IAPD Report

CHARLES MICHAEL MATISI

CRD# 2650170

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

CHARLES MICHAEL MATISI (CRD# 2650170)

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 **08/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	11/03/2014 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Holbrook, NY	04/16/2014 - 10/11/2024
IA	4THOUGHT FINANCIAL GROUP INC.	162997	SYOSSET, NY	02/04/2014 - 10/31/2014

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
Termination	2

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/11/2024
B	California	Agent	Approved	10/11/2024
B	Connecticut	Agent	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
B	Illinois	Agent	Approved	10/11/2024
B	Maryland	Agent	Approved	10/11/2024
B	New Jersey	Agent	Approved	10/11/2024
IA	New Jersey	Investment Adviser Representative	Approved	11/15/2024
B	New York	Agent	Approved	10/11/2024
IA	New York	Investment Adviser Representative	Approved	10/11/2024
B	North Carolina	Agent	Approved	10/11/2024
B	Pennsylvania	Agent	Approved	10/11/2024
B	South Carolina	Agent	Approved	08/12/2026

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	10/11/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	02/19/2025
B	Virginia	Agent	Approved	10/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
4250 Veterans Memorial Highway
Suite 420E
Holbrook, NY 11741

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 3 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	12/22/1995

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/03/2021
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/25/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1996

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	11/03/2014 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	04/16/2014 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Holbrook, NY
IA	02/04/2014 - 10/31/2014	4THOUGHT FINANCIAL GROUP INC.	CRD# 162997	SYOSSET, NY
IA	11/16/2012 - 10/07/2013	PARK AVENUE SECURITIES LLC	CRD# 46173	WOODBURY, NY
B	07/24/2012 - 10/07/2013	PARK AVENUE SECURITIES LLC	CRD# 46173	WOODBURY, NY
IA	08/19/2005 - 07/03/2012	MML INVESTORS SERVICES, LLC	CRD# 10409	SOUTHBURY, CT
B	07/25/2005 - 07/03/2012	MML INVESTORS SERVICES, LLC	CRD# 10409	SOUTHBURY, CT
IA	06/12/2003 - 03/18/2005	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	05/01/2002 - 03/18/2005	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	12/01/2001 - 04/04/2002	SOURCE CAPITAL GROUP, INC.	CRD# 36719	WESTPORT, CT
B	06/14/2000 - 12/01/2001	MERIT CAPITAL ASSOCIATES, INC.	CRD# 30576	WESTPORT, CT
B	09/21/1999 - 06/21/2000	DALTON KENT SECURITIES GROUP, INC.	CRD# 38813	NEW YORK, NY
B	12/15/1997 - 10/15/1999	MADISON CAPITAL MARKETS CORP.	CRD# 3059	NEW YORK, NY
B	05/19/1997 - 12/16/1997	R.D. WHITE & CO., INC.	CRD# 7011	NEW YORK, NY
B	11/05/1996 - 05/23/1997	STUART, COLEMAN & CO., INC.	CRD# 8642	NEW YORK, NY
B	06/12/1996 - 11/01/1996	LEW LIEBERBAUM & CO., INC.	CRD# 17341	GARDEN CITY, NY

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	01/01/1996 - 03/05/1996	AMERICORP SECURITIES, INC.	CRD# 30405	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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
01/2014 - Present	4THOUGHT FINANCIAL GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	SYOSSET, NY, United States
04/2014 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERRED REPRESENTATIVE	Y	HOLBROOK, NY, 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. CRUMP -INSURANCE SERVICES-SALE OF INSURANCE AND FIXED ANNUITIES-6851 JERICHO TURNPIKE, SUITE 120, SYOSSET, NY 11791-5 HRS PER MONTH-STARTED JULY 2006- ONLY WORK 2 HRS DURING TRADING HOURS.

2. 4 THOUGHT FINANCIAL GROUP INC. - OUTSIDE RIA, INVESTMENT ADVISOR. START DATE 1/23/2014. 120 HOURS DEVOTED PER MONTH.

3. THE CONSILIUM GROUP, LLC. SALE AND SERVICE OF FIXED INSURANCE PRODUCTS. NOT SECURITIES RELATED. 25% OWNERSHIP. 20 HOURS DEVOTED PER MONTH, 10 HOURS DURING MARKET HOURS.

4. CHARLES M. MATISI
POSITION: Financial Advisor NATURE: N/A INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 10 START DATE: 07/01/2006
ADDRESS: 4250 Veterans Memorial Highway Suite 420e, Holbrook NY 11741, United States
DESCRIPTION: Provide the sale and service of insurance services such as fixed annuities, life insurance, long-term care and disability.

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
Termination	2

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/11/2013
Docket/Case Number:	2012033158601
Employing firm when activity occurred which led to the regulatory action:	MML INVESTORS SERVICES
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULES 2210(D)(1)(A), 2210(D)(1)(B): MATISI POSTED A COMMUNICATION REGARDING A PHARMACEUTICAL COMPANY ON A PUBLICLY AVAILABLE WEBSITE THAT WAS EXAGGERATED, NOT FAIR AND BALANCED AND OMITTED THE MATERIAL FACT THAT HE OWNED 10,000 SHARES OF THE COMPANY WORTH APPROXIMATELY $60,000 AND SEVERAL OF HIS CUSTOMERS ALSO OWNED SHARES OF THE COMPANY. MATISI MADE THE COMMENT VIA HIS FACEBOOK PROFILE, WHICH IDENTIFIED HIM AS A "FINANCIAL PLANNER" WITH HIS MEMBER FIRM. MATISI'S COMMENTS DID NOT PROVIDE A SOUND BASIS FOR EVALUATING THE FACTS IN REGARD TO THE COMPANY AND CONTAINED UNWARRANTED CLAIMS REGARDING THE COMPANY.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

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:	09/11/2013
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? **(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 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?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	10/07/2013
End Date:	10/18/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	09/30/2013
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, MATISI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT OCTOBER 7, 2013 THROUGH OCTOBER 18, 2013.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension

Date Initiated:	09/11/2013
Docket/Case Number:	2012033158601
Employing firm when activity occurred which led to the regulatory action:	MML INVESTORS SERVICES
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULES 2210(D)(1)(A), 2210(D)(1)(B): MATISI POSTED A COMMUNICATION REGARDING A PHARMACEUTICAL COMPANY ON A PUBLICLY AVAILABLE WEBSITE THAT WAS EXAGGERATED, NOT FAIR AND BALANCED AND OMITTED THE MATERIAL FACT THAT HE OWNED 10,000 SHARES OF THE COMPANY WORTH APPROXIMATELY $60,000 AND SEVERAL OF HIS CUSTOMERS ALSO OWNED SHARES OF THE COMPANY. MATISI MADE THE COMMENT VIA HIS FACEBOOK PROFILE, WHICH IDENTIFIED HIM AS A "FINANCIAL PLANNER" WITH HIS MEMBER FIRM. MATISI'S COMMENTS DID NOT PROVIDE A SOUND BASIS FOR EVALUATING THE FACTS IN REGARD TO THE COMPANY AND CONTAINED UNWARRANTED CLAIMS REGARDING THE COMPANY.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	09/11/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	10 BUSINESS DAYS
Start Date:	10/07/2013
End Date:	10/18/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, MATISI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT OCTOBER 7, 2013 THROUGH OCTOBER 18, 2013.

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 2

Reporting Source:	Firm
Firm Name:	MML INVESTORS SERVICES, LLC
Termination Type:	Permitted to Resign
Termination Date:	06/18/2012
Allegations:	PERMITTED TO RESIGN IN CONNECTION WITH VIOLATION OF THE FIRM'S POLICIES RELATED TO USAGE OF SOCIAL MEDIA.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	MML INVESTOR SERVICES
Termination Type:	Permitted to Resign
Termination Date:	06/18/2012
Allegations:	PERMITTED TO RESIGN IN CONNECTION WITH VIOLATION OF THE FIRM'S POLICIES RELATED TO USAGE OF SOCIAL MEDIA.
Product Type:	No Product
Broker Statement	WEEK BEFORE I HAD RESIGNED I MET WITH MY GENERAL AGENT TO EXPRESS MY DISSATISFACTION WIH THE AGENCY'S MORAL AND ETHICAL CONDUCT. BECAUSE THIS WAS ONGOING, I FELT IT WAS IN MY CLIENTS' AND MY BEST INTEREST NOT TO BE PART OF AGENCY ANYMORE AND NOTIFIED MASS MUTUAL OF MY RESIGNATION VIA EMAIL ON JUNE 18, 2012. HOWEVER, I STAYED ON AS A BROKER SO I COULD CONTINUE TO SERVICE MY MASS MUTUAL NON VARIABLE BUSINESS. IF I HAD VIOLATED ANY COMPANY POLICY, AS THEY ALLEGE, MASS MUTUAL WOULD NEVER HAVE CONTRACTED ME TO STAY AS A BROKER. ALLEGATION OF "VIOLATING COMPANY POLICY TO USAGE OF SOCIAL MEDIA" IS COMPLETELY FRIVOLOUS AND WITHOUT MERIT. THIS ALLEGATION AROSE-TWO WEEKS AFTER I HAD RESIGNED-WHEN MY FORMER MASS MUTUAL AGENCY WAS UNSUCCESSFUL IN THEIR MULTIPLE ATTEMPTS TO CONVINCE ANY OF MY CLIENTS NOT TO TRANSFER THEIR ACCOUNTS TO ME AT MY NEW BROKER DEALER. ALLEGATION WAS DONE TO BE VINDICTIVE WHEN NOT ONE OF MY CLIENTS WANTED TO MAINTAIN RELATIONSHIP WITH AGENCY.

Disclosure 2 of 2

Reporting Source:	Firm
Firm Name:	AXA ADVISORS, LLC
Termination Type:	Discharged
Termination Date:	03/08/2005
Allegations:	ALLEGEDLY CUTTING AND PASTING CLIENT SIGNAUTRES FROM ONE

	DOCUMENT TO ANOTHER.
Product Type:	Insurance
Other Product Types:	

Reporting Source:	Individual
Firm Name:	AXA ADVISORS, LLC.
Termination Type:	Voluntary Resignation
Termination Date:	03/08/2005
Allegations:	ALLEGED CUT AND PASTE INCIDENT IN WHICH ANOTHER AGENT BLAMED ME FOR SOMETHING HE DID. I HAD ABSOLUTELY NOTHING TO DO WITH THIS INCIDENT WHATSOEVER.
Product Type:	Insurance
Other Product Types:	
Broker Statement	BASCIALLY I WAS BLAMED FOR CUTTING AND PASTING A CLIENT'S SIGNATURE WHEN, IN FACT, I HAD NOTHING TO DO WITH THE CASE IN HAND. ALL I DID WAS ADVISE THE AGENT ON THE CASE AND HE BLAMED ME FOR HIS WRONGDOING. I'VE BEEN IN CONTACT WITH THE NASD TO CLEAR MY NAME AND MAY PURSUE LEGAL RECOURSE TO DO SO. I ATTEST THAT I HAVE DONE NOTHING WRONG AND I AM EXTREMELY CONFIDENT THE CORRESPONDING FILES AND DOCUMENTATION WILL VINDICATE ME FROM ANY AND ALL WRONGDOING.

End of Report

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