IAPD Report

Matthew Mark Reynolds

CRD# 4077413

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

Matthew Mark Reynolds (CRD# 4077413)

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 **04/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORRIS GROUP, INC.	CRD# 13181	10/19/2020
B	THURSTON, SPRINGER, MILLER, HERD & TITAK, INC.	CRD# 8478	02/12/2021
IA	THURSTON SPRINGER ADVISORS	CRD# 299201	03/08/2022
B	PEAK BROKERAGE SERVICES, LLC	CRD# 157045	11/14/2022
B	J. D. SEIBERT & COMPANY, INC.	CRD# 7884	05/24/2024
IA	BLACKRIDGE ASSET MANAGEMENT, LLC	CRD# 277085	09/26/2024
IA	TRUEDGE ASSET MANAGEMENT LLC	CRD# 323442	11/06/2024
B	QUINCY WELLS CAPITAL, LLC	CRD# 334163	01/28/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **49** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **Yes**

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	PACIFIC GATE ADVISORS, LLC	16589	BRENTWOOD, TN	03/30/2024 - 04/29/2026
IA	LIG CAPITAL MANAGEMENT, LLC	130489	indianapolis, IN	07/16/2025 - 03/30/2026
B	BLUE DIAMOND SECURITIES OF AMERICA LLC	158821	New York, NY	07/07/2022 - 12/31/2025

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

Report Summary

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

This individual has 1 inactive or suspended registration(s).

Employment 1 of 8

Firm Name: **QUINCY WELLS CAPITAL, LLC**
Main Address: 145 SOUTH WELLS STE 1301
CHICAGO, IL 60606
Firm ID#: 334163

	Regulator	Registration	Status	Date
B	FINRA	Corporate Securities Represent	Approved	01/28/2026
B	FINRA	Financial and Operations Principal	Approved	01/28/2026
B	FINRA	General Securities Principal	Approved	01/28/2026
B	FINRA	General Securities Representative	Approved	01/28/2026
B	FINRA	Operations Professional	Approved	01/28/2026
B	FINRA	Registered Options Principal	Approved	01/28/2026
B	FINRA	Securities Trader	Approved	01/28/2026
B	FINRA	Securities Trader Principal	Approved	01/28/2026
B	Illinois	Agent	Approved	05/15/2026
B	Indiana	Agent	Approved	04/28/2026

Branch Office Locations

9000 Keystone Crossing
7th Floor
Indianapolis, IN 46240

Qualifications

Employment 2 of 8

Firm Name: **PEAK BROKERAGE SERVICES, LLC**

Main Address: 1070 EAST INDIANTOWN ROAD
SUITE 208 - 210
JUPITER, FL 33477-9999

Firm ID#: 157045

	Regulator	Registration	Status	Date
B	FINRA	Corporate Securities Represent	Approved	11/14/2022
B	FINRA	Financial and Operations Principal	Approved	11/14/2022
B	FINRA	General Securities Principal	Approved	11/14/2022
B	FINRA	General Securities Representative	Approved	11/14/2022
B	FINRA	Operations Professional	Approved	11/14/2022
B	FINRA	Registered Options Principal	Approved	11/14/2022
B	FINRA	Securities Trader	Approved	11/14/2022
B	FINRA	Securities Trader Principal	Approved	11/14/2022
B	Alabama	Agent	Approved	01/28/2026
B	Alaska	Agent	Approved	02/02/2026
B	Arizona	Agent	Approved	02/02/2026
B	Arkansas	Agent	Approved	01/27/2026
B	California	Agent	Approved	01/21/2026
B	Colorado	Agent	Approved	01/23/2026
B	Connecticut	Agent	Approved	01/21/2026

Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	01/21/2026
B	District of Columbia	Agent	Approved	01/21/2026
B	Florida	Agent	Approved	02/11/2026
B	Georgia	Agent	Approved	12/18/2025
B	Hawaii	Agent	Approved	03/10/2026
B	Idaho	Agent	Approved	01/21/2026
B	Illinois	Agent	Approved	01/23/2026
B	Indiana	Agent	Approved	12/23/2025
B	Iowa	Agent	Approved	01/21/2026
B	Kansas	Agent	Approved	01/21/2026
B	Kentucky	Agent	Approved	01/22/2026
B	Louisiana	Agent	Approved	01/22/2026
B	Maine	Agent	Approved	01/21/2026
B	Maryland	Agent	Approved	01/26/2026
B	Massachusetts	Agent	Approved	01/23/2026
B	Michigan	Agent	Approved	12/26/2025
B	Mississippi	Agent	Approved	01/29/2026
B	Missouri	Agent	Approved	01/21/2026
B	Montana	Agent	Approved	01/30/2026

Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	01/21/2026
B	Nevada	Agent	Approved	01/21/2026
B	New Hampshire	Agent	Approved	01/21/2026
B	New Jersey	Agent	Approved	01/21/2026
B	New Mexico	Agent	Approved	01/23/2026
B	North Carolina	Agent	Approved	01/22/2026
B	North Dakota	Agent	Approved	01/26/2026
B	Ohio	Agent	Approved	01/21/2026
B	Oklahoma	Agent	Approved	01/21/2026
B	Oregon	Agent	Approved	01/30/2026
B	Pennsylvania	Agent	Approved	01/23/2026
B	Rhode Island	Agent	Approved	01/28/2026
B	South Carolina	Agent	Approved	02/04/2026
B	South Dakota	Agent	Approved	01/21/2026
B	Tennessee	Agent	Approved	01/22/2026
B	Texas	Agent	Approved	01/22/2026
B	Utah	Agent	Approved	01/21/2026
B	Vermont	Agent	Approved	01/21/2026
B	Virginia	Agent	Approved	01/22/2026

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	12/23/2025
B	West Virginia	Agent	Approved	01/23/2026
B	Wisconsin	Agent	Approved	01/22/2026
B	Wyoming	Agent	Approved	01/28/2026

Employment 3 of 8

Firm Name: **TRUEDGE ASSET MANAGEMENT LLC**

Main Address: 9000 KEYSTONE CROSSING
7TH FLOOR
INDIANAPOLIS, IN 46240

Firm ID#: 323442

	Regulator	Registration	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	11/06/2024

Branch Office Locations

TRUEDGE ASSET MANAGEMENT LLC
9000 KEYSTONE CROSSING
7TH FLOOR
INDIANAPOLIS, IN 46240

Employment 4 of 8

Firm Name: **BLACKRIDGE ASSET MANAGEMENT, LLC**

Main Address: 1070 E. INDIANTOWN ROAD
SUITE 208-210
JUPITER, FL 33477

Firm ID#: 277085

Qualifications

	Regulator	Registration	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	09/26/2024

Branch Office Locations

BLACKRIDGE ASSET MANAGEMENT, LLC
300 E. Main Street
Carmel, IN 46032

Employment 5 of 8

Firm Name: **THURSTON, SPRINGER, MILLER, HERD & TITAK, INC.**

Main Address: 9000 KEYSTONE CROSSING
SUITE 700
INDIANAPOLIS, IN 46240-2142

Firm ID#: 8478

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	02/12/2021
B	FINRA	Operations Professional	Approved	02/12/2021
B	FINRA	Corporate Securities Represent	Approved	12/21/2021
B	FINRA	General Securities Principal	Approved	12/21/2021
B	FINRA	General Securities Representative	Approved	12/21/2021
B	FINRA	Registered Options Principal	Approved	12/21/2021
B	FINRA	Securities Trader	Approved	12/21/2021
B	FINRA	Securities Trader Principal	Approved	12/21/2021
B	Michigan	Agent	Approved	07/29/2024

Branch Office Locations

THURSTON SPRINGER FINANCIAL
9000 KEYSTONE CROSSING
SUITE 700
INDIANAPOLIS, IN 46240

THURSTON SPRINGER FINANCIAL
1070 E. Indiantown Rd
Suite 208
Jupiter, FL 33409

Qualifications

Employment 6 of 8

Firm Name: **J. D. SEIBERT & COMPANY, INC.**
Main Address: 20 WEST 9TH STREET
CINCINNATI, OH 45202-2024
Firm ID#: 7884

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Inactive - Prints	05/24/2024

Branch Office Locations

20 WEST 9TH STREET
CINCINNATI, OH 45202-2024

Employment 7 of 8

Firm Name: **THURSTON SPRINGER ADVISORS**
Main Address: 9000 KEYSTONE CROSSING
SEVENTH FLOOR
INDIANAPOLIS, IN 46240
Firm ID#: 299201

	Regulator	Registration	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	03/08/2022

Branch Office Locations

THURSTON SPRINGER ADVISORS
9000 KEYSTONE CROSSING
SEVENTH FLOOR
INDIANAPOLIS, IN 46240

Employment 8 of 8

Firm Name: **MORRIS GROUP, INC.**
Main Address: 8445 KEYSTONE XING
SUITE 240
INDIANAPOLIS, IN 46240
Firm ID#: 13181

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/19/2020

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

8445 KEYSTONE XING
SUITE 240
INDIANAPOLIS, IN 46240

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, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	10/26/2006
B	General Securities Principal Examination (S24)	Series 24	12/15/2003
B	Financial and Operations Principal Examination (S27)	Series 27	12/17/2001

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Corporate Securities Limited Representative Examination (S62)	Series 62	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/28/1999

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/27/1999

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	03/30/2024 - 04/29/2026	PACIFIC GATE ADVISORS, LLC	CRD# 16589	BRENTWOOD, TN
IA	07/16/2025 - 03/30/2026	LIG CAPITAL MANAGEMENT, LLC	CRD# 130489	indianapolis, IN
B	07/07/2022 - 12/31/2025	BLUE DIAMOND SECURITIES OF AMERICA LLC	CRD# 158821	New York, NY
B	12/08/2025 - 12/16/2025	QUINCY WELLS CAPITAL, LLC	CRD# 334163	CHICAGO, IL
B	04/26/2022 - 07/29/2024	IGM BROKERAGE	CRD# 310654	Carmel, IN
B	09/23/2020 - 07/17/2024	GREAT POINT CAPITAL LLC	CRD# 114203	Carmel, IN
IA	01/23/2020 - 05/22/2023	PROTEUS, LLC	CRD# 164085	INDIANAPOLIS, IN
IA	08/11/2015 - 08/29/2019	SANCTUARY ADVISORS, LLC	CRD# 226606	CHICAGO, IL
B	08/29/2014 - 08/27/2019	DAVID A. NOYES & COMPANY	CRD# 205	INDIANAPOLIS, IN
B	01/11/2018 - 11/30/2018	SIMPLEX TRADING, LLC	CRD# 153585	CHICAGO, IL
B	07/16/2013 - 01/10/2017	RII TRADING, LLC	CRD# 165761	CHICAGO, IL
IA	08/29/2014 - 08/11/2015	DAVID A. NOYES & COMPANY	CRD# 205	INDIANAPOLIS, IN
B	09/05/2013 - 04/28/2014	LICCAR SECURITIES & CUSTODIAL SERVICES, LLC	CRD# 151034	CHICAGO, IL
IA	04/17/2013 - 03/26/2014	PHARUS CAPITAL MANAGEMENT	CRD# 165730	SAN FRANCISCO, CA
B	02/18/2013 - 10/02/2013	RCI LIMITED PARTNERSHIP	CRD# 35724	CHICAGO, IL
IA	01/06/2009 - 12/20/2012	HIGHTOWER ADVISORS, LLC	CRD# 145323	CHICAGO, IL

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	01/06/2009 - 12/20/2012	HIGHTOWER SECURITIES, LLC	CRD# 116681	SAN FRANCISCO, CA
B	04/17/2007 - 11/18/2008	ADVANCED EQUITIES, INC.	CRD# 35545	CHICAGO, IL
IA	04/17/2007 - 11/18/2008	ADVANCED EQUITIES, INC.	CRD# 35545	CHICAGO, IL
B	12/17/2007 - 03/20/2008	UNITED FIDUCIARY SECURITIES, LLC	CRD# 116681	CHICAGO, IL
IA	08/12/2005 - 04/02/2007	USF ALTERNATIVE SERVICES, LLC	CRD# 135613	SUGAR LAND, TX
B	05/20/2005 - 04/02/2007	USF SECURITIES, L.P.	CRD# 37942	CHICAGO, IL
IA	05/18/2005 - 04/02/2007	USF ADVISORS, LLC	CRD# 130569	SUGAR LAND, TX
IA	05/13/2005 - 04/02/2007	USF SERVICES, LLC	CRD# 114894	SUGAR LAND, TX
IA	07/08/2005 - 02/08/2007	SCOTT STREET CAPITAL, LLC	CRD# 132048	CHICAGO, IL
IA	07/08/2005 - 12/31/2006	SCOTT STREET CAPITAL, LLC	CRD# 132048	CHICAGO, IL
B	07/01/2004 - 05/27/2005	HOWE BARNES INVESTMENTS, INC.	CRD# 2240	CHICAGO, IL
B	09/18/2003 - 06/30/2004	CAPITAL RESOURCE FINANCIAL SERVICES, L.L.C.	CRD# 44054	DARIEN, CT
B	04/08/2003 - 09/05/2003	BNY BROKERAGE INC.	CRD# 35693	NEW YORK, NY
B	01/01/2002 - 04/25/2003	CAPITAL RESOURCE FINANCIAL SERVICES, L.L.C.	CRD# 44054	DARIEN, CT
B	01/02/2000 - 02/02/2000	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

Registration & Employment History

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
01/2026 - Present	Quincy Wells Capital	FINOP	Y	Chicago, IL, United States
11/2022 - Present	Blackridge Asset Management, LLC	Owner/CFO	Y	Jupiter, FL, United States
11/2022 - Present	Peak Brokerage Services, LLC	Owner/CFO	Y	Jupiter, FL, United States
04/2022 - Present	T.S. Phillips Investments Inc.	Indirect Owner through Financial Holding Services LLC	Y	Oklahoma City, OK, United States
02/2021 - Present	THURSTON SPRINGER FINANCIAL	FINOP, PFO, POO	Y	INDIANAPOLIS, IN, United States
10/2020 - Present	Morris Group, Inc.	FINOP	Y	Indianapolis, IN, United States
10/2019 - Present	Proteus, LLC	COO	Y	Indianapolis, IN, United States
08/2019 - Present	Bristal Lane Group	Founder, Managing Partner	N	Carmel, IN, United States
10/2020 - 07/2024	Great Point Capital, LLC	CCO/FINOP/SROP	Y	Chicago, IL, United States
08/2015 - 08/2019	NOYES ADVISORS LLC	Mass Transfer	Y	CHICAGO, IL, United States
08/2014 - 08/2019	DAVID A. NOYES & CO.	CHIEF OPERATING OFFICER, CHIEF COMPLIANCE OFFICER	Y	CHICAGO, IL, United States
01/2018 - 12/2018	Simplex Trading, LLC	FINOP COnsultant	Y	CHICAGO, IL, United States
01/2013 - 12/2017	PLATINUM FINANCIAL	PARTNER	Y	CHICAGO, IL, United States
01/2013 - 10/2016	RII TRADING	SUPERVISOR	Y	NORTHFIELD, IL, 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) Financial Services Holding, LLC., President, Partner, President, and Board member. Hours spent during trading hours, five

Registration & Employment History

OTHER BUSINESS ACTIVITIES

hours monthly.
2)Bristal Lane Group, Non-Investment Related, Carmel, IN, Consulting to firms in the financial services industry & tax and accounting, 40 hours a week. 08/2019 - Present. Roster of firms serviced may change and is reflected in current registrations listed on CRD.
3) Adept Investments, LLC, Real Estate Venture not investment related. 5 hours a month not during trading hours. Partner
4) TruEdge Advisors LLC Investment Advisor to real estate fund, Owner. Approx 3 hours during trading hours a month; approx 3 hours outside normal trading hours a month
5) Building Materials Logistics; Partner; Accounting and Finance duties, Non Invest Related; 1 hour during trading hours a month; compensation is percentage of profit

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:	DAVID A. NOYES & COMPANY
Termination Type:	Voluntary Resignation
Termination Date:	08/01/2019
Allegations:	Allegations are concerning the failure to supervise in connection with the firm's annual testing and verification requirements under relevant rules.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	David A. Noyes & Company
Termination Type:	Voluntary Resignation
Termination Date:	08/01/2019
Allegations:	Allegations are concerning the failure to supervise in connection with the firm's annual testing and verification requirements under relevant rules.
Product Type:	No Product
Broker Statement	I was unaware of any such accusation of failure to supervise until I received my U-5. This accusation appears to be related to an internal review from 2016, with my resignation occurring in 8/2019. FINRA undertook a review of this DRP with no findings.

End of Report

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