



IAPD Report

JOSEPH ANTHONY CANADEO

CRD# 1713014

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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

JOSEPH ANTHONY CANADEO (CRD# 1713014)

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 **07/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	04/17/2015
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	08/19/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	SUNTRUST INVESTMENT SERVICES, INC.	17499	BOCA RATON, FL	04/20/2015 - 12/31/2016
IA	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL	09/27/2010 - 04/20/2015
B	OPPENHEIMER & CO. INC.	249	BOCA RATON, FL	06/15/2010 - 04/20/2015

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
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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**

Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303

Firm ID#: 17499

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/17/2015
B	FINRA	General Securities Representative	Approved	04/17/2015
B	Alaska	Agent	Approved	01/30/2024
B	California	Agent	Approved	11/10/2015
B	Colorado	Agent	Approved	03/14/2022
B	Connecticut	Agent	Approved	10/28/2019
B	Delaware	Agent	Approved	03/13/2024
B	District of Columbia	Agent	Approved	02/28/2017
B	Florida	Agent	Approved	04/20/2015
B	Georgia	Agent	Approved	04/27/2015
B	Illinois	Agent	Approved	11/12/2019
B	Indiana	Agent	Approved	06/27/2024
B	Louisiana	Agent	Approved	11/21/2023



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	04/21/2015
B	Michigan	Agent	Approved	07/13/2023
B	New Jersey	Agent	Approved	04/21/2015
B	New York	Agent	Approved	04/24/2015
B	North Carolina	Agent	Approved	07/22/2022
B	Pennsylvania	Agent	Approved	04/27/2023
B	Rhode Island	Agent	Approved	07/12/2024
B	South Carolina	Agent	Approved	02/05/2024
B	Texas	Agent	Approved	09/06/2023
B	Virginia	Agent	Approved	09/11/2023
B	West Virginia	Agent	Approved	07/13/2023

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
7879 W COMMERCIAL BLVD
TAMARAC, FL 33351

SUNTRUST INVESTMENT SERVICES, INC.
6100 GLADES RD
BOCA RATON, FL 33434

SUNTRUST INVESTMENT SERVICES, INC.
23037 STATE RD 7
BOCA RATON, FL 33428

SUNTRUST INVESTMENT SERVICES, INC.
TAMARAC, FL

SUNTRUST INVESTMENT SERVICES, INC.
7400 CAMINO REAL
STE 100
BOCA RATON, FL 33433

SUNTRUST INVESTMENT SERVICES, INC.
110 S FEDERAL HWY
DEERFIELD BEACH, FL 33441

Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**
Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303



Qualifications

Firm ID#: 283390

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	08/19/2016
IA	Louisiana	Investment Adviser Representative	Approved	01/05/2024

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
6100 GLADES RD
BOCA RATON, FL 33434



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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/26/1994

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/18/1987

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/03/2001
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1987

PROFESSIONAL DESIGNATIONS

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

No information reported.

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	04/20/2015 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BOCA RATON, FL
IA	09/27/2010 - 04/20/2015	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
B	06/15/2010 - 04/20/2015	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
IA	01/24/2008 - 06/09/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	BOCA RATON, FL
B	01/18/2008 - 06/09/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	BOCA RATON, FL
B	11/07/2001 - 01/22/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOCA RATON, FL
IA	11/07/2001 - 01/22/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOCA RATON, FL
B	03/08/1994 - 10/24/2001	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	07/10/1992 - 03/09/1994	CHASE MANHATTAN INVESTMENT SERVICES, INC.	CRD# 25574	CHICAGO, IL
B	03/22/1989 - 06/26/1992	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	01/24/1989 - 04/05/1989	U.S. ADVISORS, INC.	CRD# 10721	
B	07/22/1987 - 01/25/1989	GRAYSTONE NASH, INC.	CRD# 10635	

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
08/2016 - Present	SunTrust Advisory Services	Investment Advisory Representative	Y	Atlanta, GA, United States
04/2015 - Present	SUNTRUST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, United States



Registration & Employment History



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.

BDM LLC

POSITION: MANAGING MEMBER NATURE: AGRICULTURE , TREE FARMING, LAND OWNERSHIP INVESTMENT RELATED:

NO NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2010

ADDRESS: , BLAIRSVILLE GA

DESCRIPTION: MONITOR AGRICULTURAL ITEMS, INCLUDING PLANTING ,FERTILIZATION, TRIMMING.



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
Customer Dispute	3
Termination	1

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: Firm

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: THIS VERBAL COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE UNPRECEDENTED ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

Is this an oral complaint? Yes

Is this a written complaint? No

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

Customer Complaint Information

Date Complaint Received: 06/09/2009

Complaint Pending? No

Status: Settled



Status Date: 06/09/2009
Settlement Amount: \$1,000,000.00

Individual Contribution Amount: \$0.00

Firm Statement CUSTOMER ALLEGES THAT THE FINANCIAL ADVISOR FAILED TO FOLLOW INSTRUCTIONS BY PURCHASING AUCTION RATE SECURITIES IN FEBRUARY 2007. COMPENSATORY DAMAGES UNSPECIFIED

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC

Allegations: BANC OF AMERICA INVESTMENT SERVICES, INC

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

Is this an oral complaint? Yes

Is this a written complaint? No

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

Customer Complaint Information

Date Complaint Received: 06/09/2009

Complaint Pending? No

Status: Settled

Status Date: 06/09/2009

Settlement Amount: \$1,000,000.00

Individual Contribution Amount: \$0.00

Broker Statement THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHERE THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

**Disclosure 2 of 3**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BANC OF AMERIC INVESTMENT SERVICES, INC.

Allegations: MISREPRESENTATION

Product Type: Other: AUCTION RATE SECURITIES- MUNICIPAL DEBT

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

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: 06/09/2009

Complaint Pending? No

Status: Settled

Status Date: 06/09/2009

Settlement Amount: \$475,000.00

Individual Contribution Amount: \$0.00

Firm Statement CUSTOMER ALLEGES THAT THE FINANCIAL ADVISOR FAILED TO FOLLOW INSTRUCTIONS BY PURCHASING AUCTION RATE SECURITIES IN FEBRUARY 2007. COMPENSATORY DAMAGES UNSPECIFIED

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC

Allegations: MISREPRESENTATION

Product Type: Other: AUCTION RATE SECURITIES- MUNICIPAL DEBT

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

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: 06/09/2009

Complaint Pending? No

Status: Settled

Status Date: 06/09/2009

Settlement Amount: \$475,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHERE THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITICORP INVESTMENT SERVICES

Allegations: CLIENTS ALLEGE THEY WERE RECOMMENDED UNSUITABLE INVESTMENTS WHICH FAILED TO MEET THEIR INVESTMENT OBJECTIVES.

Product Type: Mutual Fund(s)

Alleged Damages: \$65,517.95

Customer Complaint Information

Date Complaint Received: 07/01/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/30/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD

Date Notice/Process Served: 09/30/2001



Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/30/2001
Monetary Compensation Amount: \$24,900.00
Individual Contribution Amount: \$0.00
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CITICORP INVESTMENT SERVICES
Allegations: THE CLIENTS ALLEGE THAT THEIR "OWNERSHIP OF [THE SMTIH BARNEY INTERNATIONAL AGGRESSIVE GROWTH FUND] IS IN TOTAL CONTRAVENTION OF [THEIR] DESIRE AND AUTHORITY, AND A RESULT OF IMPROPER INVESTING AND MISREPRESENTATIONS [.]"
Product Type: Mutual Fund
Alleged Damages: \$65,517.95
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: FT. LAUDERDALE,FL
Docket/Case #: NASD01-04638
Filing date of arbitration/CFTC reparation or civil litigation: 07/24/2001

Customer Complaint Information

Date Complaint Received: 07/01/2001
Complaint Pending? No
Status: Settled
Status Date: 07/24/2001
Settlement Amount: \$24,900.00
Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: Settled
Disposition Date: 09/30/2001
Broker Statement CLAIM DENIED AS WITHOUT MERIT.



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: WELLS FARGO ADVISORS

Termination Type: Discharged

Termination Date: 05/14/2010

Allegations: INCORRECTLY MARKED ORDER TICKETS AS 'UNSOLICITED' WHEN, DURING A FIRM INQUIRY, MR. CANADEO ADMITTED TO MANAGEMENT THAT THE ORDERS WERE, IN FACT, MADE ON HIS ADVICE. FIRM INVESTIGATION DETERMINED THAT TRADES AT ISSUE WERE AUTHORIZED.

Product Type: Equity Listed (Common & Preferred Stock)

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Reporting Source: Individual

Firm Name: WELLS FARGO ADVISORS

Termination Type: Discharged

Termination Date: 05/14/2010

Allegations: INCORRECTLY MARKED ORDER TICKETS AS 'UNSOLICITED' WHEN DURING A FIRM INQUIRY, MR. CANADEO ADMITTED TO MANAGEMENT THAT THE ORDERS WERE IN FACT, MADE ON HIS ADVICE. FIRM INVESTIGATION DETERMINED THAT TRADES AT ISSUE WERE AUTHORIZED.

Product Type: Equity Listed (Common & Preferred Stock)

Broker Statement I MARKED THE ORDER TICKETS (SELL-SIDE) AS "UNSOLICATED" BECAUSE I BELIEVED, IN GOOD FAITH THAT SUCH A DESIGNATION IDENTIFIED THE TRADE BECAUSE I PROVIDED THE CLIENTS WITH SEVERAL OPTIONS CONCERNING AN EXISTING POSITIONS' THEY DECIDED TO LIQUIDATE. I BELIEVED THAT THE ORDER TICKETS WERE MARKED CORRECTLY. AT NO TIME DID I ATTEMPT TO MISLEAD THE CLIENT OR THE FIRM OR CREATE A FALSE RECORD. INDEED, AFTER SPEAKING WITH THE CLIENTS, THAT FIRM CONFIRMED THAT EACH TRADE WAS AUTHORIZED.



End of Report

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