



IAPD Report

THEODORE RICHARD AUGUSTYNIAK

CRD# 5082577

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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

THEODORE RICHARD AUGUSTYNIAK (CRD# 5082577)

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 **04/22/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|--|-------------|------------------|
| IA | CREATIVE RESOURCES INVESTMENT ADVISORS LLC | CRD# 110484 | 04/02/2015 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **6** 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 | NEWPORT COAST ASSET MANAGEMENT, INC. | 170311 | CHICAGO, IL | 10/28/2014 - 03/29/2016 |
| IA | NEWPORT COAST ASSET MANAGEMENT | 16944 | CHICAGO, IL | 09/03/2013 - 03/29/2016 |
| B | LEGEND SECURITIES, INC. | 44952 | NEW YORK, NY | 03/10/2015 - 03/03/2016 |

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

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

| Type | Count |
|------------------|-------|
| Regulatory Event | 2 |



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **6** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CREATIVE RESOURCES INVESTMENT ADVISORS LLC**
Main Address: #1003 4000 CHAPEL VIEW BLVD
SUITE 300
CRANSTON, RI 02920
Firm ID#: 110484

| | Regulator | Registration | Status | Date |
|----|---------------|-----------------------------------|---------------------|------------|
| IA | Florida | Investment Adviser Representative | Approved | 02/12/2019 |
| IA | Illinois | Investment Adviser Representative | Approved | 05/19/2015 |
| IA | Massachusetts | Investment Adviser Representative | Approved | 04/29/2019 |
| IA | New Hampshire | Investment Adviser Representative | Approved | 04/04/2019 |
| IA | Rhode Island | Investment Adviser Representative | Approved | 01/29/2019 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 04/02/2015 |

Branch Office Locations

CREATIVE RESOURCES INVESTMENT ADVISORS LLC
18W 140 Butterfield Road
SUITE 1500
Oakbrook Terrace, IL 60181



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams


| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams


| Exam | Category | Date |
|------|----------|------|
|------|----------|------|


| | | |
|--|-----|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 03/03/2016 |
|--|-----|------------|

| | | |
|--|----------|------------|
|  General Securities Representative Examination (S7) | Series 7 | 04/17/2006 |
|--|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 12/29/2007 |
|--|-----------|------------|

| | | |
|--|-----------|------------|
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 05/05/2006 |
|--|-----------|------------|

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 | 10/28/2014 - 03/29/2016 | NEWPORT COAST ASSET MANAGEMENT, INC. | CRD# 170311 | CHICAGO, IL |
| IA | 09/03/2013 - 03/29/2016 | NEWPORT COAST ASSET MANAGEMENT | CRD# 16944 | CHICAGO, IL |
| B | 03/10/2015 - 03/03/2016 | LEGEND SECURITIES, INC. | CRD# 44952 | NEW YORK, NY |
| B | 08/30/2013 - 02/17/2015 | NEWPORT COAST SECURITIES, INC. | CRD# 16944 | CHICAGO, IL |
| IA | 04/25/2012 - 09/30/2013 | ARISTON WEALTH MANAGEMENT, L.P. | CRD# 158220 | NEW YORK, NY |
| B | 12/02/2011 - 09/30/2013 | MEYERS ASSOCIATES, L.P. | CRD# 34171 | CHICAGO, IL |
| IA | 12/05/2011 - 04/24/2012 | ARISTON WEALTH MANAGEMENT, LP | CRD# 158220 | CHICAGO, IL |
| B | 07/19/2010 - 12/01/2011 | ANDERSON & STRUDWICK, INCORPORATED | CRD# 48 | CHICAGO, IL |
| IA | 07/19/2010 - 12/01/2011 | ANDERSON & STRUDWICK, INCORPORATED | CRD# 48 | CHICAGO, IL |
| IA | 04/05/2010 - 07/08/2010 | JESUP & LAMONT ADVISORS | CRD# 108006 | CHICAGO, IL |
| B | 07/09/2009 - 07/08/2010 | JESUP & LAMONT SECURITIES CORP | CRD# 39056 | CHICAGO, IL |
| IA | 07/09/2009 - 07/08/2010 | JESUP & LAMONT SECURITIES CORP. | CRD# 39056 | CHICAGO, IL |
| IA | 10/25/2007 - 10/06/2009 | INTEROCEAN WEALTH MANAGEMENT LLC | CRD# 140456 | CHICAGO, IL |
| B | 05/18/2009 - 06/26/2009 | BREWER FINANCIAL SERVICES, LLC | CRD# 132558 | CHICAGO, IL |
| IA | 05/18/2009 - 06/26/2009 | BREWER INVESTMENT ADVISERS, LLC | CRD# 134631 | CHICAGO, IL |
| B | 08/20/2007 - 04/28/2009 | INTEROCEAN SECURITIES LLC | CRD# 141077 | 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 04/18/2006 - 09/17/2007 | NATIONAL SECURITIES CORPORATION | CRD# 7569 | OAKBROOK TERRACE, |

EMPLOYMENT HISTORY

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

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|-------------------|--|---------------------------|--------------------|-----------------------------|
| 07/2024 - Present | Creative Resources Broker Services, LLC | Managing Member | Y | Cranston, RI, United States |
| 05/2017 - Present | Advance Legend Funding | Consultant | Y | New York, NY, United States |
| 04/2017 - Present | Augustyniak Insurance Agency, Inc. | Owner and Insurance Agent | Y | Westmont, IL, United States |
| 03/2015 - Present | CREATIVE RESOURCE INVESTMENT ADVISORS, LLC | FINANCIAL ADVISOR | Y | WARWICK, RI, 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.

Farmers Insurance Group, through Augustyniak Insurance Agency, Inc. (as of 4/1/17), Westmont, IL, investment related, start date 12/2016, insurance agent, 140 hrs/month, selling life, health, long-term care, home, and auto insurance.

Legend Advance Funding, New York, NY, Investment Related, Start Date May 2017; Consultant for merchant funding; 2 hours/month.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

| Type | Count |
|------------------|-------|
| Regulatory Event | 2 |

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

| | |
|--|--|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | UNITED STATES SECURITIES AND EXCHANGE COMMISSION |
| Sanction(s) Sought: | Other: N/A |
| Date Initiated: | 08/17/2015 |
| Docket/Case Number: | 3-16758 |

Employing firm when activity occurred which led to the regulatory action: ARISTON WEALTH MANAGEMENT, L.P.

Product Type: No Product

Allegations: SEC IA RELEASE 4175/AUGUST 17, 2015: THE SECURITIES AND EXCHANGE COMMISSION (COMMISSION) DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTION 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940 (ADVISERS ACT) AGAINST THEODORE R. AUGUSTYNIAK. THIS PROCEEDING ARISES OUT OF A SIGNIFICANT OVERSTATEMENT OF ASSETS UNDER MANAGEMENT (AUM) BY AN INVESTMENT ADVISER FORMERLY REGISTERED WITH THE COMMISSION. THE INVESTMENT ADVISER MISSTATED IN FILINGS WITH THE COMMISSION THAT IT HAD \$190 MILLION IN AUM IN MARCH 2012 WHEN IT HAD LESS THAN \$80 MILLION IN AUM. AUGUSTYNIAK SERVED AS A VICE PRESIDENT OF THE INVESTMENT ADVISER WITH CERTAIN OPERATIONAL RESPONSIBILITIES DURING THIS TIME PERIOD AND WAS A CAUSE OF THE INVESTMENT ADVISER'S VIOLATION. AUGUSTYNIAK KNEW OR SHOULD HAVE KNOWN THAT THE MANNER IN WHICH HE OBTAINED, PROVIDED, AND REVIEWED THE INFORMATION PERTAINING TO THE INVESTMENT ADVISER'S AUM WOULD CONTRIBUTE TO THE INVESTMENT ADVISER



FILING MATERIALLY FALSE INFORMATION IN SUCH REPORT WITH THE COMMISSION. AS A RESULT OF THE CONDUCT DESCRIBED ABOVE, THE INVESTMENT ADVISER VIOLATED SECTION 207 OF THE ADVISERS ACT BY WILLFULLY MAKING MATERIAL MISSTATEMENTS OF ITS AUM IN REQUIRED FORMS ADV FILED WITH THE COMMISSION AND AUGUSTYNYIAK WAS A CAUSE OF ITS VIOLATIONS.

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: 08/17/2015

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

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: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, AUGUSTYNIAC HAS SUBMITTED AN OFFER OF SETTLEMENT WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. SOLELY FOR THE PURPOSE OF THESE PROCEEDINGS AND ANY OTHER PROCEEDINGS BROUGHT BY OR ON BEHALF OF THE COMMISSION, OR TO WHICH THE COMMISSION IS A PARTY, AND WITHOUT ADMITTING OR DENYING THE FINDINGS HEREIN, EXCEPT AS TO THE COMMISSION'S JURISDICTION OVER HIM AND THE



SUBJECT MATTER OF THESE PROCEEDINGS, WHICH ARE ADMITTED, AUGUSTYNIAK CONSENTS TO THE ENTRY OF THIS ORDER INSTITUTING CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTION 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940, MAKING FINDINGS, AND IMPOSING A CEASE-AND-DESIST ORDER. IN VIEW OF THE FOREGOING, THE COMMISSION DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST TO IMPOSE THE SANCTIONS AGREED TO IN AUGUSTYNIAK'S OFFER. ACCORDINGLY, PURSUANT TO SECTION 203(K) OF THE ADVISERS ACT, IT IS HEREBY ORDERED THAT: AUGUSTYNIAK SHALL CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTION 207 OF THE ADVISERS ACT. AUGUSTYNIAK SHALL PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$10,000. AUGUSTYNIAK SHALL COMPLY WITH THE UNDERTAKINGS ENUMERATED IN THE ORDER.

Reporting Source: Individual

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

Date Initiated: 12/04/2014

Docket/Case Number: 3-16758

Employing firm when activity occurred which led to the regulatory action: ARISTON WEALTH MANAGEMENT, L.P.

Product Type: No Product

Allegations: Order states that Mr. Augustyniak, as the Vice President of the investment adviser, Ariston Wealth Management, L.P., was a cause of the adviser's violations of section 207 of the Advisers Act of 1940. The order states that the investment adviser misstated in its Form ADV filed that it had \$190 million in AUM in March 2012, when it had less than \$80 million. Pursuant to an Offer of Settlement, Mr. Augustyniak consented to the issuance of the Order without admitting or denying the Commission's findings.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 08/17/2015

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

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: | Four installments of \$2,500 within 14, 120, 240, & 360 days of order entry |
| Is Payment Plan Current: | Yes |
| Date Paid by individual: | |
| Was any portion of penalty waived? | No |
| Amount Waived: | |

Disclosure 2 of 2

| | |
|---|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | FINRA |
| Sanction(s) Sought: | Suspension |
| Date Initiated: | 06/30/2009 |
| Docket/Case Number: | 08-00351 |
| Employing firm when activity occurred which led to the regulatory action: | N/A |
| Product Type: | No Product |
| Allegations: | RESPONDENT THEODORE AUGUSTYNIK FAILED TO PAY ARBITRATION FEES ASSESSED IN FINRA ARBITRATION CASE NO. 08-00351 |
| Current Status: | Final |
| Resolution: | LETTER |
| 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: | 11/12/2009 |
| Sanctions Ordered: | 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: | N/A |
| Start Date: | 11/12/2009 |



End Date: 11/18/2009

Regulator Statement PURSUANT TO FINRA RULE 9553, AUGUSTYNIAK'S REGISTRATION WITH FINRA IS SUSPENDED NOVEMBER 12, 2009 FOR FAILURE TO PAY ARBITRATION FEES.

SUSPENSION LIFTED NOVEMBER 18, 2009.

Reporting Source: Individual

Regulatory Action Initiated FINRA

By:

Sanction(s) Sought: Suspension

Date Initiated: 06/30/2009

Docket/Case Number: 08-00351

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

Product Type: No Product

Allegations: FAILURE TO PAY ARBITRATION FEES ASSESSED IN FINRA ARB 08-00351

Current Status: Final

Resolution: LETTER

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: 11/12/2009

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 7 DAYS

Start Date: 11/12/2009

End Date: 11/18/2009



End of Report

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