



IAPD Report

Bruce A Garber

CRD# 1832786

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 11
Registration and Employment History	13 - 14
Disclosure Information	15



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

Bruce A Garber (CRD# 1832786)

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 **10/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	04/06/2020
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	04/07/2020

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **53** 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	NATIONAL ASSET MANAGEMENT, INC.	115927	BOCA RATON, FL	04/16/2019 - 03/26/2020
B	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL	04/09/2019 - 03/16/2020
IA	QUESTAR ASSET MANAGEMENT, INC.	133358	PALM BEACH GARDENS, FL	07/21/2015 - 03/06/2019

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
Financial	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 **53** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CITIGROUP GLOBAL MARKETS INC.**
Main Address: 388 GREENWICH STREET
NEW YORK, NY 10013
Firm ID#: 7059

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Principal	Approved	10/18/2025
B 24X National Exchange LLC	General Securities Representative	Approved	10/18/2025
B BOX Exchange LLC	General Securities Principal	Approved	04/06/2020
B BOX Exchange LLC	General Securities Representative	Approved	04/06/2020
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	04/06/2020
B BOX Exchange LLC	Registered Options Principal	Approved	04/06/2020
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	04/06/2020
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/06/2020
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	04/06/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/06/2020
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	04/06/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	04/06/2020
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	04/06/2020



Qualifications

Regulator	Registration	Status	Date
B Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	04/06/2020
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	02/23/2025
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	04/06/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/06/2020
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	04/06/2020
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	04/06/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/06/2020
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	04/06/2020
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	04/06/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/06/2020
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	04/06/2020
B Cboe Exchange, Inc.	Registered Options Principal	Approved	04/06/2020
B Cboe Exchange, Inc.	General Securities Principal	Approved	02/23/2025
B FINRA	General Securities Principal	Approved	04/06/2020
B FINRA	General Securities Representative	Approved	04/06/2020
B FINRA	General Securities Sales Supervisor	Approved	04/06/2020
B FINRA	Municipal Securities Principal	Approved	04/06/2020
B FINRA	Municipal Securities Representative	Approved	04/06/2020
B FINRA	Registered Options Principal	Approved	04/06/2020



Qualifications

Regulator	Registration	Status	Date
B Investors' Exchange LLC	General Securities Principal	Approved	04/06/2020
B Investors' Exchange LLC	General Securities Representative	Approved	04/06/2020
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	02/23/2025
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/23/2025
B MEMX LLC	General Securities Principal	Approved	02/23/2025
B MEMX LLC	General Securities Representative	Approved	02/23/2025
B MEMX LLC	General Securities Sales Supervisor	Approved	02/23/2025
B MEMX LLC	Registered Options Principal	Approved	02/23/2025
B MIAX Emerald, LLC	General Securities Principal	Approved	04/06/2020
B MIAX Emerald, LLC	General Securities Representative	Approved	04/06/2020
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	04/06/2020
B MIAX Emerald, LLC	Registered Options Principal	Approved	04/06/2020
B MIAX PEARL, LLC	General Securities Principal	Approved	04/06/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	04/06/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	04/06/2020
B MIAX PEARL, LLC	Registered Options Principal	Approved	04/06/2020
B MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024



Qualifications

Regulator	Registration	Status	Date
B MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
B MIAX Sapphire	Registered Options Principal	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	04/06/2020
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	04/06/2020
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	04/06/2020
B Miami International Securities Exchange, LLC	Registered Options Principal	Approved	04/06/2020
B NYSE American LLC	General Securities Principal	Approved	04/06/2020
B NYSE American LLC	General Securities Representative	Approved	04/06/2020
B NYSE American LLC	General Securities Sales Supervisor	Approved	04/06/2020
B NYSE American LLC	Municipal Securities Principal	Approved	04/06/2020
B NYSE American LLC	Municipal Securities Representative	Approved	04/06/2020
B NYSE American LLC	Registered Options Principal	Approved	04/06/2020
B NYSE Arca, Inc.	General Securities Principal	Approved	04/06/2020
B NYSE Arca, Inc.	General Securities Representative	Approved	04/06/2020
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	04/06/2020
B NYSE Arca, Inc.	Registered Options Principal	Approved	04/06/2020
B NYSE National, Inc.	General Securities Principal	Approved	04/06/2020
B NYSE National, Inc.	General Securities Representative	Approved	04/06/2020



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	04/06/2020
B NYSE National, Inc.	Municipal Securities Principal	Approved	04/06/2020
B NYSE National, Inc.	Municipal Securities Representative	Approved	04/06/2020
B NYSE Texas, Inc.	General Securities Principal	Approved	04/06/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	04/06/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/06/2020
B Nasdaq GEMX, LLC	General Securities Principal	Approved	04/06/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	04/06/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	04/06/2020
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	04/06/2020
B Nasdaq ISE, LLC	General Securities Principal	Approved	04/06/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/06/2020
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	04/06/2020
B Nasdaq ISE, LLC	Registered Options Principal	Approved	04/06/2020
B Nasdaq MRX, LLC	General Securities Principal	Approved	04/06/2020
B Nasdaq MRX, LLC	General Securities Representative	Approved	04/06/2020
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	04/06/2020
B Nasdaq MRX, LLC	Registered Options Principal	Approved	04/06/2020
B Nasdaq PHLX LLC	General Securities Principal	Approved	04/06/2020



Qualifications

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/06/2020
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	04/06/2020
B Nasdaq PHLX LLC	Registered Options Principal	Approved	04/06/2020
B Nasdaq Stock Market	General Securities Principal	Approved	04/06/2020
B Nasdaq Stock Market	General Securities Representative	Approved	04/06/2020
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/06/2020
B Nasdaq Stock Market	Registered Options Principal	Approved	04/06/2020
B Nasdaq Texas, LLC	General Securities Principal	Approved	04/06/2020
B Nasdaq Texas, LLC	General Securities Representative	Approved	04/06/2020
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	04/06/2020
B Nasdaq Texas, LLC	Registered Options Principal	Approved	04/06/2020
B New York Stock Exchange	General Securities Principal	Approved	04/06/2020
B New York Stock Exchange	General Securities Representative	Approved	04/06/2020
B New York Stock Exchange	General Securities Sales Supervisor	Approved	04/06/2020
B New York Stock Exchange	Municipal Securities Principal	Approved	04/06/2020
B New York Stock Exchange	Municipal Securities Representative	Approved	04/06/2020
B Alabama	Agent	Approved	03/29/2022
B Alaska	Agent	Approved	03/30/2022



Qualifications

Regulator	Registration	Status	Date
B Arizona	Agent	Approved	04/01/2022
B Arkansas	Agent	Approved	03/29/2022
B California	Agent	Approved	03/29/2022
B Colorado	Agent	Approved	03/29/2022
B Connecticut	Agent	Approved	03/29/2022
B Delaware	Agent	Approved	03/29/2022
B District of Columbia	Agent	Approved	03/30/2022
B Florida	Agent	Approved	04/07/2020
IA Florida	Investment Adviser Representative	Approved	04/07/2020
B Georgia	Agent	Approved	03/29/2022
B Hawaii	Agent	Approved	03/29/2022
B Idaho	Agent	Approved	03/29/2022
B Illinois	Agent	Approved	03/30/2022
B Indiana	Agent	Approved	04/08/2022
B Iowa	Agent	Approved	03/31/2022
B Kansas	Agent	Approved	03/29/2022
B Kentucky	Agent	Approved	03/31/2022
B Louisiana	Agent	Approved	04/05/2022
B Maine	Agent	Approved	03/29/2022



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	03/29/2022
B Massachusetts	Agent	Approved	02/24/2022
B Michigan	Agent	Approved	03/30/2022
B Minnesota	Agent	Approved	03/29/2022
B Mississippi	Agent	Approved	03/29/2022
B Missouri	Agent	Approved	04/11/2022
B Montana	Agent	Approved	03/29/2022
B Nebraska	Agent	Approved	03/29/2022
B Nevada	Agent	Approved	04/12/2022
B New Hampshire	Agent	Approved	04/06/2022
B New Jersey	Agent	Approved	03/30/2022
B New Mexico	Agent	Approved	03/29/2022
B New York	Agent	Approved	04/02/2022
B North Carolina	Agent	Approved	03/31/2022
B North Dakota	Agent	Approved	04/05/2022
B Ohio	Agent	Approved	03/29/2022
B Oklahoma	Agent	Approved	03/29/2022
B Oregon	Agent	Approved	03/28/2022
B Pennsylvania	Agent	Approved	03/29/2022



Qualifications

Regulator	Registration	Status	Date
B Puerto Rico	Agent	Approved	04/04/2022
B Rhode Island	Agent	Approved	04/01/2022
B South Carolina	Agent	Approved	03/29/2022
B South Dakota	Agent	Approved	04/28/2022
B Tennessee	Agent	Approved	03/29/2022
B Texas	Agent	Approved	03/28/2022
B Utah	Agent	Approved	03/29/2022
B Vermont	Agent	Approved	03/29/2022
B Virgin Islands	Agent	Approved	03/29/2022
B Virginia	Agent	Approved	03/29/2022
B Washington	Agent	Approved	03/28/2022
B West Virginia	Agent	Approved	03/31/2022
B Wisconsin	Agent	Approved	03/29/2022
B Wyoming	Agent	Approved	04/12/2022

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.
 Citi Wealth Management, Supervision
 1401 West Commercial Blvd, Suite 2
 Ft. Lauderdale, FL 33309

CITIGROUP GLOBAL MARKETS INC.
 Boynton Beach, FL








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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	05/04/1996
 Municipal Securities Principal Examination (S53)	Series 53	12/04/1995
 General Securities Principal Examination (S24)	Series 24	02/18/1994

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/17/1988

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/05/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/1989



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	04/16/2019 - 03/26/2020	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	BOCA RATON, FL
B	04/09/2019 - 03/16/2020	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
IA	07/21/2015 - 03/06/2019	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	PALM BEACH GARDEN, FL
B	07/13/2015 - 03/06/2019	QUESTAR CAPITAL CORPORATION	CRD# 43100	PALM BEACH GARDEN, FL
B	07/24/2014 - 07/06/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PALM BEACH GARDEN, FL
IA	07/24/2014 - 07/06/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PALM BEACH GARDEN, FL
IA	02/19/2014 - 04/09/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	WEST PALM BEACH, FL
B	02/18/2014 - 04/09/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	WEST PALM BEACH, FL
B	11/13/2009 - 12/02/2013	PNC INVESTMENTS	CRD# 129052	WEST PALM BEACH, FL
IA	11/13/2009 - 12/02/2013	PNC INVESTMENTS	CRD# 129052	WEST PALM BEACH, FL
B	04/08/2009 - 11/13/2009	NATCITY INVESTMENTS, INC.	CRD# 17490	WEST PALM BEACH, FL
IA	04/08/2009 - 11/13/2009	NATCITY INVESTMENTS, INC.	CRD# 17490	WEST PALM BEACH, FL
IA	12/12/2008 - 02/05/2009	WAMU INVESTMENTS, INC.	CRD# 599	LAKE WORTH, FL
B	05/01/1998 - 02/05/2009	WAMU INVESTMENTS, INC.	CRD# 599	LAKE WORTH, FL
B	08/14/1996 - 05/01/1998	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	NORTHRIDGE, CA
B	06/03/1996 - 09/09/1996	CHASE MANHATTAN INVESTMENT SERVICES, INC.	CRD# 25574	CHICAGO, IL



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	09/19/1994 - 08/27/1996	CHEMICAL INVESTMENT SERVICES CORP.	CRD# 36312	
B	05/12/1992 - 09/19/1994	CHEMICAL SECURITIES, INC.	CRD# 18718	NEW YORK, NY
B	09/20/1990 - 05/26/1992	CITICORP FINANCIAL SERVICES, INC.	CRD# 14675	
B	08/04/1989 - 10/14/1989	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	04/25/1989 - 08/07/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	

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
03/2020 - Present	Citi	Compl Business Control Officer	Y	Fort Lauderdale, FL, United States
04/2019 - 03/2020	NATIONAL ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2019 - 03/2020	NATIONAL SECURITIES CORP	SUPERVISION SPECIALIST	Y	BOCA RATON, FL, United States
07/2015 - 03/2019	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
07/2015 - 03/2019	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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.

InvestQuest, LLC (real estate); Investment-related; Lantana, FL; Affiliation started 05/14/2015; Title: Owner; Duties: Collect rent, property maintenance, lease renewals and screen tenants; No time is devoted during securities trading hours; 5 hours are devoted each month outside securities trading hours.



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
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Financial	1
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Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	11/30/2016
Organization Investment-Related?	
Action Pending?	No
Disposition:	SETTLEMENT REACHED
Disposition Date:	11/30/2016
If a compromise with creditor, provide:	
Name of Creditor:	R.A. ROGERS (ORIGINALLY PENTAGON FEDERAL CREDIT UNION)
Original Amount Owed:	\$15,630.00
Terms Reached with Creditor:	SETTLED AMOUNT OF \$8907



End of Report

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