



## IAPD Report

# KEEGAN MICHAEL HENNESSY

CRD# 2405383

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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

### KEEGAN MICHAEL HENNESSY (CRD# 2405383)

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 **02/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/13/2014
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/14/2014

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **45** 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
<b>B</b>	MORGAN STANLEY	149777	ATLANTA, GA	06/01/2009 - 01/23/2014
<b>IA</b>	MORGAN STANLEY	149777	ATLANTA, GA	06/01/2009 - 01/23/2014
<b>IA</b>	CITIGROUP GLOBAL MARKETS INC.	7059	ATLANTA, GA	04/07/2006 - 06/01/2009

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
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 **45** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086

Firm ID#: 8174

Regulator	Registration	Status	Date
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	01/13/2014
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	01/13/2014
<b>B</b> FINRA	General Securities Representative	Approved	01/13/2014
<b>B</b> NYSE American LLC	General Securities Representative	Approved	01/13/2014
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	01/13/2014
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	01/13/2014
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	01/13/2014
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	01/13/2014
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	01/13/2014
<b>B</b> Alabama	Agent	Approved	01/13/2014
<b>B</b> Alaska	Agent	Approved	01/22/2021
<b>B</b> Arizona	Agent	Approved	01/19/2017



## Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	08/24/2018
B	California	Agent	Approved	01/13/2014
B	Colorado	Agent	Approved	01/23/2017
B	Connecticut	Agent	Approved	01/20/2017
B	Delaware	Agent	Approved	07/18/2017
B	District of Columbia	Agent	Approved	02/02/2021
B	Florida	Agent	Approved	01/16/2014
B	Georgia	Agent	Approved	01/13/2014
IA	Georgia	Investment Adviser Representative	Approved	01/14/2014
B	Idaho	Agent	Approved	08/08/2018
B	Illinois	Agent	Approved	01/13/2014
B	Indiana	Agent	Approved	01/13/2014
B	Iowa	Agent	Approved	02/09/2026
B	Kansas	Agent	Approved	01/14/2026
B	Kentucky	Agent	Approved	01/13/2014
B	Louisiana	Agent	Approved	01/13/2014
B	Maine	Agent	Approved	01/19/2017
B	Maryland	Agent	Approved	01/13/2014
B	Massachusetts	Agent	Approved	01/13/2014



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	01/23/2017
<b>B</b> Minnesota	Agent	Approved	02/03/2014
<b>B</b> Mississippi	Agent	Approved	01/13/2014
<b>B</b> Missouri	Agent	Approved	12/23/2019
<b>B</b> Montana	Agent	Approved	01/15/2026
<b>B</b> Nevada	Agent	Approved	07/20/2021
<b>B</b> New Hampshire	Agent	Approved	08/15/2023
<b>B</b> New Jersey	Agent	Approved	01/13/2014
<b>B</b> New York	Agent	Approved	01/13/2014
<b>B</b> North Carolina	Agent	Approved	01/13/2014
<b>B</b> Ohio	Agent	Approved	01/13/2014
<b>B</b> Oklahoma	Agent	Approved	07/09/2021
<b>B</b> Oregon	Agent	Approved	02/19/2021
<b>B</b> Pennsylvania	Agent	Approved	01/13/2014
<b>B</b> Puerto Rico	Agent	Approved	12/03/2018
<b>B</b> Rhode Island	Agent	Approved	04/21/2020
<b>B</b> South Carolina	Agent	Approved	01/13/2014
<b>B</b> Tennessee	Agent	Approved	01/13/2014
<b>B</b> Texas	Agent	Approved	01/13/2014



### Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	02/26/2014
B Vermont	Agent	Approved	07/09/2021
B Virginia	Agent	Approved	01/13/2014
B Washington	Agent	Approved	01/13/2014
B West Virginia	Agent	Approved	11/14/2016
B Wisconsin	Agent	Approved	01/13/2014

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
3560 Lenox Road NE  
28th floor  
ATLANTA, GA 30326

**UBS FINANCIAL SERVICES INC.**  
Woostock, GA



## 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, 3 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	04/28/2003
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/21/1994

#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	05/27/2003
Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/1994

### 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
B	06/01/2009 - 01/23/2014	MORGAN STANLEY	CRD# 149777	ATLANTA, GA
IA	06/01/2009 - 01/23/2014	MORGAN STANLEY	CRD# 149777	ATLANTA, GA
IA	04/07/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ATLANTA, GA
B	02/10/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ATLANTA, GA
IA	06/23/2003 - 03/06/2006	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	ALPHARETTA, GA
B	04/29/2003 - 03/03/2006	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	10/02/1997 - 06/24/1999	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	01/24/1994 - 10/28/1997	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	01/24/1994 - 10/28/1997	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
01/2014 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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) Cedar Woods Capital I LLC/ investment related?: yes/146 Cedar Woods Trail, Canton, GA, 30114 US/ Real Estate/ Partner/ General activities around the ownership of rental real estate/ start date; 9/9/2021
- 2) 303 Argyle Court, Rental Real Estate, Proprietor / owner, Owner of the real estate until such time that my brother decides to buy the house back at some point in the future, start date-2/28/2020, CantonGeorgiaUnited States-30114.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

3) 210 West Marietta Street, Rental Real Estate, Proprietor / owner, Day to Day ownership of a rental real estate property, start date-9/8/2021, CantonGeorgiaUnited States-30114.

4) Cedar Woods Capital II LLC, LLC to hold personal rental property, Proprietor / owner, Those generally associated with owning a condo for rental purposes, start date-7/1/2022, Canton GAUnited States-30114.



## 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
Termination	1

### 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:** SECURITIES AMERICA, INC.

**Termination Type:** Permitted to Resign

**Termination Date:** 02/10/2006

**Allegations:** MR. HENNESSY SUBMITTED HIS RESIGNATION TO OSJ TODD HICKS ON FEB 10, 2006. IN NOV 2006 A COUPLE OF MONTHS BEFORE THIS EVENT, TODD HICKS, SAI PRINCIPAL OF MR. HENNESSY SOUGHT TO REVIEW HIS CLIENT COMMUNICATION CONDUCTED ON A BLACKBERRY ( HAND HELD ELECTRONIC DEVICE) IN ORDER TO DETERMINE WHETHER HE WAS COMPLYING WITH SAI COMPLIANCE PROCEDURES. SPECIFICALLY, TODD HICKS WANTED TO KNOW WHETHER MR. HENNESSY WAS SUBMITTING THE BLACKBERRY CLIENT RESPONSES FOR PRINCIPAL APPROVAL PRIOR TO USE AS IS REQUIRED BY SAI COMPLIANCE POLICY. IN JANUARY 2006, MR. HENNESSY WAS QUESTIONED AGAIN ABOUT HIS BLACKBERRY CLIENT CORRESPONDENCE NOT BEING TURNED IN FOR APPROVAL AND FOR SUBMISSION TO SAI. DUE TO MR. HENNESSY'S NON COMPLIANCE, OSJ TODD HICKS, CONTACTED SAI'S TO DISCUSS WHAT ACTION SHOULD BE TAKEN. MR. HICKS WAS ADVISED BY SENIOR COMPLIANCE EXAMINER, STEPHEN LAVROSKY THAT HE RECOMMENDED MR. HENNESSY BE TERMINATED FOR FAILURE TO FOLLOW SAI AND INDUSTRY RULES AND PROCEDURES. MR. HICKS DECIDED INSTEAD TO PLACE MR. HENNESSY ON A HEIGHTEN SUPERVISION PLAN THAT RESTRICTED THE USE OF THE BLACKBERRY DEVICE FOR BUSINESS COMMUNICATION BY MR. HENNESSY FOR TWO WEEKS STARTING FEB. 1, 2006. CONSEQUENTLY, MR. HENNESSY WAS PLACED ON A PLAN AND AGREED TO THE RESTRICTED USE OF HIS BLACKBERRY FOR A TWO WEEK PERIOD. MR. HICKS FOLLOWED UP ON THE TERMS OF THE PLAN AND DISCOVERED THAT IT WAS NOT BEING ADHERED TO AND DECIDED TO TERMINATE MR. HENNESSY. SIMULTANEOUSLY TO THIS DECISION, MR. HENNESSY SUBMITTED HIS RESIGNATION. SAI DID NOT ACCEPT MR. HENNESSY'S



RESIGNATION AND PERMITTED HIM TO RESIGN BECAUSE OF OUR KNOWLEDGE THAT MR. HENNESSY WAS NON-COMPLIANT REGARDING SAI PROCEDURES AND POLICIES.

**Product Type:** No Product

**Other Product Types:**

**Firm Statement**

I VOLUNTARILY RESIGNED FROM ALLEGIANCE FINANCIAL ON FEBRUARY 10, 2006. SOME TIME BEFORE MY RESIGNATION, TODD HICKS ASKED ME TO PRODUCE CERTAIN WORK EMAILS TO SECURITIES AMERICA. MR. HICKS NEVER SAID OR SUGGESTED TO ME THAT HE OR SECURITIES AMERICA BELIEVED I HAD IMPROPERLY USED EMAILS TO PROSPECT, SOLICIT OR ADVERTISE. NONETHELESS, I PRODUCED SOME EMAILS. ON FEBRUARY 1, 2006, MY BLACKBERRY USE WAS RESTRICTED BECAUSE I HAD NOT PRODUCED ALL OF THE EMAILS. FOR UNRELATED REASONS, I VOLUNTARILY RESIGNED FROM ALLEGIANCE FINANCIAL NINE DAYS LATER. AT NO TIME DID ANYONE FROM ALLEGIANCE FINANCIAL OR SECURITIES AMERICA SAY OR SUGGEST TO ME THAT MY EMPLOYMENT MIGHT BE TERMINATED. ON FEBRUARY 21, 2006, A JUDGE DENIED ALLEGIANCE FINANCIAL'S REQUEST FOR A RESTRAINING ORDER AGAINST ME REGARDING CERTAIN CLIENTS. IT WAS ONLY AFTER ALLEGIANCE FINANCIAL LOST THAT CASE THAT THEY BEGAN SAYING FOR THE FIRST TIME THAT THEY HAD INTERNALLY DECIDED TO TERMINATE MY EMPLOYMENT BEFORE I RESIGNED.

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**Reporting Source:** Firm

**Firm Name:** SECURITIES AMERICA, INC.

**Termination Type:** Permitted to Resign

**Termination Date:** 02/10/2006

**Allegations:** PERMITTED TO RESIGN PRIOR TO TERMINATION WHILE REPRESENTATIVE WAS ON SUSPENSION FOR FAILING TO FOLLOW HIS OSJ MANAGER'S INSTRUCTIONS REGARDING THE SUBMISSION OF CLIENT CORRESPONDENCE FOR APPROVAL.

**Product Type:** No Product

**Other Product Types:**

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**Reporting Source:** Individual

**Firm Name:** ALLEGIANCE FINANCIAL GROUP

**Termination Type:** Permitted to Resign

**Termination Date:** 02/10/2006

**Allegations:** FAILURE TO FOLLOW SAI COMPLIANCE REGULATIONS REGARDING CLIENT COMMUNICATIONS AND THE USE OF ELECTRONIC COMMUNICATION DEVICES (BLACKBERRY).

**Product Type:** No Product

**Other Product Types:**

**Broker Statement**

I VOLUNTARILY RESIGNED FM ALLEGIANCE FINANCIAL GP FEB 10, 2006 TO PURSUE OTHER CAREER OPPORTUNITIES. THE MANAGER ACCEPTED MY LETTER OF RESIGNATION, IT WAS NEVER COMMUNICATED OR SUGGESTED TO ME BY ANY PARTY PRESENT THAT I WAS OR WAS GOING



TO BE TERMINATED FOR THE ISSUE SURROUNDING THE USE OF THE BLACKBERRY DEVICE FOR COMMUNICATING WITH CLIENTS. IN THE MONTHS PRIOR TO MY RESIGNATION, THE MGR DID SEEK TO REVIEW VRS COMMUNICATIONS I HAD WITH CLIENTS USING THE EMAIL FEATURE OF THE BLACKBERRY. NEITHER THE MGR NOR ANY REP OF SAI EVER SUGGESTED OR IMPLIED THAT I HAD IMPROPERLY USED THE BLACKBERRY AS A MEANS TO SOLICIT, MARKET, OR IN ANY OTHER WAY ADVERTISE INVESTMENTS TO CLIENTS OR THE GENERAL PUBLIC IN VIOLATION OF INDUSTRY REGULATION, BUT RATHER FAILED TO FORWARD EACH PIECE OF CLIENT COMMUNICATION FOR REVIEW BY MY SUPERVISOR. ON FEB 1, 2006 I AGREED TO SUSPEND THE USE OF MY BLACKBERRY FOR TWO WEEKS AS THE MGR WORKED TO DEVELOP AN INTERNAL SYSTEM THAT WOULD ALLOW HIM SIMULTANEOUS REVIEW OF ALL CORRESPONDENCE WITH CLIENTS. I WAS NOT SUSPENDED OR RESTRICTED FROM VIEWING IN-BOUND EMAILS AS THE BLACKBERRY WAS SYNCHRONIZED WITH THE IN-OFFICE SERVER & WAS NEVER REQUIRED TO REMOVE THE CONNECTION OF THE DEVICE FROM THE SERVER. I DID AHERE TO THE REQUEST & USED THE BLACKBERRY AS A "VIEW ONLY" DEVICE DURING THE TWO WEEK PERIOD LEADING UP TO MY VOLUNTARY RESIGNATION. ON TWO OCCASIONS, WITH ADVANCED & EXPRESS PERMISSION FROM THE MGR, DID I REPLY TO A CLIENT EMAIL WHILE "IN THE FIELD" & AWAY FROM MY CO. DESKTOP COMPUTER. IN BOTH CIRCUMSTANCES, THE MGR WAS PRESENT TO REVIEW THE CONTENTS OF THE ENTIRE EMAIL COMMUNICATION. ON FEB 21, 2006, A FULTON COUNTY SUPERIOR COURT JUDGE DENIED ALLEGIANCE FINANCIAL GP AN INJUNCTIVE ORDER PREVENTING ME FROM CONTACTING & SERVING EXISTING CLIENTS. IT WAS ONLY AFTER LOSING THIS CASE DID ALLEGIANCE FINANCIAL & SAI STATE THAT THEY HAD DECIDED INTERNALLY TO TERM MY EMPLOYMENT BEFORE I RESIGNED FM THE FIRM FOR IMPROPERLY UTILILIZING THE BLACKBERRY DEVICE.



## End of Report

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