IAPD Report

GEORGE ROBERT GONZALEZ

CRD# 1266143

Section Title	Page(s)

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

GEORGE ROBERT GONZALEZ (CRD# 1266143)

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 **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	04/20/2022
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	02/09/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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
B	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ	09/30/2002 - 04/20/2022
B	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, NY	08/19/2002 - 10/01/2002
B	KIRLIN SECURITIES INC.	21210	SYOSSET, NY	02/22/1996 - 07/10/2002

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	1
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 currently registered with **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	02/09/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	02/10/2026

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1161 HILLSBORO MILE
HILLSBORO BEACH, FL 33062

CETERA INVESTMENT ADVISERS LLC
1206 E WARNER RD STE 210
GILBERT, AZ 85296

CETERA INVESTMENT ADVISERS LLC
PHOENIX, AZ

Employment 2 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/20/2022
B	FINRA	General Securities Representative	Approved	04/20/2022
B	FINRA	Municipal Securities Principal	Approved	04/20/2022

Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Municipal Securities Representative	Approved	04/20/2022
B	Arizona	Agent	Approved	04/20/2022
B	California	Agent	Approved	04/20/2022
B	Connecticut	Agent	Approved	04/20/2022
B	Florida	Agent	Approved	04/22/2022
B	Indiana	Agent	Approved	04/20/2022
B	Maryland	Agent	Approved	04/20/2022
B	New Jersey	Agent	Restricted Approval	04/20/2022
B	New York	Agent	Approved	04/20/2022
B	North Carolina	Agent	Approved	06/17/2025
B	Pennsylvania	Agent	Approved	04/20/2022
B	Texas	Agent	Approved	01/09/2024

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
PHOENIX, AZ

CETERA ADVISOR NETWORKS LLC
1161 Hillsboro Mile
Hillsboro Beach, FL 33062

CETERA ADVISOR NETWORKS LLC
1206 E WARNER RD STE 210
GILBERT, AZ 85296

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/17/1992
B	Municipal Securities Principal Examination (S53)	Series 53	08/01/1990

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/19/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/24/2025
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/07/1986

PROFESSIONAL DESIGNATIONS

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

No information reported.

User Guidance

www.adviserinfo.sec.gov

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	09/30/2002 - 04/20/2022	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	SCOTTSDALE, AZ
B	08/19/2002 - 10/01/2002	CONTINENTAL BROKER-DEALER CORP.	CRD# 14048	CARLE PLACE, NY
B	02/22/1996 - 07/10/2002	KIRLIN SECURITIES INC.	CRD# 21210	SYOSSET, NY
B	08/05/1985 - 02/23/1996	HALPERT AND COMPANY, INC.	CRD# 7094	MILLBURN, NJ
B	05/31/1984 - 08/12/1985	FIRST MONMOUTH SECURITIES CORP.	CRD# 13268	

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
04/2026 - Present	ADVANCED WEALTH MANAGEMENT	FINANCIAL PROFESSIONAL	Y	Phoenix, AZ, United States
02/2026 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
04/2022 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
09/2002 - 04/2022	FIRST FINANCIAL EQUITY CORP	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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.

1. NAME OF OTHER BUSINESS: FFEC WEALTH PARTNERS,
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 04/2022,
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL,
APX NUMBER OF HOURS PER WEEK: 40,

Registration & Employment History

OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

2. NAME OF OTHER BUSINESS: ADVANCED WEALTH MANAGEMENT
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 4/21/2026,
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL (OR OWNER/PARTNER),
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF HOURS DURING TRADING HOURS: 30,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

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	1
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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/16/2001
Docket/Case Number:	C9B010093
Employing firm when activity occurred which led to the regulatory action:	KIRLIN SECURITIES, INC.
Product Type:	Debt-Municipal
Allegations:	NASD RULES 2110 AND 2310 - RESPONDENT RECOMMENDED AND EFFECTED SECURITIES TRANSACTIONS IN THE ACCOUNTS OF PUBLIC CUSTOMERS WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THESE RECOMMENDATIONS AND SUBSEQUENT TRANSACTIONS WERE SUITABLE FOR THE CUSTOMERS ON THE BASIS OF FINANCIAL SITUATION, INVESTMENT OBJECTIVES, AND NEEDS.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement

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:	05/08/2002
Sanctions Ordered:	Restitution 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 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:	ALL CAPACITIES
Duration:	THIRTY DAYS
Start Date:	07/01/2002
End Date:	07/30/2002
Monetary Sanction 1 of 2	
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:	
Date Paid by individual:	04/07/2003
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	$8,000.00
Portion Levied against individual:	$8,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:	
Regulator Statement	RESPONDENT SUBMITTED OFFER OF SETTLEMENT WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT.

Reporting Source:	Firm
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/16/2001
Docket/Case Number:	C9B010093
Employing firm when activity occurred which led to the regulatory action:	KIRLIN SECURITIES, INC.
Product Type:	Debt - Municipal
Other Product Type(s):	MORTGAGE BACKED SECURITIES, MONEY MARKET FUNDS
Allegations:	NASD RULES 2110, 2310 - RESPONDENT RECOMMENDED AND EFFECTED SECURITIES TRANSACTIONS IN THE ACCOUNTS OF PUBLIC CUSTOMERS WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THESE RECOMMENDATIONS AND SUBSEQUENT TRANSACTIONS WERE SUITABLE FOR THE CUSTOMERS ON THE BASIS OF FINANCIAL SITUATION, INVESTMENT OBJECTIVES AND NEEDS.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	05/08/2002
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ANY CAPACITY FOR 30 DAYS AND PAY FINE OF $5,000.00. PAY RESTITUTION OF $8,000.00 TO PUBLIC CUSTOMER. SUSPENSION IN EFFECT FROM JULY 1, 2002 THROUGH JULY 30, 2002.
Firm Statement	MR. GONZALEZ SUBMITTED OFFER OF SETTLEMENT WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	FINE OF $5,000.00
Date Initiated:	11/16/2001
Docket/Case Number:	C9B010093

Employing firm when activity occurred which led to the regulatory action:	KIRLIN SECURITIES, INC.
Product Type:	Debt - Municipal
Other Product Type(s):	MORTGAGE-BACKED SECURITIES, MONEY MARKET FUNDS
Allegations:	NASD RULES 2110, 2310 - RESPONDENT RECOMMENDED AND EFFECTED SECURITIES TRANSACTIONS IN THE ACCOUNTS OF PUBLIC CUSTOMERS WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THESE RECOMMENDATIONS AND SUBSEQUENT TRANSACTIONS WERE SUITABLE FOR THE CUSTOMERS ON THE BASIS OF FINANCIAL SITUATION, INVESTMENT OBJECTIVES AND NEEDS.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	05/08/2002
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THIRTY (30) DAYS AND PAY A FINE OF $5,000. RESPONDENT SHALL PAY RESTITUTION OF $8,000 TO PUBLIC CUSTOMER. WITHIN THIRTY (30) DAYS AFTER PAYING THE RESTITUTION REQUIRED UNDER THE SETTLEMENT AGREEMENT, OR NO LATER THAN JANUARY 31, 2003, RESPONDENT SHALL FURMISH THE NASD WITH SATISFACTORY PROOF OF PAYMENT OR RESTITUTION. IF THE RESPONDENT FAILS TO PROVIDE PROVIDE THE NASD WITH PROOF OF RESTITUTION IN THE MANNER SET FORTH ABOVE, HE SHALL BE SUSPENDED FROM ASSOCIATION WITH ANY MEMBER FIRM IN ANY CAPACITY UNTIL SUCH PROOF HAS BEEN PROVIDED. THE SUSPENSION SHALL GO INTO EFFECT ON JULY 1, 2002 AND END ON JULY 30, 2002.
Broker Statement	RESPONDENT SUBMITTED OFFER OF SETTLEMENT WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINTS

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST FINANCIAL
Allegations:	NEGLIGENCE AND MISREPRESENTATION IN THE SALE OF PUERTO RICO MUNICIPAL BONDS.
Product Type:	Debt-Municipal
Alleged Damages:	$1,750,000.00
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 #:	14-03763
Filing date of arbitration/CFTC reparation or civil litigation:	12/13/2014

Customer Complaint Information

Date Complaint Received:	02/02/2015
Complaint Pending?	No
Status:	Settled
Status Date:	12/09/2015
Settlement Amount:	$415,000.00
Individual Contribution Amount:	$290,500.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	KIRLIN SECURITIES
Allegations:	EXECUTOR OF CUSTOMER'S ESTATE ALLEGES THAT PURCHASE OF IRIDIUM LLC BONDS IN DECEMBER OF 1998 WAS UNSUITABLE.
Product Type:	Debt-Corporate

Alleged Damages:	$18,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS FIELD WAS NOT PREVIOUSLY MARKED BY THE FILING FIRM.
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:	11/15/1999
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/11/2010
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	HALPERT & CO., INC.
Allegations:	MISREPRESENTATION
Product Type:	
Alleged Damages:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #92-02825
Date Notice/Process Served:	10/23/1992
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	07/07/1993
Disposition Detail:	AWARD AGAINST PARTY ***GONZALEZ IS J&S LIABLE FOR $562.00***

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HALPERT & CO., INC.
Allegations:	THERE WERE NO ALLEGATIONS AGAINST ME!

Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/07/1993
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 92-02825
Date Notice/Process Served:	10/23/1992
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/07/1993
Monetary Compensation Amount:	$562.00
Individual Contribution Amount:	
Broker Statement	CLAIMANT WAS PAID $562.00 Not Provided

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:	KIRLIN SECURITIES, INC
Termination Type:	Discharged
Termination Date:	06/13/2002
Allegations:	RESPONDENT RECOMMENDED AND EFECTED SECURITIES TRANSACTIONS IN THE ACCOUNTS OF PUBLIC CUSTOMERS WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THESE RECOMMENDATIONS AND SUBSEQUESNT TRANSACTIONS WERE SUITABLE FOR THE CUSTOMERS ON THE BASIS OF FINANCIAL SITUATION, INVESTMENT OBJECTIVES AND NEEDS.
Product Type:	Debt - Municipal
Other Product Types:	
Broker Statement	DUE TO DISCIPLINARY PROCEEDINNG C9B010093, KIRLIN SEC. TERMINATED MR. GONZALEZ BECAUSE THEY WERE NOT EQUIPPED TO PROVIDE THE HEIGHTENED SUPERVISION THE NASD MANDATED.

End of Report

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