion Levied against individual:

\$3,500.00

Payment Plan:

Is Payment Plan Current:

Yes

Date Paid by individual:

03/30/2011

Was any portion of penalty waived?

No

Amount Waived:

Regulator Statement

BLAKEZUNIGA FAILED TO UPDATE HIS OUTSIDE BUSINESS ACTIVITY NOTIFICATION FORM TO DISCLOSE HIS POSITION AS CEO OR CHIEF EXECUTIVE OF A CORPORATION FOR WHICH HE ISSUED PROMISSORY NOTES.

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Reporting Source:

Individual

Regulatory Action Initiated By:

ARKANSAS SECURITIES COMMISSIONER

Sanction(s) Sought:

Cease and Desist

Date Initiated:

03/24/2011

Docket/Case Number:

S-11-0228

Employing firm when activity occurred which led to the regulatory action:

VANGUARD CAPITAL FINRA BROKER DEALER # 22081

Product Type:

Other: NON DISCLOSED OUTSIDE BUSINESS ACTIVITY

Allegations:

ACCOUNT EXECUTIVE TRANSITIONED FROM PASSIVE INVESTOR TO ACTIVE EXECUTIVE OF OUTSIDE BUSINESS.

Current Status:

Final

Resolution:

Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	03/24/2011
Sanctions Ordered:	Cease and Desist
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,500.00
Portion Levied against individual:	\$3,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/24/2011
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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