



IAPD Report

DAVID HANNIBAL FARRA

CRD# 2066130

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DAVID HANNIBAL FARRA (CRD# 2066130)

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 **05/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	04/30/2010
IA	EAGLE STRATEGIES LLC	CRD# 110826	10/14/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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
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No information reported.

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



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

Employment 1 of 2

Firm Name: **NYLIFE SECURITIES LLC**
Main Address: 51 MADISON AVE.
ROOM 713
NEW YORK, NY 10010
Firm ID#: 5167

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	04/30/2010
B	FINRA	General Securities Representative	Approved	05/01/2012
B	Arizona	Agent	Approved	10/11/2023
B	California	Agent	Approved	04/23/2018
B	Colorado	Agent	Approved	10/16/2020
B	Florida	Agent	Approved	02/27/2017
B	Georgia	Agent	Approved	10/29/2019
B	Illinois	Agent	Approved	05/05/2010
B	Indiana	Agent	Approved	08/05/2013
B	Kentucky	Agent	Approved	04/08/2021
B	Michigan	Agent	Approved	01/11/2017
B	New Jersey	Agent	Approved	11/22/2024
B	New Mexico	Agent	Approved	10/04/2022



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	06/13/2022
B Tennessee	Agent	Approved	05/15/2026
B Virginia	Agent	Approved	01/13/2023
B Washington	Agent	Approved	01/27/2022
B Wisconsin	Agent	Approved	03/08/2017

Branch Office Locations

2001 BUTTERFIELD ROAD
SUITE 800
DOWNERS GROVE, IL 60515

Employment 2 of 2

Firm Name: **EAGLE STRATEGIES LLC**
Main Address: 51 MADISON AVENUE
12TH FLOOR
NEW YORK, NY 10010
Firm ID#: 110826

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	10/14/2016

Branch Office Locations

EAGLE STRATEGIES LLC
3010 HIGHLAND PARKWAY
SUITE 700
DOWNERS GROVE, IL 60515



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/30/2012
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/29/2010
National Commodity Futures Examination (S3)	Series 3	01/03/1991

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/12/2016
Uniform Securities Agent State Law Examination (S63)	Series 63	05/04/2010

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:

No information reported.

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
09/2017 - Present	CHRISTOPHER FINANCIAL GROUP LLC	ASSOCIATE	Y	DOWNERS GROVE, IL, United States
10/2016 - Present	EAGLE STRATEGIES LLC	IAR	Y	DOWNERS GROVE, IL, United States
03/2016 - Present	MAHONEY FINANCIAL ORGANIZATION, LLC	Associate	Y	Downers Grove, IL, United States
01/2010 - Present	NYLIFE SECURITIES LLC	REGISTERED REP	Y	DOWNERS GROVE, IL, United States
09/2009 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	DOWNERS GROVE, IL, 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.

[insurance brokering; Appointed with outside carriers for the purpose of brokering non-registered insurance products; 3010 Highland Parkway #700 Downers Grove IL 60515; Start Date 02/2016; Role/Title: Insurance Broker; Investment Related; 10 hours per month; 10 hours per month during securities trading hours]

[Ray Graham Association; Ray Graham Association supports nearly 2,000 children and adults with disabilities, and their families, through residential, life skills, employment, recreational and family support services in Du Page County and the surrounding areas.; 901 Warrenville Rd, Suite 500 Lisle IL 60532; Start Date 07/2023; Role/Title: Board Member; Not Investment Related; 10 hours per month; 0 hours per month during securities trading hours; Chairman of the Board of The Ray Graham Association. At this point I will be on a business development committee that consults and plans fund raising and events.]

[OPERATING UNDER THE DBA NAME OF MAHONEY FINANCIAL ORGANIZATION, LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES; INVESTMENT RELATED; ASSOCIATE; DOWNERS GROVE, IL; START DATE: 03/2016]

[OPERATING UNDER THE DBA NAME OF CHRISTOPHER FINANCIAL GROUP LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES; INVESTMENT RELATED; ASSOCIATE; DOWNERS GROVE, IL; START DATE: 09/2017]



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

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:	COMMODITY FUTURES TRADING COMMISSION
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/30/2004
Docket/Case Number:	04-28

Employing firm when activity occurred which led to the regulatory action: THE OPTIONS ADVISORS, LLC

Product Type: Futures Commodity
Options

Allegations: THE COMMODITY FUTURES TRADING COMMISSION ("COMMISSION") HAS REASON TO BELIEVE THAT DAVID FARRA HAS VIOLATED 40(1)(A) AND (B) OF THE COMMODITY EXCHANGE ACT, AS AMENDED (THE "ACT"), 7 USC SECTIONS 60(1)(A) AND (B)(2002), AND SECTIONS 4.41(A)(1) AND (2) OF THE COMMISSION'S REGULATIONS PROMULGATED THEREUNDER ("REGULATIONS"), 17 CFR SECTIONS 4.41(A)(1)-(2) (2004). THEREFORE, THE COMMISSION DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED TO DETERMINE WHETHER RESPONDENT ENGAGED IN THE VIOLATIONS SET FORTH HEREIN, AND TO DETERMINE WHETHER ANY ORDER SHALL BE ISSUED IMPOSING REMEDIAL SANCTIONS. FROM AT LEAST NOVEMBER 2003 THROUGH JANUARY 2004, RESPONDENT ACTED AS AN UNREGISTERED COMMODITY TRADING ADVISOR AND USED MISLEADING AND FALSE ADVERTISING TO SOLICIT MEMBERS OF THE PUBLIC IN THE CONDUCT OF INTERNET-BASED COMMODITY TRADING ADVISORY BUSINESS. DURING THIS PERIOD, RESPONDENT OFFERED AND



SOLD A SUBSCRIPTION-BASED COMMODITY FUTURES AND OPTIONS TRADING ADVISORY SERVICE TO THE PUBLIC THROUGH TWO WEBSITES. THE TRADING ADVISORY SERVICE PROVIDED NON-PERSONALIZED REAL TIME TRADING SIGNALS TO ITS SUBSCRIBERS. RESPONDENT DID NOT DIRECT THE TRADING IN ANY CUSTOMER ACCOUNT. IN ADVERTISING ON A WEBSITE, RESPONDENT GUARANTEED THAT THE FUTURES AND OPTIONS TRADING ADVISORY SERVICE WOULD GENERATE TRADING PROFITS FOR ITS SUBSCRIBERS. THE "GUARANTEE" ASSURED SUBSCRIBERS THAT THE SERVICE WOULD GENERATE PROFITS FOR THEM OR THE SERVICE WOULD BE PROVIDED FOR FREE. THIS MISREPRESENTED THE RISKS ASSOCIATED WITH FUTURES AND OPTIONS TRADING AND OVERSTATED THE LIKELIHOOD THAT PURCHASERS WOULD MAKE MONEY. BY MAKING SUCH REPRESENTATIONS, RESPONDENT CAUSED HIS FIRM'S VIOLATIONS OF SECTIONS 40(1)(A) AND (B) OF THE ACT AND SECTIONS 4.41(A)(1) AND (2) OF THE REGULATIONS.

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?	Yes
Resolution Date:	09/30/2004
Sanctions Ordered:	Cease and Desist Monetary Penalty other than Fines Restitution
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?	No



(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

No

(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?

No

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: 11/10/2004

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

RESPONDENT HAS SUBMITTED AN OFFER OF SETTLEMENT, WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. WITHOUT ADMITTING OR DENYING THE FINDINGS OF FACT HEREIN, RESPONDENT CONSENTS TO THE ENTRY OF THIS ORDER, AND ACKNOWLEDGES SERVICE OF THIS ORDER INSTITUTING PROCEEDINGS PURSUANT TO SECTIONS 6(C) AND 6(D) OF THE ACT, MAKING FINDINGS AND IMPOSING REMEDIAL SANCTIONS. RESPONDENT CONSENTS TO THE USE BY THE COMMISSION



OF THE FINDINGS IN THIS PROCEEDING AND IN ANY OTHER PROCEEDING BROUGHT BY THE COMMISSION OR TO WHICH THE COMMISSION IS A PARTY. SOLELY ON THE BASIS OF THE CONTENTS EVIDENCED BY THE OFFER, AND PRIOR TO ANY ADJUDICATION ON THE MERITS, THE COMMISSION FINDS THE RESPONDENT CAUSED THE FIRM'S VIOLATIONS OF SECTIONS 40(1)(A) AND (B) OF THE ACT, 7 USC SECTIONS 60(1)(A) AND (B)(2002), AND SECTIONS 4.41(A)(1) AND (2) OF THE REGULATIONS, 17 CFR SECTIONS 4.41(A)(1)-(2) (2004), PURSUANT TO SECTION 13(B) OF THE ACT, 7 USC SECTION 13(B). ACCORDINGLY, IT IS HEREBY ORDERED THAT RESPONDENT CEASE AND DESIST FROM VIOLATING SECTIONS 40(1)(A) AND (B) OF THE ACT, 7 USC SECTIONS 60(1)(A) AND (B)(2002), AND SECTIONS 4.41(A)(1) AND (2) OF THE REGULATIONS, 17 CFR SECTIONS 4.41(A)(1)-(2) (2004). RESPONDENT SHALL PAY A CIVIL MONETARY PENALTY OF \$10,000. RESPONDENT SHALL MAKE FULL RESTITUTION TO ALL SUBSCRIBERS. RESPONDENT SHALL COMPLY WITH THE UNDERTAKINGS.

UNDERTAKINGS: RESPONDENT SHALL NOT MISREPRESENT, EXPRESSLY OR BY IMPLICATION, THE PERFORMANCE, PROFITS OR RESULTS ACHIEVED BY, OR THE RESULTS THAT CAN BE ACHIEVED BY, USERS, INCLUDING THEMSELVES, OF ANY COMMODITY FUTURES OR OPTIONS TRADING METHOD OR ADVISORY SERVICE; AND THE RISKS ASSOCIATED WITH TRADING PURSUANT TO ANY COMMODITY FUTURES OR OPTIONS TRADING METHOD, METHOD OR ADVISORY SERVICE. RESPONDENT SHALL NOT MAKE ANY REPRESENTATION OF FINANCIAL BENEFITS ASSOCIATED WITH ANY COMMODITY FUTURES OR OPTIONS TRADING METHOD, METHOD OR ADVISORY SERVICE WITHOUT FIRST DISCLOSING, PROMINENTLY AND CONSPICUOUSLY, THAT FUTURES TRADING INVOLVES HIGH RISKS WITH THE POTENTIAL FOR SUBSTANTIAL LOSSES. RESPONDENT SHALL NOT REPRESENT, EXPRESSLY OR BY IMPLICATION, THE PERFORMANCE, PROFITS OR RESULTS ACHIEVED BY USERS, INCLUDING THEMSELVES, OF ANY COMMODITY FUTURES OR OPTIONS TRADING METHOD, METHOD OR ADVISORY SERVICE; THE RISKS ASSOCIATED WITH TRADING USING ANY COMMODITY FUTURES OR OPTIONS TRADING METHOD, METHOD OR ADVISORY SERVICE; THE PERFORMANCE, PROFITS, RESULTS ACHIEVED BY ANY USER, OR REPRESENTED IN ANY TESTIMONIAL OR ENDORSEMENT OF THE COMMODITY FUTURES OR OPTIONS TRADING METHOD, METHOD OR ADVISORY SERVICE REPRESENTS THE TYPICAL OR ORDINARY EXPERIENCE OF MEMBERS OF THE PUBLIC WHO USE THE METHOD, METHOD OR ADVISORY SERVICE; UNLESS RESPONDENT POSSESSES AND RELIES UPON A REASONABLE BASIS SUBSTANTIATING THE REPRESENTATION AT THE TIME IT IS MADE AND FOR TWO YEARS AFTER THE LAST DATE OF DISSEMINATION OF ANY SUCH REPRESENTATION, RESPONDENT MAINTAINS ALL ADVERTISEMENTS AND PROMOTIONAL MATERIALS CONTAINING SUCH REPRESENTATION AND ALL MATERIALS THAT WERE RELIED UPON OR THAT OTHERWISE SUBSTANTIATED SUCH REPRESENTATION AT THE TIME IT WAS MADE, AND MAKES SUCH MATERIALS IMMEDIATELY AVAILABLE TO THE DIVISION OF ENFORCEMENT FOR INSPECTION AND COPYING UPON REQUEST. BY NEITHER ADMITTING NOR DENYING THE FINDINGS OF FACT OR CONCLUSIONS OF LAW, RESPONDENT AGREES THAT NEITHER HE NOR ANY AGENTS OR EMPLOYEES UNDER HIS AUTHORITY OR CONTROL SHALL TAKE ANY ACTION OR MAKE ANY PUBLIC STATEMENT DENYING, DIRECTLY OR INDIRECTLY, ANY FINDINGS OR CONCLUSIONS IN THE ORDER, OR CREATING, OR TENDING TO CREATE, THE IMPRESSION THAT THE ORDER IS WITHOUT A FACTUAL BASIS; PROVIDED, HOWEVER, THAT NOTHING IN THIS PROVISION SHALL AFFECT RESPONDENT'S TESTIMONIAL OBLIGATIONS, OR RIGHT TO TAKE LEGAL POSITIONS IN OTHER PROCEEDINGS TO WHICH THE COMMISSION IS NOT A PARTY.



RESPONDENT WILL UNDERTAKE ALL STOPS NECESSARY TO ASSURE THAT ALL AGENTS AND EMPLOYEES UNDER HIS AUTHORITY AND CONTROL UNDERSTAND AND COMPLY WITH THIS AGREEMENT.

Reporting Source: Individual

Regulatory Action Initiated By: US COMMODITY FUTURES TRADING COMMISSION

Sanction(s) Sought: Cease and Desist

Date Initiated: 06/01/2004

Docket/Case Number: 04-28

Employing firm when activity occurred which led to the regulatory action: BAIRD TRADING

Product Type: Futures-Financial
Index Option

Allegations: OUR WEBSITE DEEMED TO BE MISLEADING AND DID NOT HAVE A PROPER DISCLAIMER OF RISK.

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: 09/30/2004

Sanctions Ordered: Cease and Desist

Monetary Sanction 1 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$4,000.00

Payment Plan: 2 PAYMENTS OF \$5,000 1 MONTH APART.

Is Payment Plan Current: No

Date Paid by individual: 10/12/2004

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Restitution

Total Amount: \$3,500.00



Portion Levied against individual:	\$1,200.00
Payment Plan:	NO
Is Payment Plan Current:	No
Date Paid by individual:	09/01/2004
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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