# IAPD Report

## RYAN SHANE CARLSON

CRD# 4209072

# 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

User Guidance

www.adviserinfo.sec.gov

# Report Summary

## RYAN SHANE CARLSON (CRD# 4209072)

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 **11/19/2024**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | AMERICAN INDEPENDENT SECURITIES GROUP, LLC | CRD# 135288 | 08/18/2005 |
| IA | AMERICAN INDEPENDENT SECURITIES GROUP, LLC | CRD# 135288 | 10/18/2005 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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 | SAMCO FINANCIAL SERVICES, INC. | 30108 | PHOENIX, AZ | 03/04/2005 - 12/31/2005 |
| IA | TD WATERHOUSE INVESTOR SERVICES, INC. | 7870 | BOISE, ID | 04/28/2003 - 11/10/2004 |
| B | TD WATERHOUSE INVESTOR SERVICES, INC. | 7870 | OMAHA, NE | 06/04/2002 - 11/10/2004 |

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

### Employment 1 of 1

Firm Name: **AMERICAN INDEPENDENT SECURITIES GROUP, LLC**

Main Address: 664 S RIVERSHORE LANE STE 150
EAGLE, ID 83616

Firm ID#: 135288

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Principal | Approved | 08/18/2005 |
| B | FINRA | General Securities Representative | Approved | 08/18/2005 |
| B | FINRA | Introducing BD/Finan Operation Principal | Approved | 07/11/2006 |
| B | FINRA | Operations Professional | Approved | 10/26/2012 |
| B | FINRA | Compliance Officer | Approved | 10/01/2018 |
| B | Alabama | Agent | Approved | 05/13/2014 |
| B | Alaska | Agent | Approved | 11/06/2014 |
| B | Arizona | Agent | Approved | 04/08/2008 |
| IA | Arizona | Investment Adviser Representative | Approved | 08/19/2009 |
| B | Arkansas | Agent | Approved | 06/28/2006 |
| IA | California | Investment Adviser Representative | Approved | 02/14/2006 |
| B | California | Agent | Approved | 08/04/2009 |
| B | Colorado | Agent | Approved | 08/04/2009 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Colorado | Investment Adviser Representative | Approved | 08/06/2009 |
| B | Connecticut | Agent | Approved | 11/02/2010 |
| B | Florida | Agent | Approved | 03/02/2010 |
| IA | Florida | Investment Adviser Representative | Approved | 03/04/2010 |
| B | Georgia | Agent | Approved | 03/02/2010 |
| IA | Georgia | Investment Adviser Representative | Approved | 03/03/2010 |
| B | Hawaii | Agent | Approved | 04/11/2008 |
| B | Idaho | Agent | Approved | 08/19/2005 |
| IA | Idaho | Investment Adviser Representative | Approved | 10/18/2005 |
| B | Illinois | Agent | Approved | 08/04/2009 |
| B | Indiana | Agent | Approved | 03/29/2006 |
| IA | Indiana | Investment Adviser Representative | Approved | 08/06/2009 |
| B | Iowa | Agent | Approved | 08/04/2009 |
| B | Kansas | Agent | Approved | 09/04/2018 |
| B | Louisiana | Agent | Approved | 09/13/2013 |
| B | Michigan | Agent | Approved | 03/02/2010 |
| B | Minnesota | Agent | Approved | 03/02/2010 |
| B | Mississippi | Agent | Approved | 04/01/2009 |
| B | Missouri | Agent | Approved | 08/04/2009 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Montana | Investment Adviser Representative | Approved | 11/21/2005 |
| B | Montana | Agent | Approved | 08/04/2009 |
| B | Nevada | Agent | Approved | 08/04/2009 |
| IA | Nevada | Investment Adviser Representative | Approved | 08/06/2009 |
| B | New Hampshire | Agent | Approved | 10/26/2020 |
| B | New Mexico | Agent | Approved | 03/02/2010 |
| IA | New Mexico | Investment Adviser Representative | Approved | 03/02/2010 |
| B | New York | Agent | Approved | 04/17/2017 |
| B | North Carolina | Agent | Approved | 03/03/2010 |
| B | North Dakota | Agent | Approved | 05/01/2019 |
| B | Ohio | Agent | Approved | 10/17/2006 |
| IA | Ohio | Investment Adviser Representative | Approved | 10/17/2006 |
| IA | Oregon | Investment Adviser Representative | Approved | 10/24/2005 |
| B | Oregon | Agent | Approved | 08/04/2009 |
| B | Pennsylvania | Agent | Approved | 03/22/2012 |
| B | South Dakota | Agent | Approved | 12/08/2015 |
| B | Texas | Agent | Approved | 03/02/2010 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 03/08/2010 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Utah | Agent | Approved | 03/02/2010 |
| IA | Utah | Investment Adviser Representative | Approved | 03/04/2010 |
| IA | Washington | Investment Adviser Representative | Approved | 12/19/2005 |
| B | Washington | Agent | Approved | 04/08/2008 |
| B | Wisconsin | Agent | Approved | 01/04/2012 |

### Branch Office Locations

**AMERICAN INDEPENDENT SECURITIES GROUP, LLC**
664 S RIVERSHORE LANE
SUITE 150
EAGLE, ID 83616

**AMERICAN INDEPENDENT SECURITIES GROUP, LLC**
664 S Rivershore LN
Suite 150
EAGLE, ID 83616

**AMERICAN INDEPENDENT SECURITIES GROUP, LLC**
Meridian, ID

# 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 | Compliance Officer Examination (S14) | Series 14 | 01/02/2023 |
| B | Introducing Broker/Dealer Financial Operations Principal Examination (S28) | Series 28 | 07/10/2006 |
| B | General Securities Principal Examination (S24) | Series 24 | 04/08/2005 |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Operations Professional Examination (S99TO) | Series 99TO | 01/02/2023 |
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | Futures Managed Funds Examination (S31) | Series 31 | 08/17/2000 |
| B | General Securities Representative Examination (S7) | Series 7 | 08/03/2000 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 08/26/2000 |
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 08/23/2000 |

 

## 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 |
|---|---|---|---|---|
| B | 03/04/2005 - 12/31/2005 | SAMCO FINANCIAL SERVICES, INC. | CRD# 30108 | PHOENIX, AZ |
| IA | 04/28/2003 - 11/10/2004 | TD WATERHOUSE INVESTOR SERVICES, INC. | CRD# 7870 | BOISE, ID |
| B | 06/04/2002 - 11/10/2004 | TD WATERHOUSE INVESTOR SERVICES, INC. | CRD# 7870 | OMAHA, NE |
| IA | 10/31/2000 - 05/29/2002 | MORGAN STANLEY | CRD# 7556 | BOISE, ID |
| B | 08/04/2000 - 05/28/2002 | MORGAN STANLEY DW INC. | CRD# 7556 | PURCHASE, 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 |
|---|---|---|---|---|
| 12/2004 - Present | AMERICAN INDEPENDENT SECURITIES GROUP, LLC | PRINCIPAL | Y | EAGLE, ID, 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.

AGENT ON AISGS HEALTH POLICY, PAID BY COMMISSION. SPEND 1 HR MONTHLY. 11/2/2009-CURRENT.

 

# 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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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:** | FINRA |
| **Sanction(s) Sought:** | |
| **Date Initiated:** | 03/29/2021 |
| **Docket/Case Number:** | 2018060267902 |
| **Employing firm when activity occurred which led to the regulatory action:** | American Independent Securities Group, LLC |
| **Product Type:** | Other: CMOs |
| **Allegations:** | Without admitting or denying the findings, Carlson consented to the sanctions and to the entry of findings that he failed to establish, maintain, and enforce a supervisory system, including WSPs, reasonably designed to achieve compliance with applicable rules relating to sales of collateralized mortgage obligations (CMOs). The findings stated that Carlson did not establish any procedures related to CMO transactions or the suitability of CMO recommendations. There was no reasonable process to evaluate and determine whether inverse floaters were appropriate for a given customer or to assess the size of the CMO investment that would be suitable. There was also no guidance addressing to whom CMOs could be offered, the extent to which a customer's account could be concentrated in inverse floaters or any other CMO tranche, or the percentage of a customer's net worth that could be invested in CMOs. The findings also stated that Carlson failed to take reasonable action to ensure a firm general securities principal properly executed delegated responsibilities and failed to respond to red flags. Carlson delegated to the principal the responsibility for supervising a registered representative and therefore was responsible for taking reasonable action to ensure the principal properly executed that responsibility. Carlson should have |

 

| | |
|---|---|
| | been concerned about the representative's recommendations and the principal's supervision of them and should have acted on those concerns. Carlson was aware of red flags indicating that the representative's recommendations were unsuitable. Carlson further knew that the principal supervised the representative's CMO activity even though he had no specialized training relating to CMOs and inverse floaters and had no prior experience supervising sales of the product. Carlson also was aware that the representative's transactions repeatedly were setting off alerts in the firm's trade review system. Nonetheless, Carlson did not follow up on these red flags and took no action to address the obvious suitability issues or ensure that the supervisory responsibilities he had delegated to the principal were reasonably exercised. The findings also included that Carlson failed to reasonably supervise discretionary and senior accounts. The firm's procedures assigned to Carlson responsibility for ensuring that the firm considered an individual's investment objectives, experience, and account size before opening a discretionary account and then documented its rationale, order tickets noted whether discretion was exercised, discretionary accounts were reviewed semi-annually to ensure recommendations were suitable and accounts were not unduly concentrated, and principals of the firm spoke with each discretionary account client annually to determine his or her level of satisfaction and documented the conversations. The procedures also assigned to Carlson responsibility for ensuring that the firm conducted an annual review of senior accounts that focused on transactions that lacked liquidity or cases where investors had utilized retirement savings to invest in high risk investments. These procedures for discretionary and senior accounts, had they been enforced, would have highlighted the suitability red flags raised by the registered representative's recommendations. However, the procedures were ignored. The firm did not document its rationale for opening any discretionary account, order tickets failed to note whether discretion was exercised, firm principals did not speak with discretionary account clients, and nobody conducted the mandated reviews of discretionary and senior accounts. |
| **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:** | 03/29/2021 |
| **Sanctions Ordered:** | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension<br>Undertaking<br>Other: Carlson will attend and satisfactorily complete 20 hours of continuing education concerning supervisory responsibilities by a provider not unacceptable to FINRA. |
| **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?**

**Sanction 1 of 1**

| | |
|---|---|
| **Sanction Type:** | Suspension |
| **Capacities Affected:** | any principal capacity |
| **Duration:** | 60 days |
| **Start Date:** | 04/19/2021 |

 

| | |
|---|---|
| **End Date:** | 06/17/2021 |
| **Monetary Sanction 1 of 1** | |
| **Monetary Related Sanction:** | Civil and Administrative Penalty(ies)/Fine(s) |
| **Total Amount:** | $10,000.00 |
| **Portion Levied against individual:** | $10,000.00 |
| **Payment Plan:** | |
| **Is Payment Plan Current:** | |
| **Date Paid by individual:** | 04/05/2021 |
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |

---

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | FINRA |
| **Sanction(s) Sought:** | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension<br>Undertaking |
| **Date Initiated:** | 03/29/2021 |
| **Docket/Case Number:** | 2018060267902 |
| **Employing firm when activity occurred which led to the regulatory action:** | American Independent Securities Group, LLC |
| **Product Type:** | Debt-Asset Backed |
| **Allegations:** | Without admitting or denying the findings, Carlson consented to the sanctions and to the entry of findings that he failed to establish, maintain, and enforce a supervisory system, including WSPs, reasonably designed to achieve compliance with applicable rules relating to sales of collateralized mortgage obligations (CMOs). The findings stated that Carlson did not establish any procedures related to CMO transactions or the suitability of CMO recommendations. There was no reasonable process to evaluate and determine whether inverse floaters were appropriate for a given customer or to assess the size of the CMO investment that would be suitable. There was also no guidance addressing to whom CMOs could be offered, the extent to which a customer's account could be concentrated in inverse floaters or any other CMO tranche, or the percentage of a customer's net worth that could be invested in CMOs. The findings also stated that Carlson failed to take reasonable action to ensure a firm general securities principal properly executed delegated responsibilities and failed to respond to red flags. Carlson delegated to the principal the responsibility for supervising a registered representative and therefore was responsible for taking reasonable action to ensure the principal properly executed that responsibility. Carlson should have been concerned about the representative's recommendations and the principal's supervision of them and should have acted on those concerns. Carlson was aware of red flags indicating that the representative's recommendations were unsuitable. Carlson further knew that the principal supervised the representative's CMO |

 

| | |
|---|---|
| | activity even though he had no specialized training relating to CMOs and inverse floaters and had no prior experience supervising sales of the product. Carlson also was aware that the representative's transactions repeatedly were setting off alerts in the firm's trade review system. Nonetheless, Carlson did not follow up on these red flags and took no action to address the obvious suitability issues or ensure that the supervisory responsibilities he had delegated to the principal were reasonably exercised. The findings also included that Carlson failed to reasonably supervise discretionary and senior accounts. The firm's procedures assigned to Carlson responsibility for ensuring that the firm considered an individual's investment objectives, experience, and account size before opening a discretionary account and then documented its rationale, order tickets noted whether discretion was exercised, discretionary accounts were reviewed semi-annually to ensure recommendations were suitable and accounts were not unduly concentrated, and principals of the firm spoke with each discretionary account client annually to determine his or her level of satisfaction and documented the conversations. The procedures also assigned to Carlson responsibility for ensuring that the firm conducted an annual review of senior accounts that focused on transactions that lacked liquidity or cases where investors had utilized retirement savings to invest in high risk investments. These procedures for discretionary and senior accounts, had they been enforced, would have highlighted the suitability red flags raised by the registered representative's recommendations. However, the procedures were ignored. The firm did not document its rationale for opening any discretionary account, order tickets failed to note whether discretion was exercised, firm principals did not speak with discretionary account clients, and nobody conducted the mandated reviews of discretionary and senior accounts |
| **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:** | 03/29/2021 |
| **Sanctions Ordered:** | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension<br>Undertaking |
| **Sanction 1 of 1** | |
| **Sanction Type:** | Suspension |
| **Capacities Affected:** | All Principal Activities |
| **Duration:** | 60 days |
| **Start Date:** | 04/19/2021 |
| **End Date:** | 06/17/2021 |
| **Monetary Sanction 1 of 1** | |
| **Monetary Related Sanction:** | Monetary Penalty other than Fines |
| **Total Amount:** | $10,000.00 |
| **Portion Levied against individual:** | $10,000.00 |
| **Payment Plan:** | |

| | |
|---|---|
| **Is Payment Plan Current:** | Yes |
| **Date Paid by individual:** | 04/05/2021 |
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |

## End of Report

This page is intentionally left blank.