IAPD Report

RALPH GERARD ADAMO

CRD# 1624126

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

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

RALPH GERARD ADAMO (CRD# 1624126)

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 **04/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KOVACK ADVISORS, INC.	CRD# 140808	01/02/2018
B	KOVACK SECURITIES INC.	CRD# 44848	11/08/2021

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **6** 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	CSENGE ADVISORY GROUP, LLC	131167	Newport Beach, CA	10/11/2016 - 01/03/2018
IA	FSC SECURITIES CORPORATION	7461	NEWPORT BEACH, CA	07/10/2007 - 12/22/2017
B	FSC SECURITIES CORPORATION	7461	NEWPORT BEACH, CA	04/05/1995 - 12/22/2017

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	4
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 **6** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KOVACK SECURITIES INC.**

Main Address: 6451 N. FEDERAL HWY.
SUITE 1201
FT. LAUDERDALE, FL 33308

Firm ID#: 44848

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/08/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	11/08/2021
B	California	Agent	Approved	12/09/2021
B	Colorado	Agent	Approved	10/17/2024
B	Delaware	Agent	Approved	04/26/2025
B	Florida	Agent	Approved	09/27/2024
B	Texas	Agent	Approved	01/18/2024
B	Utah	Agent	Approved	01/12/2022

Branch Office Locations

RK ADVISORS
3991 Macarthur Blvd
Suite 215
Newport Beach, CA 92660

Employment 2 of 2

Firm Name: **KOVACK ADVISORS, INC.**

Main Address: 6451 N. FEDERAL HWY
SUITE 1201
FT. LAUDERDALE, FL 33308

Qualifications

Firm ID#: 140808

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	07/01/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	01/02/2018

Branch Office Locations

KOVACK ADVISORS, INC.
3991 Macarthur Blvd., Suite 215
Newport Beach, CA 92660

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	10/29/2021
B	Securities Industry Essentials Examination (SIE)	SIE	12/22/2017
B	General Securities Representative Examination (S7)	Series 7	03/21/1987

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/01/2021
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/03/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	10/11/2016 - 01/03/2018	CSENGE ADVISORY GROUP, LLC	CRD# 131167	Newport Beach, CA
IA	07/10/2007 - 12/22/2017	FSC SECURITIES CORPORATION	CRD# 7461	NEWPORT BEACH, CA
B	04/05/1995 - 12/22/2017	FSC SECURITIES CORPORATION	CRD# 7461	NEWPORT BEACH, CA
IA	05/21/1997 - 12/31/2005	FSC SECURITIES CORPORATION	CRD# 7461	NEWPORT BEACH, CA
B	11/15/1988 - 03/03/1995	CIGNA FINANCIAL ADVISORS,INC.	CRD# 145	RADNOR, PA
B	03/25/1987 - 11/26/1988	TRAVELERS EQUITIES SALES, INC.	CRD# 833	

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
09/2021 - Present	Kovack Securities, Inc.	Registered Representative	Y	Fort Lauderdale, FL, United States
01/2018 - Present	Kovack Advisors, Inc	Investment Advisor	Y	Fort Lauderdale, FL, United States
10/2016 - 01/2018	Csenge Advisory Group, LLC	IAR	Y	Newport Beach, CA, United States
10/2003 - 12/2017	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	NEWPORT BEACH, 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.

1) DBA - INTEGRITY WEALTH MANAGEMENT - 3991 MACARTHUR BLVD #215; NEWPORT BEACH, CA 92660; INVESTMENT-RELATED; OWNER, PRESIDENT & CEO; 100% OF TIME SPENT
2) CONTRIBUTING AUTHOR FOR HORSEMOUTH - NEWPORT BEACH, CA; INDUSTRY & PRACTICE RELATED TOPICS; AUTHOR; 10 HOURS/YEAR
3) INTEGRITY WEALTH MANAGEMENT INSURANCE SERVICES - 3991 MACARTHUR BLVD #215; NEWPORT BEACH, CA 92660; INSURANCE AGENT; INSURANCE SALES, USUSAL CUSTOMARY FIXED LIFE, LIFE SETTLEMENT SALES; NON BUSINESS INVESTMENT-RELATED 5% OF TIME SPENT
4) INTEGRITY FINANCIAL PLANNING, INC. 3991 MACARTHUR BLVD 215 NEWPORT BEACH, CA 92660; PRESIDENT AND

Registration & Employment History

OTHER BUSINESS ACTIVITIES

CEO, AGENT; CORPORATE ENTITY UNDER WHICH I FILE TAX RETURNS FOR BUSINESS ACTIVITIE; INVESMENT RELATED BUSINESS; 5% OF TIME SPENT
5) AUTHOR - 3991 MACARTHUR BLVD 215 NEWPORT BEACH, CA 92660; INVESTMENT RELATED; WRITTING BOOKS, EBOOKS AND ARTICLES; AUTHOR; 1% OF TIME SPENT.

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	4
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 4

Reporting Source:	Individual
Regulatory Action Initiated By:	State of California Department of Insurance
Sanction(s) Sought:	Revocation
Date Initiated:	04/24/2020
Docket/Case Number:	PLBS-13661-A
Employing firm when activity occurred which led to the regulatory action:	FSC Securities
Product Type:	No Product
Allegations:	Department of Insurance reviewed Mr. Adamo's disciplinary history and sought to impose a restricted licence against him.
Current Status:	Final
Resolution:	Order
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:	05/29/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Insurance Business
Duration:	10
Start Date:	06/05/2020
End Date:	06/14/2020

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	06/22/2020
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	In addition to the monetary penalty, Mr. Adamo paid cost reimbursement of $5,000 to the California Department of Insurance.

Disclosure 2 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/12/2019
Docket/Case Number:	2017056341901
Employing firm when activity occurred which led to the regulatory action:	FSC Securities Corporation
Product Type:	Promissory Note
Allegations:	Without admitting or denying the findings, Adamo consented to the sanctions and to the entry of findings that, while associated with a member firm, he borrowed $520,000 from two firm customers and modified the borrowing arrangement with one of them. The findings stated that Adamo borrowed $200,000 from a customer. In connection with the loan, Adamo executed a promissory note that obligated him to make quarterly interest payments and to repay the principal in December 2011. In December 2011, Adamo negotiated an extension of time until December 2013 to repay the principal and executed a second promissory note. In December 2013, Adamo repaid only a portion of the principal owed. He later negotiated a one-year extension to repay the remaining principal and executed a third promissory note reflecting the terms of the extension. Adamo repaid the remaining amount owed on the loan two years later. The findings also stated that Adamo received four loans

	totaling $320,000 from a senior customer with whom Adamo had a close personal relationship that predated the loans. Adamo did not document any of these loans but agreed to pay eight percent annual interest on the principal. Adamo repaid the first three loans and he received the fourth loan about a year later. Adamo used the proceeds to make a partial payment of the amount that he owed on the loan from the other customer, and repaid the fourth loan later. Adamo never disclosed any of the loans to his firm, never disclosed the modifications of the first loan to the firm, and never received approval from the firm to borrow from firm customers.
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:	11/12/2019
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:	All Capacities
Duration:	four months
Start Date:	12/02/2019
End Date:	04/01/2020

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:	deferred
Is Payment Plan Current:	
Date Paid by individual:	12/10/2021
Was any portion of penalty waived?	No

Amount Waived:

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/12/2019
Docket/Case Number:	2017056341901
Employing firm when activity occurred which led to the regulatory action:	FSC Securities Corporation
Product Type:	Promissory Note
Allegations:	Without admitting or denying the findings, Adamo consented to the sanctions and to the entry of findings that, while associated with a member firm, he borrowed $520,000 from two firm customers and modified the borrowing arrangement with one of them. The findings stated that Adamo borrowed $200,000 from a customer. In connection with the loan, Adamo executed a promissory note that obligated him to make quarterly interest payments and to repay the principal in December 2011. In December 2011, Adamo negotiated an extension of time until December 2013 to repay the principal and executed a second promissory note. In December 2013, Adamo repaid only a portion of the principal owed. He later negotiated a one-year extension to repay the remaining principal and executed a third promissory note reflecting the terms of the extension. Adamo repaid the remaining amount owed on the loan two years later. The findings also stated that Adamo received four loans totaling $320,000 from a senior customer with whom Adamo had a close personal relationship that predated the loans. Adamo did not document any of these loans but agreed to pay eight percent annual interest on the principal. Adamo repaid the first three loans and he received the fourth loan about a year later. Adamo used the proceeds to make a partial payment of the amount that he owed on the loan from the other customer, and repaid the fourth loan later. Adamo never disclosed any of the loans to his firm, never disclosed the modifications of the first loan to the firm, and never received approval from the firm to borrow from firm customers.
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:	11/12/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Four months

Start Date:	12/02/2019
End Date:	04/01/2020

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:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 3 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF NEW YORK INSURANCE DEPARTMENT
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	$250 FINE
Date Initiated:	10/30/2007
Docket/Case Number:	NO. 2007-03435
Employing firm when activity occurred which led to the regulatory action:	FSC SECURITIES CORPORATION
Product Type:	No Product
Other Product Type(s):	
Allegations:	REPRESENTATIVE FAILED TO REPORT WITHIN 30 DAYS TO THE NEW YORK STATE INSURANCE DEPARTMENT THE FINAL DISPOSITION OF HIS DECEMBER 2005 FINRA FINE AND SUSPENSION.
Current Status:	Final
Resolution:	Other
Resolution Date:	10/15/2007
Sanctions Ordered:	Monetary/Fine $250.00
Other Sanctions Ordered:	
Sanction Details:	$250 FINE BY STATE OF NEW YORK INSURANCE DEPARTMENT.

Disclosure 4 of 4

Reporting Source:	Regulator

Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	12/16/2005
Docket/Case Number:	2005000958101
Employing firm when activity occurred which led to the regulatory action:	FSC SECURITIES CORPORATION
Product Type:	No Product
Allegations:	NASD CONDUCT RULE 2110- RESPONDENT PAID PUBLIC CUSTOMERS TO SETTLE COMPLAINTS WITHOUT THE KNOWLEDGE OR CONSENT OF HIS FIRM.
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:	12/16/2005
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ANY CAPACITY FOR 30 CALENDAR DAYS. HIS SUSPENSION WILL BEGIN ON FEBRUARY 6, 2006 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON MARCH 7, 2006. FINES PAID.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	30 DAY & $5000 FINE
Date Initiated:	12/16/2005
Docket/Case Number:	20050009581-01
Employing firm when activity occurred which led to the regulatory action:	FSC SECURITIES CORPORATION
Product Type:	No Product
Other Product Type(s):	
Allegations:	ALLEGED THAT ADAMO SETTLED 3 MATTERS WITHOUT KNOWLEDGE OR

	CONSENT OF FIRM.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/16/2005
Sanctions Ordered:	Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	REPRESENTATIVE IS SUSPENDED FOR 30 DAYS WHICH WILL BE EFFECTIVE ON A DATE SET BY THE NASD STAFF.

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:	Firm
Firm Name:	FSC SECURITIES CORPORATION
Termination Type:	Discharged
Termination Date:	12/11/2017
Allegations:	MR. ADAMO HAD AN UNAPPROVED FINANCIAL TRASACTION WITH A FIRM CLIENT
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	FSC Securities Corporation
Termination Type:	Discharged
Termination Date:	12/11/2017
Allegations:	Mr. Adamo had an unapproved financial transaction with a firm client.
Product Type:	No Product

End of Report

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