



IAPD Report

JONATHAN DALE STEIN

CRD# 722335

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Please contact FINRA with any concerns.



IAPD Information About Representatives

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

What is included in a IAPD report?

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

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

Where did this information come from?

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

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

How current is this information?

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

Need help interpreting this report?

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

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

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

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

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



Report Summary

JONATHAN DALE STEIN (CRD# 722335)

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 **04/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	11/27/2024
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	11/28/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	PROSPERA FINANCIAL SERVICES, INC.	10740	DALLAS, TX	03/04/2005 - 11/25/2024
B	PROSPERA FINANCIAL SERVICES, INC.	10740	DALLAS, TX	09/16/1987 - 11/25/2024
B	TEXAS SECURITIES, INC.	7655	DALLAS, TX	09/03/1985 - 09/24/1987

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

Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 42046

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/27/2024
B	FINRA	General Securities Representative	Approved	11/27/2024
B	FINRA	Investment Banking Principal	Approved	11/27/2024
B	FINRA	Investment Banking Representative	Approved	11/27/2024
B	FINRA	Municipal Securities Principal	Approved	11/27/2024
B	FINRA	Municipal Securities Representative	Approved	11/27/2024
B	FINRA	Operations Professional	Approved	11/27/2024
B	FINRA	Registered Options Principal	Approved	11/27/2024
B	Arizona	Agent	Approved	11/27/2024
B	Arkansas	Agent	Approved	11/27/2024
B	California	Agent	Approved	12/02/2024
B	New York	Agent	Approved	11/27/2024
B	Oklahoma	Agent	Approved	12/02/2024



Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	11/27/2024
B	Texas	Agent	Approved	11/28/2024
B	Washington	Agent	Approved	12/02/2024

Branch Office Locations

NFP ADVISOR SERVICES, LLC
Lucas, TX

NFP ADVISOR SERVICES, LLC
2512 Horne St
Suite 200
Fort Worth, TX 76107

Employment 2 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 283330

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	11/28/2024

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
Lucas, TX

KESTRA ADVISORY SERVICES, LLC
2512 Horne St
Suite 200
Fort Worth, TX 76107



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
	General Securities Principal Examination (S24)	Series 24	01/02/2023
	Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
	Registered Options Principal Examination (S4)	Series 4	01/02/2023

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/17/1981

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/23/1981



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
IA	03/04/2005 - 11/25/2024	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	DALLAS, TX
B	09/16/1987 - 11/25/2024	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	DALLAS, TX
B	09/03/1985 - 09/24/1987	TEXAS SECURITIES, INC.	CRD# 7655	
B	11/29/1983 - 09/06/1985	TEXAS INDEPENDENT SECURITIES, INC.	CRD# 13667	
B	01/31/1983 - 10/05/1983	SOUTHWEST SECURITIES, INC.	CRD# 6220	
B	10/07/1982 - 02/16/1983	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	01/19/1981 - 08/20/1982	INSTITUTIONAL EQUITY CORPORATION	CRD# 4035	

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
11/2024 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	Fort Worth, TX, United States
11/2024 - Present	Kestra Investment Services LLC	Registered Representative	Y	Fort Worth, TX, United States
04/2000 - 11/2024	PROSPERA FINANCIAL SERVICES, INC.	REGISTERED REP	Y	DALLAS, TX, 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.

Name: KESTRA ADVISORY SERVICES POSITION: IAR NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 11/12/2024 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735, United States DESCRIPTION: IAR

Name: KESTRA ADVISORY SERVICES POSITION: IAR NATURE: Investment advisory services through Kestra Advisory Services, LLC INVESTMENT RELATED: Yes # OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE:



Registration & Employment History



OTHER BUSINESS ACTIVITIES

11/12/2024 ADDRESS: 5707 Southwest Parkway, Building 2, Suite 400, Austin TX 78735, United States DESCRIPTION: IAR

Name: OPTIMA WEALTH MANAGEMENT, INC. POSITION: FINANCIAL ADVISOR NATURE: Insurance INVESTMENT RELATED: Yes # OF HOURS: 160 SECURITIES TRADING HOURS: 32 START DATE: 11/12/2024 ADDRESS: 2601 NETWORK BLVD., SUITE 430, FRISCO TX 75034, United States DESCRIPTION: PROVIDE FINANCIAL ADVICE TO CLIENTS USING COMMISSIONED AND FEE BASED ACCOUNTS.

Name: RENTOVATORS LTD. POSITION: LIMITED PARTNER NATURE: Real Estate INVESTMENT RELATED: Yes # OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/01/1975 ADDRESS: 2730 WOLF CREEK DR, LUCAS TX 75002, United States DESCRIPTION: I keep the books and participate with my partner in the ongoing decisions needed to run the properties.

Name: SYMONDS WEALTH MANAGEMENT POSITION: N/A NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 128 START DATE: 04/07/2026 ADDRESS: 2512 Horne Street, Fort Worth TX 76107, United States DESCRIPTION: N/A



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:	Suspension
Other Sanction(s) Sought:	A CIVIL PENALTY
Date Initiated:	09/26/2000
Docket/Case Number:	REL 34-43352; FILE #3-10306
Employing firm when activity occurred which led to the regulatory action:	PROSPERA FINANCIAL SERVICES, INC., F/K/A ADDISON SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Allegations:	REL. 34-43352; FILE #3-10306 DATED 09/26/00 - ON 09/26/2000, THE SEC INSTITUTED PUBLIC ADMINISTRATIVE AND CEASE AND DESIST PROCEEDINGS ("ORDER") AGAINST RESPONDENT JONATHAN D. STEIN ("STEIN") PURSUANT SECTIONS 15(B) AND 19(H) OF THE SECURITIES EXCHANGE ACT 1934 ("EXCHANGE ACT"). THIS MATTER ARISES FROM STEIN'S FAILURE REASONABLY TO SUPERVISE TWO REGISTERED REPRESENTATIVES WITH A VIEW TO PREVENTING VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT OF 1933 ("SECURITIES ACT"), AND SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER. THE SEC ALLEGED THAT STEIN FAILED REASONABLY TO SUPERVISE REGISTERED REPRESENTATIVES WHO HAD HISTORIES OF CUSTOMER COMPLAINTS PRIOR TO JOINING THE FIRM AND WHO MISAPPROPRIATED OVER A HALF MILLION DOLLARS IN CUSTOMER FUNDS FOR THEIR OWN USE WHILE AT THE FIRM; AND FAILED TO IMPLEMENT ADEQUATE



	INTERNAL PROCEDURES THAT MIGHT HAVE ALERTED STEIN AND THE FIRM TO THE CONDUCT OF THE REGISTERED REPRESENTATIVES.
Current Status:	Final
Resolution:	Order
Resolution Date:	09/26/2000
Sanctions Ordered:	Monetary/Fine \$10,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	(1) STEIN IS HEREBY SUSPENDED FROM ASSOCIATION WITH ANY BROKER OR DEALER IN ANY SUPERVISORY OR PROPRIETARY CAPACITY FOR A PERIOD OF SIX MONTHS; AND (2) STEIN SHALL, WITHIN 90 DAYS OF THE ISSUANCE OF THIS ORDER, PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$10,000 TO THE UNITED STATES TREASURY.
Regulator Statement	THE SEC INSTITUTED PUBLIC ADMINISTRATIVE AND CEASE AND DESIST PROCEEDINGS ("ORDER") AGAINST RESPONDENT JONATHAN D. STEIN PURSUANT TO SECTIONS 15(B) AND 19(H) OF THE SECURITIES EXCHANGE ACT 1934 ("EXCHANGE ACT"). IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, STEIN HAS SUBMITTED AN OFFER OF SETTLEMENT ("OFFER"), WHICH THE SEC HAS DETERMINED TO ACCEPT. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, STEIN CONSENTED TO THE ENTRY OF THE ORDER INSTITUTING PROCEEDINGS, MAKING FINDINGS AND IMPOSING REMEDIAL SANCTIONS. THE SEC ALLEGED THAT RESPONDENT FAILED REASONABLY TO SUPERVISE REGISTERED REPRESENTATIVES. RESPONDENT STEIN IS HEREBY SUSPENDED FROM ASSOCIATION WITH ANY BROKER OR DEALER IN ANY SUPERVISORY OR PROPRIETARY CAPACITY FOR A PERIOD OF SIX MONTHS AND ORDERED TO PAY A CIVIL PENALTY. (REL. 34-43352; FILE #3-10306)
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	\$10,000 FINE PAID TO THE US TREASURY.
Date Initiated:	03/05/2000
Docket/Case Number:	REL 34-43352 FILE #3-10304
Employing firm when activity occurred which led to the regulatory action:	PROSPERA FINANCIAL SERVICES, INC. (F/K/A ADDISON SECURITIES, INC.)
Product Type:	No Product
Other Product Type(s):	
Allegations:	+10/11/2000+ SEC NEWS DIGEST ISSUE #2000-186, DATED 09/27/00, ENFORCEMENT PROCEEDINGS, AND ADMINISTRATIVE PROCEEDING RELEASE 34-43352, DATED 09/26/00, DISCLOSES: ON 09/26/2000, THE SEC INSTITUTED PUBLIC ADMINISTRATIVE AND CEASE AND DESIST PROCEEDINGS ("ORDER") AGAINST RESPONDENT JONATHAN D. STEIN ("STEIN") PURSUANT SECTIONS 15(B) AND 19(H) OF THE SECURITIES



EXCHANGE ACT 1934 ("EXCHANGE ACT"). THIS MATTER ARISES FROM STEIN'S FAILURE REASONABLY TO SUPERVISE TWO REGISTERED REPRESENTATIVES WITH A VIEW TO PREVENTING VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT OF 1933 ("SECURITIES ACT"), AND SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER. THE SEC ALLEGED THAT STEIN FAILED REASONABLY TO SUPERVISE REGISTERED REPRESENTATIVES WHO HAD HISTORIES OF CUSTOMER COMPLAINTS PRIOR TO JOINING THE FIRM AND WHO MISAPPROPRIATED OVER A HALF MILLION DOLLARS IN CUSTOMER FUNDS FOR THEIR OWN USE WHILE AT THE FIRM; AND FAILED TO IMPLEMENT ADEQUATE INTERNAL PROCEDURES THAT MIGHT HAVE ALERTED STEIN AND THE FIRM TO THE CONDUCT OF THE REGISTERED REPRESENTATIVES.

Current Status: Final

Resolution: Settled

Resolution Date: 09/26/2000

Sanctions Ordered: Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: STEIN IS HEREBY SUSPENDED FROM ASSOCIATION WITH ANY BROKER OR DEALER IN ANY SUPERVISORY OR PROPRIETARY CAPACITY FOR A PERIOD OF SIX MONTHS. A \$10,000.00 FINE WAS ASSESSED AGAINST MR STEIN. NO PORTION WAS WAIVED. THE FINE WAS PAID 06/30/2000

Broker Statement THE SEC INSTITUTED PUBLIC ADMINISTRATIVE AND CEASE AND DESIST PROCEEDINGS ("ORDER") AGAINST RESPONDENT JONATHAN D. STEIN PURSUANT TO SECTIONS 15(B) AND 19(H) OF THE SECURITIES EXCHANGE ACT 1934 ("EXCHANGE ACT"). IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, STEIN HAS SUBMITTED AN OFFER OF SETTLEMENT ("OFFER"), WHICH THE SEC HAS DETERMINED TO ACCEPT. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, STEIN CONSENTED TO THE ENTRY OF THE ORDER INSTITUTING PROCEEDINGS, MAKING FINDINGS AND IMPOSING REMEDIAL SANCTIONS. THE SEC ALLEGED THAT RESPONDENT FAILED REASONABLY TO SUPERVISE REGISTERED REPRESENTATIVES. RESPONDENT STEIN IS HEREBY SUSPENDED FROM ASSOCIATION WITH ANY BROKER OR DEALER IN ANY SUPERVISORY OR PROPRIETARY CAPACITY FOR A PERIOD OF SIX MONTHS AND ORDERED TO PAY A CIVIL PENALTY. (REL. 34-43352; FILE #3-10306)

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/23/2000

Docket/Case Number: C05000007

Employing firm when activity occurred which led to the regulatory action: ADDISION SECURITIES, INC.



Product Type: No Product

Other Product Type(s):

Allegations: NASD RULES 1022, 2110, 2510, 3110, 3350, 3370, 6130 - A RESPONDENT MEMBER, ACTING THROUGH RESPONDENT STEIN, ALLOWED AN INDIVIDUAL TO ACTIVELY PARTICIPATE IN THE MANAGEMENT OF THE FIRM'S DAY-TRADING BUSINESS, WITHOUT HIS BEING REGISTERED AS A GENERAL SECURITIES PRINCIPAL.

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: 02/23/2000

Sanctions Ordered: Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, STEIN CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$2,500.

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Reporting Source: Individual

Regulatory Action Initiated By: NASD REGULATION, INC.

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 02/22/2000

Docket/Case Number: CASE NO. C05000007

Employing firm when activity occurred which led to the regulatory action: ADDISON SECURITIES, INC.

Product Type: Other

Other Product Type(s): DAY TRADING ACTIVITIES

Allegations: VIOLATIONS OF NASD CONDUCT RULE 2110 AND NASD MEMBERSHIP AND REGISTRATION RULE 1022(A).

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/23/2000

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:



Sanction Details:

MONETARY FINE IN THE AMOUNT OF \$2,500.00 AGAINST JONATHAN DALE STEIN.

Broker Statement

I HAVE SIGNED AN AGREEMENT WITH THE NASDR THAT NEITHER ADMITS NOR DENIES ANY OF THE ALLEGATIONS RELATED TO THIS AWC.



End of Report

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