



IAPD Report

JEFFREY SCOTT ANDERSON

CRD# 2896908

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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

JEFFREY SCOTT ANDERSON (CRD# 2896908)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTH ADVISORS NETWORK, INC.	CRD# 113836	09/03/1997
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	06/17/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	1ST GLOBAL CAPITAL CORP.	30349	HASTINGS, NE	07/16/1997 - 06/17/2013
IA	CONTRYMAN ASSOCIATES, P.C.	129224	HASTINGS, NE	01/18/1996 - 05/08/2009

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
Regulatory Event	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 **30** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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

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

Firm ID#: 39543

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/17/2013
B	FINRA	General Securities Representative	Approved	06/17/2013
B	Alabama	Agent	Approved	08/12/2014
B	Arizona	Agent	Approved	08/02/2013
B	California	Agent	Approved	06/17/2013
B	Colorado	Agent	Approved	06/17/2013
B	Connecticut	Agent	Approved	01/05/2026
B	Florida	Agent	Approved	06/17/2013
B	Georgia	Agent	Approved	02/13/2020
B	Idaho	Agent	Approved	01/05/2026
B	Iowa	Agent	Approved	10/21/2014
B	Kansas	Agent	Approved	06/17/2013
B	Maryland	Agent	Approved	01/07/2026



Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	06/17/2013
B	Minnesota	Agent	Approved	01/05/2026
B	Missouri	Agent	Approved	01/02/2026
B	Montana	Agent	Approved	01/14/2026
B	Nebraska	Agent	Approved	07/12/2013
B	Nevada	Agent	Approved	07/19/2013
B	New Jersey	Agent	Approved	02/12/2024
B	New York	Agent	Approved	11/27/2017
B	North Carolina	Agent	Approved	01/04/2024
B	Ohio	Agent	Approved	01/06/2025
B	Oklahoma	Agent	Approved	07/16/2013
B	Pennsylvania	Agent	Approved	11/15/2017
B	South Carolina	Agent	Approved	11/16/2018
B	South Dakota	Agent	Approved	06/17/2013
B	Texas	Agent	Approved	06/17/2013
B	Utah	Agent	Approved	01/05/2026
B	Virginia	Agent	Approved	01/12/2023
B	Washington	Agent	Approved	11/03/2014
B	Wyoming	Agent	Approved	01/02/2026



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
 315 WEST 60TH
 KEARNEY, NE 68848

CAMBRIDGE INVESTMENT RESERARCH, INC.
 201 Foundation Place, Suite 100
 Hastings, NE 68902

CAMBRIDGE INVESTMENT RESERARCH, INC.
 505 North Diers Ave
 PO 700
 GRAND ISLAND, NE 68803

CAMBRIDGE INVESTMENT RESERARCH, INC.
 1415 16th St. Suite 201
 Central City, NE 68826

Employment 2 of 2

Firm Name: **WEALTH ADVISORS NETWORK, INC.**
 Main Address: 201 FOUNDATION PLACE STE 100
 HASTINGS, NE 68901
 Firm ID#: 113836

Regulator	Registration	Status	Date
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IA Nebraska	Investment Adviser Representative	Approved	09/03/1997
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Branch Office Locations

WEALTH ADVISORS NETWORK, INC.
 2215 W. 12TH STREET
 PO BOX 2026
 HASTINGS, NE 68901



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	08/31/1998

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/15/1997

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	05/11/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/1997

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	07/16/1997 - 06/17/2013	1ST GLOBAL CAPITAL CORP.	CRD# 30349	HASTINGS, NE
IA	01/18/1996 - 05/08/2009	CONTRYMAN ASSOCIATES, P.C.	CRD# 129224	HASTINGS, NE

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
06/2013 - Present	CAMBRIDGE INVESTMENT RESEARCH, INC.	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, United States
01/2007 - Present	WEALTH ADVISORS NETWORK, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	HASTINGS, NE, United States
10/1989 - Present	CONTRYMAN ASSOCIATES, P.C	OTHER - ADVISOR/CONSULTANT	N	HASTINGS, NE, 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) CONTRYMAN ASSOCIATES, P.C., 201 FOUNDATION PL STE 100, HASTINGS, NE 68901. BEGAN 10/1998 AS TRUSTEE OF 401(K) PENSION PLAN. DEVOTES 2 HR/YR- 2 HR/TRADING.
- 2) WEALTH ADVISORS NETWORK INC: CONTRYMAN WEALTH ADVISORS, 201 FOUNDATION PL, STE 100, HASTINGS, NE, 10/1997 AS INDEPENDENT INSURANCE AGENT SELLING FIXED INSURANCE PRODUCTS THROUGH VARIOUS INDEPENDENT INSURANCE COMPANIES. 50 HR/YR - 50/TRADING.
- 3) WEALTH ADVISORS NETWORK INC: CONTRYMAN WEALTH ADVISORS, 201 FOUNDATION PL STE 100, HASTINGS, NE, 10/1998 AS PRESIDENT, CEO, WEALTH CARE DIRECTOR/ADVISORY REP OF A RIA. INV REL - 20 HR/WK - 20/TRADING.
- 4) CONTRYMAN ASSOCIATES, P.C. 201 FOUNDATION PL STE 100, HASTINGS, NE 68901. BEGAN 10/1/89 AS CEO & SHAREHOLDER & CHAIRMAN OF THE BOARD OF DIRECTORS; CPA FIRM THAT OWNS 100% OF WEALTH ADVISORS NETWORK, INC D/B/A CONTRYMAN WEALTH ADVISORS (OUR OWN RIA). RESPONSIBLE FOR MANAGING THE AFFAIRS OF THE COMPANY, MAINTAINING COMPLIANCE WITH RULES OF THE NEBRASKA BOARD OF ACCOUNTANCY AND ALSO PROVIDING ACCOUNTING SERVICES TO CLIENTS THROUGH CONTRYMAN ASSOCIATES, P.C. NIR - 2/WK. 20 DURING TRADING.
- 5) MARY LANNING HEALTHCARE, 715 NORTH ST JOSEPH AVENUE HASTINGS, NE, 1/2011 AS CHAIRMAN AND MEMBER



Registration & Employment History



OTHER BUSINESS ACTIVITIES

OF THE BOARD OF TRUSTEES. NOT INVESTMENT RELATED. DEVOTES 25 HRS/MNTH. 10/trading.

6) MARY LANNING HOSPITAL TRUST, 122 NORTH HASTINGS AVENUE, HASTINGS, NE, 5/2014 AS BOARD OF DIRECTOR MEMBER. NIR - 8 HOURS/YEAR, 4/TRADING.

7) WETLAND RENOVATIONS, LLC, 201 FOUNDATION PL STE 100, HASTINGS, NE, 3/2002 AS MEMBER. NIR - 20 HRS/YR ; 10/TRADING.

8) HIGHLAND REALTY BOARD, 601 W LOCHLAND RD, HASTINGS, NE, BOARD MEMBER OF PUBLIC ENTITY, 04/15/20, NIR, 20/YR- 15/TRADING

9) NEBRASKA SHOOTING SPORTS FDN, 201 FOUNDATION PL STE 100, HASTINGS, NE, 7/2013 AS BOARD MEMBER. NIR - NPO - 1 HR/MO - 0/TRADING.

10) ARCHERY SOLUTIONS LLC, 9391 OSBORNE DR W, HASTINGS, NE, 1/2015 AS OWNER OF INDOOR COMMUNITY ARCHERY RANGE. NIR - 600 HR/YR - 100/TRADING.

11) CAPC HASTINGS BLDG LLC, 201 FOUNDATION PL STE 100, HASTINGS, NE, 10/2017 AS OWNING MEMBER OF LAND DEVELOPMENT LLC. NIR - 4/MO - 4/TRADING.

12) FOUNDATION PLACE CONDOMINIUM ASSOCIATION, 201 FOUNDATION PL STE 100, HASTINGS, NE, 5/2018 AS DIRECTOR/PRESIDENT. NIR - 1.5/MO - 1/TRADING.

13) REVIVE, INC., 835 S Burlington Ave #115, Hastings NE 68901, 03/01/2024, Volunteer, INV REL, 20 HR/MO, 15 HR/MO TRADING



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	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:	NEBRASKA DEPARTMENT OF BANKING AND FINANCE
Sanction(s) Sought:	Other: CONSENT ORDER
Date Initiated:	02/07/2008
Docket/Case Number:	ORDER # 12211
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	1ST GLOBAL CAPITAL CORP., CONTRYMAN WEALTH ADVISORS NETWORK, INC. & CONTRYMAN ASSOCIATES, P.C.
Product Type:	No Product
Allegations:	JEFFREY S. ANDERSON ("ANDERSON") IS REGISTERED IN NEBRASKA AS AN AGENT FOR 1ST GLOBAL CAPITAL CORP. ("1ST GLOBAL"), A BROKER-DEALER REGISTERED TO TRANSACT BUSINESS IN NEBRASKA. 1ST GLOBAL IS A CORPORATION ORGANIZED UNDER THE LAWS OF THE STATE OF DELAWARE WITH ITS PRINCIPAL PLACE OF BUSINESS AT 8150 NORTH CENTRAL EXPRESSWAY, SUITE M-1000, DALLAS, TEXAS. AT ALL TIMES RELEVANT TO THIS ORDER, 1ST GLOBAL HAS BEEN REGISTERED AS A BROKER-DEALER APPROVED TO EFFECT SECURITIES TRANSACTIONS IN NEBRASKA PURSUANT TO NEB. REV. STAT. § 8-1103 (CUM. SUPP. 2006). ANDERSON'S OFFICE IS LOCATED AT 2215 WEST 12TH STREET, P.O. BOX 2026, HASTINGS, NEBRASKA, AND IS REGISTERED AS A BRANCH OFFICE OF 1ST GLOBAL. AT THE TIME OF SUBJECT ACTS, ANDERSON WAS ALSO REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE FOR, AND WAS A DIRECT OWNER OF, CONTRYMAN ASSOCIATES, P.C. ("CONTRYMAN"), AND AS AN INVESTMENT ADVISER REPRESENTATIVE FOR WEALTH ADVISORS NETWORK, INC., DOING BUSINESS AS CONTRYMAN



WEALTH ADVISOR ("WAN"). WAN IS A WHOLLY-OWNED SUBSIDIARY OF CONTRYMAN. PRIOR TO SEPTEMBER, 2005, BOTH CONTRYMAN AND WAN WERE REGISTERED IN NEBRASKA TO TRANSACT BUSINESS AS INVESTMENT ADVISERS. BOTH CONTRYMAN AND WAN HAVE OFFICES AT THE LOCATION OF THE 1ST GLOBAL BRANCH OFFICE IN HASTINGS, NEBRASKA. AT ALL TIMES RELEVANT TO THIS ORDER, NEITHER WAN NOR CONTRYMAN WERE REGISTERED AS BROKER-DEALERS OR AFFILIATED WITH 1ST GLOBAL. PRIOR TO SEPTEMBER, 2005, SEVERAL OTHER INVESTMENT ADVISER REPRESENTATIVES OF WAN WERE ALSO REGISTERED AS AGENTS OF 1ST GLOBAL. WAN REPRESENTATIVES WERE LOCATED AT VARIOUS CONTRYMAN LOCATIONS AND OTHER LOCATIONS. PRIOR TO SEPTEMBER 2005, ANDERSON RECEIVED BETWEEN 50% AND 100% OF COMMISSIONS GENERATED BY WAN REPRESENTATIVES ON TRANSACTIONS THROUGH 1ST GLOBAL. WAN, ANDERSON AND THE WAN REPRESENTATIVES ENTERED INTO AN ADMINISTRATIVE SERVICES AND FACILITIES AGREEMENT, WHEREBY WAN PROVIDED VARIOUS SERVICES, INCLUDING CLERICAL SUPPORT, AND FACILITIES FOR ACTIVITIES ON BEHALF OF 1ST GLOBAL. UPON RECEIPT OF THE COMMISSIONS, ANDERSON DEPOSITED THE COMMISSIONS INTO HIS PERSONAL CHECKING ACCOUNT AND THEN PAID 95% OF THE COMMISSIONS TO WAN. ANDERSON ASSERTS THAT THE COMMISSIONS PAID TO HIM BY THE WAN REPRESENTATIVES, AND WHICH WERE THEN PAID BY HIM TO WAN, WERE INTENDED TO REIMBURSE WAN FOR WAN'S OFFICE EXPENSES AND OVERHEAD ATTRIBUTABLE TO THE SECURITIES BUSINESS OF 1ST GLOBAL EFFECTED BY ANDERSON AND THE WAN REPRESENTATIVES. ANDERSON ASSERTS THAT THE OFFICE EXPENSES AND ALLOCATED OVERHEAD FOR THE SECURITIES BUSINESS ON BEHALF OF 1ST GLOBAL EXCEEDED THE AMOUNTS PAID BY ANDERSON TO WAN. WAN USED THE PAYMENTS FROM ANDERSON TO PAY A PORTION OF ITS OPERATIONAL EXPENSES AND THEN PERIODICALLY, WAN, AS A WHOLLY OWNED SUBSIDIARY OF CONTRYMAN, PAID ITS NET CASH FLOW AFTER ITS DIRECT OPERATING EXPENSES TO CONTRYMAN, UNDER AN INTERCOMPANY LOAN AND/OR AS AN INTERCOMPANY DIVIDEND. IN A REPORT FOLLOWING A ROUTINE EXAMINATION IN 2005, THE DEPARTMENT CITED THE PAYMENTS MADE BY ANDERSON TO WAN UNDER THE ADMINISTRATIVE SERVICES AND FACILITIES AGREEMENT AS A VIOLATION OF THE ACT. ANDERSON AND WAN SUBSEQUENTLY REVISED THE ADMINISTRATIVE SERVICES AND FACILITIES AGREEMENT, AND SUCH AGREEMENT WAS SUBMITTED TO THE DEPARTMENT FOR ITS REVIEW. THE DEPARTMENT DID NOT OBJECT TO THE REVISED AGREEMENT.

Current Status:	Final
Resolution:	Consent
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:	03/07/2008
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)



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?



Monetary Sanction 1 of 1

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

Total Amount: \$2,500.00

Portion Levied against individual: \$2,500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 03/07/2008

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF NEBRASKA DEPARTMENT OF BANKING AND FINANCE

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 07/09/2007

Docket/Case Number: unknown

Employing firm when activity occurred which led to the regulatory action: 1ST GLOBAL CAPITAL CORP.

Product Type: No Product

Allegations: STATE ALLEGES REPRESENTATIVE RECEIVED COMMISSIONS FROM BROKER DEALER, 1ST GLOBAL CAPITAL CORP., DEPOSITED COMMISSIONS IN HIS PERSONAL CHECKING ACCOUNT AND THEN PAID A PERCENTAGE OF THE COMMISSIONS TO AN AFFILIATED ENTITY THAT IS NOT REGISTERED AS A BROKER DEALER.

Current Status: Final

Resolution: Consent

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: 02/07/2008

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

Monetary Sanction 1 of 1

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

Total Amount: \$2,500.00

Portion Levied against individual: \$2,500.00



Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 02/01/2008

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

THE REPRESENTATIVE ASSERTS THAT COMMISSIONS PAID TO THE AFFILIATED ENTITY WERE USED TO PAY FOR FACILITIES AND SERVICES PROVIDED BY THE AFFILIATED ENTITY TO THE REPRESENTATIVE AND OTHER REPRESENTATIVES ASSOCIATED WITH HIM WHICH WERE NECESSARY AND APPROPRIATE TO PERMIT THE REPRESENTATIVE AND OTHER REPRESENTATIVES TO CONDUCT THEIR SECURITIES BUSINESS.



End of Report

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