



IAPD Report

ALTIN TIRANA

CRD# 4837498

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ALTIN TIRANA (CRD# 4837498)

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 **12/16/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/10/2020
IA	GLADSTONE WEALTH PARTNERS	CRD# 250787	11/04/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MORGAN STANLEY	149777	NEW YORK, NY	05/20/2020 - 08/07/2020
B	MORGAN STANLEY	149777	NEW YORK, NY	06/01/2009 - 08/07/2020
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	09/16/2004 - 06/01/2009

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	3
Customer Dispute	1
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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	09/10/2020
	Arizona	Agent	Approved	09/21/2020
	California	Agent	Approved	09/10/2020
	Connecticut	Agent	Approved	09/10/2020
	Florida	Agent	Approved	10/19/2020
	Georgia	Agent	Approved	09/11/2020
	Illinois	Agent	Approved	02/23/2021
	Kansas	Agent	Approved	09/17/2020
	Maryland	Agent	Approved	06/11/2024
	New Jersey	Agent	Approved	10/22/2020
	New York	Agent	Approved	09/12/2020
	North Carolina	Agent	Approved	09/11/2020
	Pennsylvania	Agent	Approved	11/16/2020



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	09/19/2020
B	Vermont	Agent	Approved	10/14/2020
B	Virginia	Agent	Approved	10/21/2020

Branch Office Locations

LPL FINANCIAL LLC

2975 WESTCHESTER AVE, STE 204
PURCHASE, NY 10577

Employment 2 of 2

Firm Name: **GLADSTONE WEALTH PARTNERS**
Main Address: 2000 PGA BLVD.
SUITE 4440
PALM BEACH GARDENS, FL 33408
Firm ID#: 250787

	Regulator	Registration	Status	Date
IA	Delaware	Investment Adviser Representative	Approved	01/07/2021
IA	New Jersey	Investment Adviser Representative	Approved	11/04/2020
IA	New York	Investment Adviser Representative	Approved	03/23/2021

Branch Office Locations

GLADSTONE WEALTH PARTNERS

2975 Westchester Ave
Suite 204
PURCHASE, NY 10577



Qualifications



PASSED INDUSTRY EXAMS

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

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	11/24/2009
B General Securities Representative Examination (S7)	Series 7	09/15/2004

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/01/2004



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	05/20/2020 - 08/07/2020	MORGAN STANLEY	CRD# 149777	NEW YORK, NY
B	06/01/2009 - 08/07/2020	MORGAN STANLEY	CRD# 149777	NEW YORK, NY
B	09/16/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2020 - Present	GLADSTONE WEALTH PARTNERS	INVESTMENT ADVISER REPRESENTATIVE	Y	Purchase, NY, United States
09/2020 - Present	LPL Financial, LLC	Registered Representative	Y	Purchase, NY, United States
06/2009 - 09/2020	MORGAN STANLEY SMITH BARNEY	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2015 - 07/2020	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2009 - 07/2020	MORGAN STANLEY	Senior Vice President	Y	NEW YORK, 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.

- 9/8/2020 - Gladstone Wealth Group - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 08/28/2020 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100%.
- 10/22/2020 - Gladstone Institutional Advisory, LLC - DBA: (Hybrid) Gladstone Wealth Group - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start 08/28/2020 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through Gladstone Wealth Group, LLC, an independent investment advisor firm. I started this business activity in 10/2020. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
- 10/12/2021 - Altin Tirana LLC - Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only -



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Managing Partner - Started 09/21/2021 - 4 Hours Per Month/0 Hours During Securities 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	3
Customer Dispute	1
Termination	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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	New Jersey Department of Banking and Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	02/07/2024
Docket/Case Number:	1032287
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC
Product Type:	No Product
Allegations:	Representative failed to notify the commissioner of both a FINRA AWC order relating to the falsification of the representative code for trades in his member firm's order entry system for receiving a higher percentage of commissions than he was entitled to receive and a Consent Order by the Maryland Securities Commissioner related to the FINRA action within thirty (30) days of the final disposition as required under N.J.S.A. 17:22A-40a(19).
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:

02/07/2024

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:

\$7,500.00

Portion Levied against individual:

\$7,500.00

Payment Plan:

N/A

Is Payment Plan Current:

Date Paid by individual:

02/07/2024

Was any portion of penalty waived?

No

Amount Waived:

Disclosure 2 of 3

Reporting Source:

Regulator

Regulatory Action Initiated By:

Maryland

Sanction(s) Sought:

Censure

Date Initiated:

03/30/2023

Docket/Case Number:

20230059

URL for Regulatory Action:

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

LPL Financial, LLC

Product Type:

No Product

Allegations:

Tirana's was suspended after he entered into an AWC with FINRA without admitting or denying the findings he violated the Securities Act. He was suspended by FINRA in all capacities for a period of 3 months and agreed to pay a fine in the amount of \$5,000.

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:	03/30/2023
Sanctions Ordered:	Censure
Regulator Statement	Order to Show Cause and Order of Summary Suspension issued on 2/20/2023 is now vacated and the registration withdrawn. Tirana agrees to not apply or reapply as a broker-dealer, agent, investment adviser or investment adviser representative for a period of one year from the date of this Order.

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Reporting Source:	Individual
Regulatory Action Initiated By:	MARYLAND
Sanction(s) Sought:	Censure
Date Initiated:	03/30/2023
Docket/Case Number:	20230059
Employing firm when activity occurred which led to the regulatory action:	LPL FINANCIAL, LLC.
Product Type:	No Product
Allegations:	Tirana's was suspended after he entered into an AWC with FINRA without admitting or denying the findings the violated the Securities Act. He was suspended by FINRA in all capacities for a period of 3 months and agreed to pay a fine in the amount of \$5,000.
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:	03/20/2023
Sanctions Ordered:	Censure
Broker Statement	Order to Show Cause and Order of Summary Suspension issued on 2/20/2023 is now vacated and the registration withdrawn. Tirana agrees to not apply or reapply as a broker-dealer, agent, investment adviser or investment adviser representative for a period of one year from the date of this Order.

Disclosure 3 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA

**Sanction(s) Sought:****Date Initiated:** 01/23/2023**Docket/Case Number:** [2020067608101](#)**Employing firm when activity occurred which led to the regulatory action:** Morgan Stanley**Product Type:** Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Tirana consented to the sanctions and to the entry of findings that he falsified the representative code for trades in his member firm's order entry system, causing the firm's trade confirmations to show an inaccurate representative code and as a result, he caused the firm to maintain inaccurate books and records. The findings stated that Tirana entered into an agreement through which he agreed to service certain customer accounts, including executing trades for those accounts, under a joint representative code that he shared with a retired representative. Although the firm's system correctly prepopulated the trades with the joint representative code, Tirana entered the transactions under his personal representative code through which he received a higher percentage of commissions than what he was entitled to receive pursuant to the agreement. Tirana mistakenly believed the representative had agreed that he could change the representative code so that Tirana would receive higher percentages of commissions in order to increase compensation he paid to support staff servicing the customer accounts subject to the agreement. However, Tirana negligently failed to verify whether the representative had agreed that he could change the representative code in this manner. The firm paid restitution of approximately \$24,000 to the representative, which is the approximate amount of additional commissions Tirana received as a result of changing the representative code on the trades.

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:** 01/23/2023**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** 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:	All Capacities
Duration:	three months
Start Date:	02/21/2023



End Date: 05/20/2023

Monetary Sanction 1 of 1

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

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 02/07/2023

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 01/23/2023

Docket/Case Number: [2020067608101](#)

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

Product Type: Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Tirana consented to the sanctions and to the entry of findings that he falsified the representative code for trades in his member firm's order entry system, causing the firm's trade confirmations to show an inaccurate representative code and as a result, he caused the firm to maintain inaccurate books and records. The findings stated that Tirana entered into an agreement through which he agreed to service certain customer accounts, including executing trades for those accounts, under a joint representative code that he shared with a retired representative. Although the firm's system correctly prepopulated the trades with the joint representative code, Tirana entered the transactions under his personal representative code through which he received a higher percentage of commissions than what he was entitled to receive pursuant to the agreement. Tirana mistakenly believed the representative had agreed that he could change the representative code so that Tirana would receive higher percentages of commissions in order to increase compensation he paid to support staff servicing the customer accounts subject to the agreement. However, Tirana negligently failed to verify whether the representative had agreed that he could change the representative code in this manner. The firm paid restitution of approximately \$24,000 to the representative, which is the approximate amount of additional commissions Tirana received as a result of changing the representative code on the trades

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:	01/23/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Principal, Financial Operations Principal, All Capacities, etc.
Duration:	three months
Start Date:	02/21/2023
End Date:	05/20/2023
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Claimant alleges, inter alia, unsuitability with respect to investments - 2012 until 2018
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	18-01795
Filing date of arbitration/CFTC reparation or civil litigation:	05/09/2018

Customer Complaint Information

Date Complaint Received:	05/10/2018
Complaint Pending?	No
Status:	Settled
Status Date:	06/05/2019
Settlement Amount:	\$61,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	This matter was settled for business reasons in order to avoid the cost and uncertainty of litigation. The Financial Advisor did not contribute to the settlement and vehemently denies any allegations of wrongdoing.



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: MSWM
Termination Type: Voluntary Resignation
Termination Date: 07/10/2020
Allegations: Allegations that the representative acted inconsistently with the terms of a retired representative agreement by submitting some transactions under his own production number.
Product Type: No Product

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Reporting Source: Individual
Firm Name: MSWM
Termination Type: Voluntary Resignation
Termination Date: 07/10/2020
Allegations: Allegations that the representative acted inconsistently with the terms of a retired representative agreement by submitting some transactions under his own production number.
Product Type: No Product



End of Report

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