



IAPD Report

MICHAEL JOHN MUSSAY

CRD# 2147562

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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

MICHAEL JOHN MUSSAY (CRD# 2147562)

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 **01/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	12/09/2022
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	12/09/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	CANTELLA & CO., INC.	13905	SHEBOYGAN, WI	05/28/2003 - 06/01/2023
B	CANTELLA & CO., INC.	13905	GRAYSLAKE, IL	11/02/2000 - 12/09/2022
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL	03/31/2000 - 10/13/2000

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

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 39543

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/09/2022
B	FINRA	General Securities Representative	Approved	12/09/2022
B	Alabama	Agent	Approved	08/20/2024
B	Alaska	Agent	Approved	11/17/2025
B	Arizona	Agent	Approved	12/09/2022
B	Arkansas	Agent	Approved	12/09/2022
B	California	Agent	Approved	12/09/2022
B	Florida	Agent	Approved	12/09/2022
B	Illinois	Agent	Approved	12/09/2022
B	Indiana	Agent	Approved	12/09/2022
B	Kansas	Agent	Approved	12/09/2022
B	Kentucky	Agent	Approved	12/09/2022
B	Maryland	Agent	Approved	12/09/2022



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	12/09/2022
B Michigan	Agent	Approved	12/09/2022
B Minnesota	Agent	Approved	12/09/2022
B Missouri	Agent	Approved	12/09/2022
B Nevada	Agent	Approved	12/09/2022
B New Hampshire	Agent	Approved	12/09/2022
B New Mexico	Agent	Approved	12/09/2022
B New York	Agent	Approved	12/09/2022
B Ohio	Agent	Approved	12/09/2022
B Pennsylvania	Agent	Approved	12/09/2022
B Tennessee	Agent	Approved	02/28/2024
B Texas	Agent	Approved	01/14/2026
B Utah	Agent	Approved	12/09/2022
B Washington	Agent	Approved	12/09/2022
B Wisconsin	Agent	Approved	12/09/2022

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
 480 W CENTER ST.
 STE. 201
 GRAYSLAKE, IL 60030

CAMBRIDGE INVESTMENT RESERARCH, INC.
 909 N 8th St.
 Ste. 115
 Sheboygan, WI 53081

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**



Qualifications

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 134139

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	12/12/2022
IA Texas	Investment Adviser Representative	Restricted Approval	01/06/2026
IA Wisconsin	Investment Adviser Representative	Approved	12/09/2022

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
480 Center St. Suite 201
Grayslake, IL 60030

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
909 N 8th St. Suite 115
Sheboygan, WI 53081



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	07/27/2000

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/11/1991

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/20/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/10/1991

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	05/28/2003 - 06/01/2023	CANTELLA & CO., INC.	CRD# 13905	SHEBOYGAN, WI
B	11/02/2000 - 12/09/2022	CANTELLA & CO., INC.	CRD# 13905	GRAYSLAKE, IL
B	03/31/2000 - 10/13/2000	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	01/01/2000 - 04/03/2000	CHARTER ONE SECURITIES, INC.	CRD# 13373	CLEVELAND, OH
B	06/12/1991 - 01/01/2000	INVESTMENT NETWORK, INC.	CRD# 7685	FRANKLIN PARK, IL

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
12/2022 - Present	CAMBRIDGE INVESTMENT RESEARCH, INC.	Mass Transfer/Registered Representative	Y	Fairfield, IA, United States
12/2022 - Present	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
03/2003 - 06/2023	Cantella & Co., Inc.	Investment Advisor Representative	Y	Malden, MA, United States
10/2000 - 12/2022	CANTELLA & CO., INC.	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, 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. CIRA, Fairfield IA 52556, 12/2022, Investment Advisor Representative, manages client assets or prepares financial plans, INV-REL, 160 HO/MO - 120 HR/MO Trading
2. MUSSAY FINANCIAL GROUP, LTD., 480 Center St., Ste. 201, Grayslake IL 60030, United States, 12/01/1999, DBA Name, Owner/Partner of a Business Entity, NIR, 40 HO/MO - 40 HR/MO Trading



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	3
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	SUSPENSION
Date Initiated:	12/18/2002
Docket/Case Number:	0200858
Employing firm when activity occurred which led to the regulatory action:	CANTELLA & CO., INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	RESPONDENT'S SALESPERSON REGISTRATION IN ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO NASDR LETTER OF ACCEPTANCE, WAIVER AND CONSENT, FILE NO. C8AO20048.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	02/27/2003
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT AGREES TO 10 DAYS SUSPENSION AS A SALESPERSON



BEGINNING ON FEBRUARY 28, 2003. HE SHALL PAY THE SUM OF THE COST OF INVESTIGATION OF \$500. RESPONDENT AGREES TO ENHANCED SUPERVISION FOR A PERIOD OF ONE YEAR.

Regulator Statement

NOTICE OF HEARING WAS ISSUED DECEMBER 18, 2002. THIS HEARING IS SCHEDULED FOR FEBRUARY 5, 2003. CONSENT ORDER OF SUSPENSION WAS ISSUED FEBRUARY 27, 2003. CONTACT (217) 785-4948.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF ILLINOIS

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: LICENSE AS AN AGENT IN THE STATE OF ILLINOIS IS SUSPENDED FOR TWO WEEKS BEGINNING FEB 28 2003 AND ENDING MARCH 11 2003. MR. MUSSAY IN THE SETTLEMENT AGREEMENT ALSO IS TO PAY THE SUM OF \$500.00 TO THE OFFICE OF THE SECRETARY OF STATE, INVESTOR'S EDUCATION FUND WITHIN THIRTY DAYS OF THE DATE OF THE ORDER OR BY MARCH 27, 2003

Date Initiated: 12/18/2002

Docket/Case Number: 0200858

Employing firm when activity occurred which led to the regulatory action: RAYMOND JAMES FINANCIAL SERVICES INC.

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: SIGNING CLIENT NAMES TO DEALER CHANGE FORMS

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 02/27/2003

Sanctions Ordered: Monetary/Fine \$500.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENSION EFFECTIVE FOR THE PERIOD OF TWO WEEKS FROM 02/28/2003 AND ENDING MARCH 11, 2003.

Broker Statement CONSENT ORDER IS DATED 02/27/2003 IN WHICH RESPONDENT MUSSAY CONSENTS TO THE FINDING OF FACT WITHOUT ADMITTING OR DENYING THE TRUTH THEREOF.

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: OHIO DIVISION OF SECURITIES

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 02/21/2001



Docket/Case Number: 01-052

Employing firm when activity occurred which led to the regulatory action: CANTELLA & CO., INC.

Product Type: No Product

Other Product Type(s):

Allegations: THE APPLICANT WAS NOT OF GOOD BUSINESS REPUTE.

Current Status: Final

Resolution: Order

Resolution Date: 02/21/2001

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered: ON FEBRUARY 21, 2001, THE DIVISION ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 01-052, AGAINST MUSSAY. THE DIVISION FOUND THAT MUSSAY WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(9) AND OHIO REVISED CODE 1707.19(A)(1).

Sanction Details: ON FEBRUARY 21, 2001, THE DIVISION ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 01-052, AGAINST MUSSAY. THE DIVISION FOUND THAT MUSSAY WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(9) AND OHIO REVISED CODE 1707.19(A)(1).

Regulator Statement ON FEBRUARY 21, 2001, THE DIVISION ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 01-052, AGAINST MUSSAY. THE DIVISION FOUND THAT MUSSAY WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D)(9) AND OHIO REVISED CODE 1707.19(A)(1).

Reporting Source: Individual

Regulatory Action Initiated By: OHIO DIVISION OF SECURITIES

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 02/21/2001

Docket/Case Number: 01-052

Employing firm when activity occurred which led to the regulatory action: CANTELLA & CO., INC.

Product Type: No Product

Other Product Type(s):

Allegations: PLEASE SEE DOCKET/CASE NUMBER 01-052 FOR THE OHIO DIVISION OF SECURITIES ALLEGATIONS



Current Status: Final

Resolution: Order

Resolution Date: 02/21/2001

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DENIALL OF REGISTRATION

Broker Statement
THE STATE OF OHIO REQUESTED TO SCHEDULE A HEARING TO DISCUSS APPROVAL OF MY REGISTRATION. IT WAS DECIDED BETWEEN MY BROKER/DEALER AND MYSELF TO WITHDRAW MY REGISTRATION, BECAUSE-DUE TO EXTENUATING CIRCUMSTANCE-A HEARING COULD NOT BE SCHEDULED IN THE TIMEFRAME ALLOTTED BY THE STATE OF OHIO. MY BROKER/DEALER, WHICH IS RESPONSIBLE FOR MY REGISTRATION IN ALL STATES, WAS TO WITHDRAW MY REQUEST FOR REGISTRATION IN THE STATE OF OHIO. MY BROKER/DEALER FAILED TO WITHDRAW MY REQUEST FOR REGISTRATION, AND, AS A RESULT, THE DATE TO SCHEDULE A HEARING PASSED AND MY REGISTRATION WAS DENIED. MY REQUEST FOR REGISTRATION NEVER WENT THROUGH THE OFFICIAL HEARING AND REVIEW PROCESS. IF THE STATE OF OHIO ADMINSTRATORS REVIEWED MY CASE, I AM CONFIDENT THEY WOULD APPROVE MY LICENSE TO TRANSACT BUSINESS IN THE STATE. MY BROKER/DEALER ACCEPTS FULL RESPONSIBILITY FOR THIS OVERSIGHT.

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Date Initiated: 07/11/2002

Docket/Case Number: C8A020048

Employing firm when activity occurred which led to the regulatory action: RAYMOND JAMES FINANCIAL SERVICES, INC.

Product Type: Mutual Fund

Allegations: NASD RULE 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE, UNDER THE MISTAKEN BELIEF THAT THE CUSTOMER HAD GIVEN CONSENT, AFFIXED THE SIGNATURE OF CUSTOMER TO A MUTUAL FUND CHANGE OF DEALER AUTHORIZATION FORM WITHOUT THE KNOWLEDGE OR CONSENT OF CUSTOMER IN VIOLATION OF NASD CONDUCT RULE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/11/2002

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement
A SUSPENSION OF TEN (10) BUSINESS DAYS FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY TO COMMENCE ON AUGUST



15, 2002, AND A FINE OF \$5,000. FINES PAID ON 05/08/2003.

Reporting Source: Individual

Regulatory Action Initiated By: NASD REGULATION

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: \$5,000.00 FINE

Date Initiated: 07/11/2002

Docket/Case Number: C8A020048

Employing firm when activity occurred which led to the regulatory action: RAYMOND JAMES FINANCIAL SERVICES, INC.

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: SIGNING BROKER/DEALER CHANGE FORMS ON BEHALF OF EXISTING CLIENTS WITHOUT THE KNOWLEDGE OR CONSENT OF CLIENTS IN VIOLATION OF NASD RULES OF CONDUCT

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/11/2002

Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: A SUSPENSION OF TEN BUSINESS DAYS FROM ASSOCIATION WITH ANY MEMBOER OF THE NASD IN ANY CAPACITY TO COMMENCE ON AUGUST 15, 2002 AND A MONETARY FINE OF \$5,000.00

Broker Statement CONSENTED TO A FINDING OF FACT WITHOUT ADMITTING OR DENYING THE ALLEGATIONS.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	RAYMOND JAMES FINANCIAL SERVICES
Termination Type:	Discharged
Termination Date:	10/13/2000
Allegations:	SIGNING BROKER/DEALER CHANGE FORMS ON BEHALF OF THE CLIENT.
Product Type:	Mutual Fund(s)
Other Product Types:	
Broker Statement	IN THE PROCESS OF TRANSFERRING EXISTING CLIENTS FROM MY OLD FIRM TO RAYMOND JAMES SIGNED BROKER/DEALER CHANGE FORM IN ORDER TO SERVICE MUTUAL FUNDS. THIS WAS A VIOLATION OF RAYMOND JAMES POLICY.



End of Report

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