



## IAPD Report

# CANDACE KING WEIR

CRD# 269796

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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

### CANDACE KING WEIR (CRD# 269796)

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 **09/21/2021**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	C. L. KING & ASSOCIATES, INC.	CRD# 6183	05/01/1972
<b>IA</b>	PARADIGM CAPITAL MANAGEMENT, INC.	CRD# 107982	10/28/2015

### QUALIFICATIONS

This representative is currently registered in **2** 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
<b>IA</b>	PARADIGM CAPITAL MGMT.INC	107982	ALBANY, NY	07/05/1995 - 12/31/2002
<b>B</b>	FAHERTY & FAHERTY INC.	4089	ALBANY, NY	08/19/1969 - 04/01/1975

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

#### Employment 1 of 2

Firm Name: **PARADIGM CAPITAL MANAGEMENT, INC.**  
Main Address: NINE ELK STREET  
ALBANY, NY 12207  
Firm ID#: 107982

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	10/30/2021
IA Texas	Investment Adviser Representative	Restricted Approval	10/28/2015

#### Branch Office Locations

**PARADIGM CAPITAL MANAGEMENT, INC.**  
NINE ELK STREET  
ALBANY, NY 12207

#### Employment 2 of 2

Firm Name: **C. L. KING & ASSOCIATES, INC.**  
Main Address: NINE ELK STREET  
ALBANY, NY 12207  
Firm ID#: 6183

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	05/01/1972
B FINRA	General Securities Representative	Approved	05/01/1972
B FINRA	Municipal Securities Principal	Approved	06/16/1992
B FINRA	Municipal Securities Representative	Approved	06/16/1992
B Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> California	Agent	Approved	05/18/2004
<b>B</b> Connecticut	Agent	Approved	06/07/2004
<b>B</b> District of Columbia	Agent	Approved	06/09/2004
<b>B</b> Florida	Agent	Approved	02/11/1993
<b>B</b> Georgia	Agent	Approved	05/25/2004
<b>B</b> Illinois	Agent	Approved	06/10/2004
<b>B</b> Indiana	Agent	Approved	08/14/1992
<b>B</b> Kansas	Agent	Approved	05/25/2004
<b>B</b> Louisiana	Agent	Approved	06/17/2004
<b>B</b> Maine	Agent	Approved	05/20/2004
<b>B</b> Maryland	Agent	Approved	06/27/1990
<b>B</b> Massachusetts	Agent	Approved	05/28/2004
<b>B</b> Minnesota	Agent	Approved	06/15/2004
<b>B</b> Nevada	Agent	Approved	06/08/2004
<b>B</b> New Hampshire	Agent	Approved	05/18/2004
<b>B</b> New Jersey	Agent	Approved	05/12/1993
<b>B</b> New Mexico	Agent	Approved	05/18/2004
<b>B</b> New York	Agent	Approved	06/05/2004



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	05/18/2004
<b>B</b> Ohio	Agent	Approved	05/19/2004
<b>B</b> Pennsylvania	Agent	Approved	05/18/2004
<b>B</b> Rhode Island	Agent	Approved	05/20/2004
<b>B</b> South Carolina	Agent	Approved	09/29/2014
<b>B</b> Texas	Agent	Approved	06/18/2004
<b>B</b> Vermont	Agent	Approved	07/02/1991
<b>B</b> Virginia	Agent	Approved	05/18/2004
<b>B</b> Washington	Agent	Approved	05/18/2004

### Branch Office Locations

NINE ELK STREET  
ALBANY, NY 12207



## 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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
<b>B</b>	General Securities Principal Examination (S24)	Series 24	01/02/2023
<b>B</b>	Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
<b>B</b>	General Securities Principal Examination (S00)	Series 00	04/06/1972

#### General Industry/Product Exams

	Exam	Category	Date
<b>B</b>	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
<b>B</b>	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
<b>B</b>	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b>	Registered Representative Examination (S1)	Series 1	02/14/1969

#### State Securities Law Exams

	Exam	Category	Date
<b>IA</b>	Uniform Investment Adviser Law Examination (S65)	Series 65	10/29/2021
<b>IA</b> <b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	05/10/2004



## 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	07/05/1995 - 12/31/2002	PARADIGM CAPITAL MGMT.INC	CRD# 107982	ALBANY, NY
B	08/19/1969 - 04/01/1975	FAHERTY & FAHERTY INC.	CRD# 4089	

### 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
07/1993 - Present	PARADIGM CAPITAL MANAGEMENT, INC	CHIEF INVESTMENT OFFICER	Y	ALBANY, NY, United States
01/1972 - Present	C. L. KING & ASSOCIATES, INC.	PRESIDENT, DIRECTOR	Y	ALBANY, 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.

OWNER/MANAGER, VARIOUS RENTAL PROPERTIES, NEW YORK AND RHODE ISLAND, NON-INVESTMENT RELATED, LESS THAN 1 HOUR PER MONTH (0 DURING BUSINESS HOURS), SINCE 1980



## 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	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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Monetary Penalty other than Fines Undertaking
<b>Date Initiated:</b>	06/16/2014
<b>Docket/Case Number:</b>	3-15930
<b>Employing firm when activity occurred which led to the regulatory action:</b>	PARADIGM CAPITAL MANAGEMENT, INC.; C.L. KING & ASSOCIATES, INC.
<b>Product Type:</b>	Other: UNSPECIFIED SECURITIES
<b>Allegations:</b>	SEC ADMINISTRATIVE RELEASE 34-72393; IA RELEASE 40-3857, JUNE 16, 2014: THE SEC DEEMS IT APPROPRIATE THAT CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTION 21C OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTION 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940 AGAINST CANDACE KING WEIR AND A FIRM SHE OWNED. IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, RESPONDENTS HAVE SUBMITTED AN OFFER OF SETTLEMENT WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. SOLELY FOR THE PURPOSE OF THESE PROCEEDINGS AND ANY OTHER PROCEEDINGS BROUGHT BY OR ON BEHALF OF THE COMMISSION, OR TO WHICH THE COMMISSION IS A PARTY, AND WITHOUT ADMITTING OR DENYING THE FINDINGS HEREIN, EXCEPT AS TO THE COMMISSION'S JURISDICTION OVER THEM AND THE SUBJECT MATTER OF



THESE PROCEEDINGS, WHICH ARE ADMITTED, RESPONDENTS CONSENT TO THE ENTRY OF THIS ORDER INSTITUTING CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTION 21C OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTION 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940, MAKING FINDINGS, AND IMPOSING A CEASE-AND-DESIST ORDER. THE COMMISSION FOUND THAT WEIR CAUSED THE FIRM TO VIOLATE SECTION 206(3) OF THE ADVISERS ACT BY CAUSING HER AFFILIATED INVESTMENT ADVISER TO ENGAGE IN PRINCIPAL TRANSACTIONS WITH AN AFFILIATED BROKER-DEALER OWNED BY WEIR, WITHOUT PROVIDING EFFECTIVE DISCLOSURE TO, OR OBTAINING EFFECTIVE CONSENT FROM A HEDGE FUND CLIENT ADVISED BY HER AFFILIATED INVESTMENT ADVISER. BECAUSE WEIR CONTROLLED BOTH THE FIRM AND A BROKER DEALER, THE TRANSACTIONS BETWEEN THE TWO ENTITIES WERE PRINCIPAL TRANSACTIONS THAT REQUIRED WRITTEN DISCLOSURE TO, AND CONSENT FROM, THE HEDGE FUND CLIENT ADVISED BY THE FIRM. THE FIRM, HOWEVER, DID NOT PROVIDE EFFECTIVE WRITTEN DISCLOSURE TO THE HEDGE FUND CLIENT AND FAILED EFFECTIVELY TO OBTAIN ITS CONSENT TO THE TRANSACTIONS. THE FIRM ESTABLISHED A REVIEW COMMITTEE TO APPROVE THE PRICING OF THE TRADES IN AN ATTEMPT TO SATISFY THE REQUIREMENTS, BUT THE COMMITTEE WAS CONFLICTED.

**Current Status:**

Final

**Resolution:**

Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:**

06/16/2014

**Sanctions Ordered:**

Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)  
Disgorgement  
Monetary Penalty other than Fines  
Undertaking  
Other: IT IS ORDERED THAT WEIR CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTION 206(3) OF THE ADVISERS ACT. RESPONDENTS UNDERTAKE, JOINTLY AND SEVERALLY, TO DISTRIBUTE, WITHIN 60 DAYS OF THE DATE OF ENTRY OF THIS ORDER, PAYMENT TO COMPENSATE CERTAIN INVESTORS.

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No



**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

No

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

No

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

No

**Monetary Sanction 1 of 3**

**Monetary Related Sanction:** Disgorgement

**Total Amount:** \$1,700,000.00



**Portion Levied against individual:** \$1,700,000.00

**Payment Plan:** JOINTLY AND SEVERALLY

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Monetary Sanction 2 of 3**

**Monetary Related Sanction:** Monetary Penalty other than Fines

**Total Amount:** \$181,771.00

**Portion Levied against individual:** \$181,771.00

**Payment Plan:** JOINTLY AND SEVERALLY; PREJUDGMENT INTEREST

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Monetary Sanction 3 of 3**

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

**Total Amount:** \$300,000.00

**Portion Levied against individual:** \$300,000.00

**Payment Plan:** JOINTLY AND SEVERALLY

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)  
Disgorgement  
Monetary Penalty other than Fines

**Date Initiated:** 06/16/2014

**Docket/Case Number:** 3-15930



<b>Employing firm when activity occurred which led to the regulatory action:</b>	PARADIGM CAPITAL MANAGEMENT, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	ALLEGATIONS THAT PARADIGM CAPITAL MANAGEMENT, AN ENTITY CONTROLLED BY THE REGISTRANT, HAD VIOLATED A PROVISION OF THE ADVISERS ACT BY NOT PROVIDING EFFECTIVE DISCLOSURE, OR OBTAINING EFFECTIVE CONSENT, RELATING TO PRINCIPAL TRANSACTIONS INVOLVING A CLIENT OF PARADIGM.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	06/16/2014
<b>Sanctions Ordered:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Monetary Penalty other than Fines
<b>Monetary Sanction 1 of 3</b>	
<b>Monetary Related Sanction:</b>	Disgorgement
<b>Total Amount:</b>	\$1,700,000.00
<b>Portion Levied against individual:</b>	\$1,700,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	07/11/2014
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Monetary Sanction 2 of 3</b>	
<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$181,771.00
<b>Portion Levied against individual:</b>	\$181,771.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	06/27/2014
<b>Was any portion of penalty waived?</b>	No



**Amount Waived:**

**Monetary Sanction 3 of 3**

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

**Total Amount:** \$300,000.00

**Portion Levied against individual:** \$300,000.00

**Payment Plan:**

**Is Payment Plan Current:** Yes

**Date Paid by individual:** 06/27/2014

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement** SUBJECT TO SECURITIES RELEASE NO. 5310, REGISTRANT BELIEVES THAT EXCHANGE ACT RELEASE NO. 72393 AND ADVISERS ACT RELEASE NO. 3857 RESOLVES THIS MATTER FOR REGISTRANT.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

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

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/23/1978

**Docket/Case Number:** B 418

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 05/22/1979

**Sanctions Ordered:** Censure  
Monetary/Fine \$500.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** 1-23-78 #B-418 FILED DIST. #13: 5-22-79 OFFER OF SETTLEMENT WAS ACCEPTED CENSURED FINED \$500 J & S. ALL RIGHTS WAIVED. 5-22-79 FINAL FINES & COSTS 6-13-79 FC #7332 PD J&S



<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	01/23/1978
<b>Docket/Case Number:</b>	B 418
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	FAILURE TO SUPERVISE THE ACTIVITIES OF A REGISTERED REPRESENTATIVE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	05/22/1979
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$500.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	FINED \$500 FOR NOT FOLLOWING NASD REPORTING PROCEDURES.
<b>Broker Statement</b>	Not Provided



## End of Report

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