



## IAPD Report

# JONATHAN WALTER WAY

CRD# 1126849

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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

### JONATHAN WALTER WAY (CRD# 1126849)

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 **02/22/2024**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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	WEDBUSH SECURITIES INC.	877	NAPA, CA	10/28/2013 - 08/18/2022
IA	RYAN BECK & CO.,INC. DBA RYAN BECK & CO.	3248	SAN FRANCISCO, CA	08/05/2002 - 10/03/2002

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	2
Customer Dispute	3
Termination	1



## 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 not currently registered as an Investment Adviser Representative.



## 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.

No information reported.



### 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	10/28/2013 - 08/18/2022	WEDBUSH SECURITIES INC.	CRD# 877	NAPA, CA
IA	08/05/2002 - 10/03/2002	RYAN BECK & CO.,INC. DBA RYAN BECK & CO.	CRD# 3248	SAN FRANCISCO, CA

### 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
09/2002 - Present	WEDBUSH MORGAN SECURITIES	REGISTERED REP	Y	SAN FRANCISCO, CA, United States

### 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.

No information reported.



## 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	2
Customer Dispute	3
Termination	1

### 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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	06/29/2023
<b>Docket/Case Number:</b>	2022076025501
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Wedbush Securities, Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Without admitting or denying the findings, Way consented to the sanctions and to the entry of findings that he refused to provide documents and information requested FINRA in connection with an investigation. The findings stated that this matter originated from FINRA's review of a Form U5 filed by Way's member firm, that stated that he was permitted to resign while under internal review for potential sales practice violations. Way responded to FINRA's initial request, however, he ultimately refused to produce the information and documents requested.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:**

06/29/2023

**Sanctions Ordered:**

Bar (Permanent)

**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:** Bar (Permanent)

**Capacities Affected:** All capacities

**Duration:** Indefinite

**Start Date:** 06/29/2023

**End Date:**

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** OHIO DIVISION OF SECURITIES 77 SOUTH HIGH STREET, 2\*SEE FAQ #1\*

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/24/1999

**Docket/Case Number:** 99-230

**Employing firm when activity occurred which led to the regulatory action:** MOORS & CABOT INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NOT OF GOOD BUSINESS REPUTE.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 05/24/1999

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**



<b>Sanction Details:</b>	SECURITIES SALESMAN LICENSE APPLICATION WAS DENIED.
<b>Regulator Statement</b>	ON MAY 24, 1999, THE DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESMAN LICENSE, DIVISION ORDER 99-230, AGAINST WAY. THE DIVISION FOUND THAT WAY WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(G) AND (9) AND OHIO REVISED CODE SECTION 1707.19(A)(1). WAY'S STATUS IN OHIO WITH GRUNTAL & CO., L.L.C. STATES "TERM W/O REG" WHEN IT SHOULD SHOW A REJECTED STATUS FOR OHIO. THIS IS DUE TO THE FACT THAT WAY FILED A FORM U-5 AFTER THE DIVISION FINALIZED THE FINAL ORDER, AT THAT TIME A U-5 WAS NO LONGER AN OPTION.
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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	OHIO DIVISION OF SECURITIES 77 SOUTH HIGH STREET
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/24/1999
<b>Docket/Case Number:</b>	99-230
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MOORS & CABOT, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	VIOLATION OF OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(G) & (9) OHIO REVISED CODE SECTION 1707.19(A)(1).
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	05/24/1999
<b>Sanctions Ordered:</b>	Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	SECURITIES SALESMAN LICENSE APPLICATION WAS DENIED.
<b>Broker Statement</b>	IN MARCH 1999, MR. WAY'S PRIOR FIRM, MOORS & CABOT ("M&C") SUBMITTED RR'S REGISTRATION APPLICATION TO OH WHICH WAS DENIED BY UNCONTESTED FINAL ORDER 99-203 ON 5/24/99 (THE "ORDER"). M&C CLAIMED TO HAVE NOT RECEIVED OH'S PRIOR NOTICE OF INTENT TO DENY THE APPLICATION AND THUS DID NOT WITHDRAW RR IN A TIMELY FASHION; THE ORDER WAS THEN ISSUED AFTER RR COMMENCED EMPLOYMENT WITH GRUNTAL. THE ORDER'S UNCONTESTED FINDINGS DERIVE FROM 2 INCIDENTS ON RR'S CRD WHICH RR ASSERTS ARE DEFENSIBLE AND HE REGRETS THE CLERICAL OVERSIGHT WHICH LED TO THE ORDER. A LETTER OF EXPLANATION WAS SENT TO OH BY GRUNTAL.





## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	WEDBUSH SECURITIES INC.
<b>Allegations:</b>	Allegations consist of excessive, unauthorized, and unsuitable trading.
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$1,000,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	22-02793
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	12/07/2022

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/23/2022
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	11/02/2023
<b>Settlement Amount:</b>	\$750,000.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 3

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	SMITH BARNEY
<b>Allegations:</b>	CHURNING; SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE
<b>Product Type:</b>	



**Alleged Damages:** \$150,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** UNKNOWN - CASE #95-05604

**Date Notice/Process Served:** 11/30/1995

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/03/1996

**Disposition Detail:** CASE CLOSED,SETTLED/OTHER  
ACTUAL/COMPENSATORY DAMAGES, RELIEF  
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND  
SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD  
AMOUNT  
JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,  
AWARD  
AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

.....

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY

**Allegations:** CUSTOMER ALLEGED LACK OF SUITABILITY,  
UNAUTHORIZED TRADING AND CHURNING IN CONNECTION WITH  
INVESTMENTS IN VARIOUS STOCKS AND SOUGHT \$150,000 IN DAMAGES.

**Product Type:**

**Alleged Damages:** \$150,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/04/1995

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 04/03/1996

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 95-05604



**Date Notice/Process Served:** 11/30/1995  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/03/1996  
**Monetary Compensation Amount:** \$85,000.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** W/O ADMITTING OR DENYING LIABILITY, DEAN WITTER  
AFGREED TO SETTLE THE CLAIM FOR \$30,000 TO AVOID THE COSTS OF  
LITIGATION.  
Not Provided

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY  
**Allegations:** UNSUITABLE TRANSACTION, UNAUTHORIZED TRADES,  
FAILURE TO PROVIDE A PROSPECTUS TO CLIENT. CUSTOMER SOUGH  
\$150,000 FROM DEAN WITTER AND \$250,000 FROM SMITH BARNEY.  
(CUSTOMER ALLEGED THAT ALTHOUGH HER ACCOUNT WAS PROFITABLE,  
THE  
PROFITS SHOULD HAVE EARNED A 25% RATE OF RETURN OVER ONE  
YEAR.  
SHE CLAIMED DAMAGES OF \$298,458.

**Product Type:**

**Alleged Damages:** \$150,000.00

**Customer Complaint Information**

**Date Complaint Received:** 10/04/1995  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 04/03/1996  
**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 95-05604

**Date Notice/Process Served:** 11/30/1995  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/03/1996



**Monetary Compensation Amount:** \$85,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

PRIOR TO ANY ARBITRATION HEARING, WITHOUT ADMITTING LIABILITY, DEAN WITTER AGREED TO SETTLE THE CLAIM FOR \$30,000. WITHOUT ADMITTING LIABILITY, SMITH BARNEY SETTLED IN THE AMOUNT OF \$55,000. I WAS NOT ASKED TO CONTRIBUTE IN EITHER CASE.

I MAINTAIN THAT CUSTOMER WAS INFORMED OF ALL TRADES AND THAT SHE AUTHORIZED ALL TRANSACTIONS, THAT ALL TRANSACTIONS WERE HANDLED PROPERLY AND SHE APPROVED ALL ACTIVITY IN THE ACCOUNTS, THAT TRADES WERE CONSISTENT WITH HER OBJECTIVES AND SHE WAS AWARE OF EACH AND EVERY TRADE. I MAINTAIN THAT AT NO TIME DID I ADMIT LIABILITY AND BECAUSE OF THIS, I NEVER PARTICIPATED IN ANY OF THE MONETARY DAMAGES TO CUSTOMER, SMITH BARNEY OR DEAN WITTER.

### Disclosure 3 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** L.F. ROTHSCHILD

**Allegations:** CUSTOMER CLAIMED THAT HE SUSTAINED LOSSES FROM THE PURCHASE OF LF ROTHSCHILD DEBENTURES AND COMMON STOCK

**Product Type:**

**Alleged Damages:** \$250,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation  
Litigation

**Status Date:** 06/15/1989

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Disposition:** Settled

**Disposition Date:** 06/15/1989

### Civil Litigation Information

**Court Details:** C88-1904

**Date Notice/Process Served:** 04/15/1988

**Litigation Pending?** No

**Disposition:** Settled



**Disposition Date:**

**Broker Statement**

WITHOUT ANY ADMISSION OF GUILT, THE CASE WAS SETTLED FOR \$75,000. L.F. ROTHSCHILD AND [OTHER FIRM EMPLOYEE] CONTRIBUTED ALL BUT \$1,300 TO THIS SETTLEMENT. THE \$1300 WAS MY CONTRIBUTION.  
DURING MY EMPLOYMENT AL L.F. ROTHSCHILD, I WAS EMPLOYED AS A JUNIOR PARTNER/CO LD CALLER FOR [OTHER FIRM EMPLOYEE] AT A RATE OF 95%/5% SHARING ARRANGEMENT. I WAS NOT RESPONSIBLE FOR ANY INVESTMENT DECISIONS. I WAS ONLY NAMED BECAUSE I INTRODUCED [OTHER FIRM EMPLOYEE], [CUSTOMER].



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Firm Name:** SMITH BARNEY INC.

**Termination Type:** Permitted to Resign

**Termination Date:** 10/04/1995

**Allegations:** N/A  
WHEN THE MANAGER A SMITH BARNEY RECEIVED THAT  
CLIENT COMPLAINT FROM KATHLEEN GLASSMAN, HE FELT AT THAT TIME  
THAT I SHOULD RESIGN.

**Product Type:**

**Other Product Types:**

**Broker Statement** TERMINATION  
WITHOUT ANY KIND OF INVESTIGATION INTO THE  
ALLEGATIONS BY GLASSMAN, THE MANAGER BILL STEPANEK SUMMARILY  
ASKED ME TO LEAVE THAT DAY. THE COMPLAINT WAS SETTLED FOR CASH  
OF WHICH I CONTRIBUTED \$0.00.



## End of Report

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