IAPD Report

Lisa-Ann Tomiko Nouchi

CRD# 2367719

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

Lisa-Ann Tomiko Nouchi (CRD# 2367719)

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 **11/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/05/2025
IA	LPL FINANCIAL LLC	CRD# 6413	06/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	WESTERN INTERNATIONAL SECURITIES	39262	Vacaville, CA	09/04/2008 - 06/05/2025
B	WESTERN INTERNATIONAL SECURITIES, INC.	39262	Vacaville, CA	05/27/2008 - 06/05/2025
IA	FIRST ALLIED SECURITIES, INC.	32444	SACRAMENTO, CA	08/23/2006 - 06/06/2008

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
Customer Dispute	2
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 **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/05/2025
B	Alabama	Agent	Approved	06/05/2025
B	Arizona	Agent	Approved	06/05/2025
IA	Arizona	Investment Adviser Representative	Approved	06/05/2025
B	California	Agent	Approved	06/05/2025
IA	California	Investment Adviser Representative	Approved	06/05/2025
B	Colorado	Agent	Approved	06/05/2025
IA	Colorado	Investment Adviser Representative	Approved	06/05/2025
B	Connecticut	Agent	Approved	06/05/2025
B	Florida	Agent	Approved	06/06/2025
B	Georgia	Agent	Approved	06/05/2025
B	Hawaii	Agent	Approved	06/05/2025
B	Idaho	Agent	Approved	06/05/2025

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	06/05/2025
IA	Indiana	Investment Adviser Representative	Approved	06/05/2025
B	Michigan	Agent	Approved	08/27/2025
IA	Minnesota	Investment Adviser Representative	Approved	06/05/2025
B	Minnesota	Agent	Approved	12/03/2025
B	Missouri	Agent	Approved	06/05/2025
B	Montana	Agent	Approved	06/05/2025
B	Nevada	Agent	Approved	06/05/2025
B	New York	Agent	Approved	06/05/2025
B	Oklahoma	Agent	Approved	07/09/2025
B	Oregon	Agent	Approved	06/05/2025
B	Pennsylvania	Agent	Approved	06/05/2025
B	South Carolina	Agent	Approved	06/05/2025
B	South Dakota	Agent	Approved	10/30/2025
B	Texas	Agent	Approved	06/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	06/05/2025
B	Utah	Agent	Approved	06/05/2025
IA	Utah	Investment Adviser Representative	Approved	06/05/2025

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	06/05/2025
B	Washington	Agent	Approved	06/05/2025
B	Wisconsin	Agent	Approved	06/05/2025

Branch Office Locations

LPL FINANCIAL LLC
400 BOYD ST.
VACAVILLE, CA 95688

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/11/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/21/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/09/1993

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	09/04/2008 - 06/05/2025	WESTERN INTERNATIONAL SECURITIES	CRD# 39262	Vacaville, CA
B	05/27/2008 - 06/05/2025	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	Vacaville, CA
IA	08/23/2006 - 06/06/2008	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SACRAMENTO, CA
B	07/17/2006 - 06/06/2008	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SACRAMENTO, CA
B	04/13/2004 - 07/17/2006	INVESTORS RESOURCES GROUP, INC.	CRD# 45752	VACAVILLE, CA
IA	04/13/2004 - 11/16/2004	INVESTORS RESOURCES GROUP, INC.	CRD# 45752	SACRAMENTO, CA
IA	06/21/2001 - 05/10/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	SACRAMENTO, CA
B	06/01/2001 - 05/10/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	08/13/1993 - 06/05/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
06/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Vacaville, CA, United States
05/2008 - 06/2025	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. 06/05/2025- Lisa-Ann Nouchi- Non-Variable Insurance- INV Related- At Reported Business Location(s)- Start date 06/01/2022-

Registration & Employment History

OTHER BUSINESS ACTIVITIES

6 Hours Per Month- 6 Hours During 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	1
Customer Dispute	2
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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD (N.K.A FINRA)
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/18/2006
Docket/Case Number:	E102004083705
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	Mutual Fund
Allegations:	NASD RULES 2110 AND 3110: RESPONDENT LISA ANN TOMIKO NOUCHI MADE ENTRIES ON HER MEMBER FIRM'S ELECTRONIC ORDER ENTRY SYSTEM WHICH FALSELY REPRESENTED THAT CUSTOMERS WERE DISABLED WHEN THEY WERE NOT. BY THIS CONDUCT, NOUCHI IMPROPERLY OBTAINED CONTINGENT DEFERRED SALES CHARGE ("CDSC") WAIVERS FOR MUTUAL FUND REDEMPTION TRANSACTIONS EFFECTED FOR THESE CUSTOMERS. THIS MISCONDUCT RESULTED IN THE CUSTOMERS RECEIVING CDSC WAIVERS TO WHICH THEY WERE NOT ENTITLED AND DEPRIVING MUTUAL FUND DISTRIBUTORS OF FEES WHICH THEY WERE DUE. NOUCHI ALSO CAUSED THE BOOKS AND RECORDS OF HER MEMBER FIRM RELATING TO THE MUTUAL FUND REDEMPTION TRANSACTIONS TO CONTAIN FALSE AND MISLEADING INFORMATION REGARDING DISABILITY STATUS OF THE CUSTOMERS AND THEIR ENTITLEMENT TO CDSC WAIVERS.

Current Status:	Final
Resolution:	Decision
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:	09/09/2009
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	90 DAYS
Start Date:	10/05/2009
End Date:	01/02/2010

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:	10/09/2009
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	HEARING PANEL DECISION RENDERED FEBRUARY 7, 2008 WHEREIN NOUCHI WAS FINED $10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 90 DAYS. IN ADDITION, NOUCHI MUST PAY COSTS IN THE AMOUNT OF $1,622.25. HEARING PANEL DECISION APPEALED TO THE NAC MARCH 3, 2008. NAC DECISION RENDERED AUGUST 7, 2009 WHEREIN THE FINDINGS AND SANCTIONS MADE ARE AFFIRMED; THEREFORE, NOUCHI IS FINED $10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 90 DAYS. NOUCHI IS ALSO ORDERED TO PAY COSTS OF $3,180.05, WHICH INCLUDES $1,622.25 IN HEARING COSTS AND $1,557.80 IN APPEALS COSTS. DECISION BECAME FINAL ON SEPTEMBER 9, 2009.

	THE SUSPENSION IS IN EFFECT FROM OCTOBER 5, 2009 THROUGH JANUARY 2, 2010.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD - DEPARTMENT OF ENFORCEMENT (NKA FINRA)
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/18/2006
Docket/Case Number:	E102004083705
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	Mutual Fund
Allegations:	FROM IN OR ABOUT MARCH 2003 THROUGH IN OR ABOUT DECEMBER 2003, NOUCHI MADE ENTRIES ON THE UBS ELECTRONIC ORDER SYSTEM THAT FALSELY REPRESENTED THAT 15 CUSTOMERS WERE DISABLED, WHEN, IN FACT, THEY WERE NOT. BY SUCH CONDUCT, NOUCHI IMPROPERLY OBTAINED CDSC WAIVERS FOR 21 MUTUAL FUND REDEMPTION TRANSACTIONS EFFECTED FOR THESE 15 CUSTOMERS.
Current Status:	Final
Resolution:	Decision
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:	09/09/2009
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	90 DAYS
Start Date:	10/05/2009
End Date:	01/02/2010
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:	
Was any portion of penalty waived?	No
Amount Waived:	

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTERN INTERNATIONAL SECURITIES, INC.
Allegations:	Customer alleges that an investment recommendation was unsuitable and misleading.
Product Type:	Debt-Corporate
Alleged Damages:	$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-01080
Filing date of arbitration/CFTC reparation or civil litigation:	05/28/2025

Customer Complaint Information

Date Complaint Received:	06/02/2025
Complaint Pending?	No
Status:	Settled
Status Date:	09/15/2025
Settlement Amount:	$14,999.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WESTERN INTERNATIONAL SECURITIES, INC.
Allegations:	Customer alleges that an investment recommendation was unsuitable and misleading.
Product Type:	Debt-Corporate
Alleged Damages:	$50,000.00

Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-01080
Filing date of arbitration/CFTC reparation or civil litigation:	05/28/2025

Customer Complaint Information

Date Complaint Received:	06/02/2025
Complaint Pending?	No
Status:	Settled
Status Date:	09/15/2025
Settlement Amount:	$14,999.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
Allegations:	CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE MISREPRESENTATIONS. NO DAMAGES SPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	07/09/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/28/2006
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	MERRILL LYNCH DENIES THE ALLEGATION BROUGHT FORTH IN THIS COMPLAINT.

Reporting Source:	Individual
Employing firm when	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

activities occurred which led to the complaint:	
Allegations:	CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE MISREPRESENTATIONS. NO DAMAGES SPECIFIED.
Product Type:	Mutual Fund(s)
Other Product Type(s):	EQUITIES
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	07/09/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/12/2006
Settlement Amount:	
Individual Contribution Amount:	

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:	UBS FINANCIAL SERVICES INC.
Termination Type:	Discharged
Termination Date:	04/12/2004
Allegations:	MS. NOUCHI ADMITTED TO MISCODING MUTUAL FUND ORDER TICKETS TO ALLOW CERTAIN CLIENTS TO AVOID BACKEND MUTUAL FUND SALES CHARGES BY CODING THOSE CLIENTS AS 'DISABLED' WHEN, IN FACT, THEY WERE NOT DISABLED.
Product Type:	Mutual Fund(s)
Other Product Types:	

Reporting Source:	Individual
Firm Name:	UBS FINANCIAL SERVICES
Termination Type:	Discharged
Termination Date:	04/12/2004
Allegations:	UBS FINANCIAL ALLEGED MS. NOUCHI ADMITTED TO MISCODING MUTUAL FUND ORDER TICKETS TO ALLOW CERTAIN CLIENTS TO AVOID BACKEND MUTUAL FUND SALES CHARGES BY CODING THOSE CLIENTS AS 'DISABLED' WHEN, IN FACT, THEY WERE NOT DISABLED.
Product Type:	Mutual Fund(s)
Other Product Types:	
Broker Statement	IN EVERY REDEMPTION, I, WITHOUT FAILURE HELD THE CLIENT'S BEST INTEREST IN MIND. NO CLIENT CAME TO FINANCIAL HARM. UBS WAS GROSSLY DISAPPOINTED WITH MY LEVEL OF PRODUCTION.

End of Report

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