BrokerCheck Report

SHARE FINANCIAL SERVICES, INC.

CRD# 11226

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
-

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

SHARE FINANCIAL SERVICES, INC.

CRD# 11226

SEC# 8-16207

Main Office Location

16475 NORTH DALLAS PARKWAY
SUITE 345
ADDISON, TX 75001
Regulated by FINRA Dallas Office

Mailing Address

16475 NORTH DALLAS PARKWAY
SUITE 345
ADDISON, TX 75001

Business Telephone Number

972-450-6305

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Texas on 09/10/1970.

Its fiscal year ends in September.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 38 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 2 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Texas on 09/10/1970.

Its fiscal year ends in September.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

SHARE FINANCIAL SERVICES, INC.

Doing business as SHARE FINANCIAL SERVICES, INC.

CRD# 11226

SEC# 8-16207

Main Office Location

16475 NORTH DALLAS PARKWAY
SUITE 345
ADDISON, TX 75001

Regulated by FINRA Dallas Office

Mailing Address

16475 NORTH DALLAS PARKWAY
SUITE 345
ADDISON, TX 75001

Business Telephone Number

972-450-6305

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Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	SHARE HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT COMPANY
Position Start Date	07/2000
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CROW, KRISTON RAY 3185759
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	08/2026
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TODD, JOE LEE 603859
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	08/2018

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Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TURNER, AARON DAVID 2139382
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	12/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	THE MAJOR REVOCABLE TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	SHARE HOLDINGS, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	08/2026
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MAJOR, TRACE CHARLTON 8347958
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	THE MAJOR REVOCABLE TRUST.
Relationship to Direct Owner	CO-TRUSTEE
Relationship Established	08/2026
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MILLER, KENDALL MEIGS 8347953

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Firm Profile

Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	THE MAJOR REVOCABLE TRUST.
Relationship to Direct Owner	CO-TRUSTEE
Relationship Established	08/2026
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 38 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	12/16/1970

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	08/25/1983

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/24/2024
Alaska	Approved	05/02/2024
Arizona	Approved	04/30/2024
Arkansas	Approved	07/01/2024
California	Approved	05/03/2024
Colorado	Approved	04/25/2024
Delaware	Approved	04/16/2024
Florida	Approved	05/03/2024
Georgia	Approved	04/05/2024
Idaho	Approved	05/08/2024
Illinois	Approved	07/17/2024
Indiana	Approved	07/17/2024
Iowa	Approved	07/25/2024
Kansas	Approved	04/18/2024
Kentucky	Approved	05/03/2024
Maryland	Approved	07/22/2024
Massachusetts	Approved	04/24/2024
Michigan	Approved	05/16/2024
Minnesota	Approved	06/25/2024
Mississippi	Approved	04/02/2024
Missouri	Approved	07/02/2024
Montana	Termination Requested	12/31/2023
Nebraska	Approved	05/07/2024
Nevada	Approved	04/29/2024
New Hampshire	Approved	06/19/2024
New Jersey	Approved	04/17/2024
New Mexico	Approved	05/03/2024
New York	Approved	04/15/2024
North Carolina	Approved	04/23/2024
Ohio	Approved	06/19/2025
Oklahoma	Approved	06/05/2024
Rhode Island	Approved	04/26/2024
South Carolina	Approved	04/25/2024
Tennessee	Approved	03/28/2024
Texas	Approved	03/11/2024
Virginia	Approved	06/01/2024
Washington	Approved	05/16/2024
Wisconsin	Approved	04/29/2025

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Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 2 types of businesses.

Types of Business

Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals)
Private placements of securities

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Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

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Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	THE FIRM WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT ACTING THROUGH ITS PRESIDENT AND CHIEF COMPLIANCE OFFICER (CCO), THE FIRM CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL IN WILLFUL VIOLATION OF SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT) AND RULE 15C3-1 THEREUNDER. THE COMPLAINT ALLEGES THAT THE FIRM, ACTING THROUGH ITS PRESIDENT AND CCO, HAD INACCURATE BOOKS AND RECORDS AND INACCURATE NET CAPITAL COMPUTATIONS. THE FIRM'S NET CAPITAL DEFICIENCIES AND CERTAIN ACCOUNTING ERRORS ALSO CAUSED THE FIRM TO MAINTAIN INACCURATE BOOKS AND RECORDS AND TO FILE AN INACCURATE FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE (FOCUS) REPORT WITH FINRA IN WILLFUL VIOLATIONS OF SECTION 17(A) OF THE EXCHANGE ACT AND RULES 17A-3(A)(2), 17A-3(A)(11) AND 17A-5 THEREUNDER. THE COMPLAINT ALSO ALLEGES THAT THE FIRM SENT COMMUNICATIONS TO THE PUBLIC THAT CONTAINED LANGUAGE THAT WAS OVERSIMPLIFIED, INCOMPLETE, FAILED TO PROVIDE A SOUND BASIS FOR EVALUATING THE FACTS WITH RESPECT TO THE PRODUCTS AND SERVICES BEING OFFERED, AND CONTAINED UNWARRANTED AND/OR MISLEADING STATEMENTS AND CLAIMS.
Initiated By:	FINRA
Date Initiated:	09/22/2014
Docket/Case Number:	2012030729402
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/16/2015
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine $20,000.00

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Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED AND FINED $20,000. 4/13/2015 FINE PAID IN FULL.
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT ACTING THROUGH ITS PRESIDENT AND CHIEF COMPLIANCE OFFICER (CCO), THE FIRM CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL. THE FINDINGS STATED THAT THE FIRM, ACTING THROUGH THE PRESIDENT AND CCO, HAD INACCURATE BOOKS AND RECORDS, INACCURATE NET CAPITAL COMPUTATIONS AND FILED AN INACCURATE FOCUS REPORT. THE OFFER OF SETTLEMENT CONTAINED NO WILLFUL FINDINGS. THE CHARGE ALLEGING MISLEADING COMMUNICATIONS WITH THE PUBLIC WAS DISMISSED.

Reporting Source:	Firm
Current Status:	Final
Allegations:	SHARE FINANCIAL AND CHARLES MAJOR WERE NAMED IN A FINRA COMPLAINT ALLEGING THAT SHARE FINANCIAL, ACTING THROUGH ITS PRESIDENT AND CHIEF COMPLIANCE OFFICER, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED NET CAPITAL, INACCURATE BOOKS AND RECORDS, INACCURATE NET CAPITAL COMPUTATION AND FOCUS REPORT AND COMMUNICATION WITH THE PUBLIC VIOLATIONS.
Initiated By:	FINRA
Date Initiated:	09/22/2014
Docket/Case Number:	2012030729402
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/16/2015
Sanctions Ordered:	Censure

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	Monetary/Fine $20,000.00
Other Sanctions Ordered:	THE FIRM'S PRESIDENT/CHIEF COMPLIANCE OFFICER WAS FINED $15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER FIRM IN ANY PRINCIPAL CAPACITY FOR 10 DAYS BEGINNING APRIL 20, 2015 AND ENDING MAY 1, 2015.
Sanction Details:	THE FIRM'S PRESIDENT/CHIEF COMPLIANCE OFFICER WAS FINED $15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER FIRM IN ANY PRINCIPAL CAPACITY FOR 10 DAYS BEGINNING APRIL 20, 2015 AND ENDING MAY 1, 2015.
Firm Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT ACTING THROUGH ITS PRESIDENT AND CHIEF COMPLIANCE OFFICER (CCO), THE FIRM CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL. THE OFFER OF SETTLEMENT CONTAINED NO WILLFUL FINDINGS. THE CHARGE ALLEGING MISLEADING COMMUNICATIONS WITH THE PUBLIC WAS DISMISSED.

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	SEC SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 15C3-1, SEC RULES 17A-3(A)(11) AND 17A-5(A)(2)(II), FINRA RULE 2010, NASD RULE 2110: THE FIRM, ACTING THROUGH A PRINCIPAL, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM CAPITAL OF $5,000. THE NET CAPITAL DEFICIENCIES RESULTED FROM THE FIRM'S MISCLASSIFICATION OF CONCESSION RECEIVABLES AS ALLOWABLE ASSETS, WHEN IN FACT THEY WERE NON-ALLOWABLE ASSETS FOR NET CAPITAL PURPOSES. THE FIRM, ACTING THROUGH THE PRINCIPAL, VIOLATED SECTION 15(C) OF THE EXCHANGE ACT AND RULES SEC RULES 17A-3(A)(11) AND 17A-5(A)(2)(II) THEREUNDER, IN THAT THE FIRM'S ORIGINAL NET CAPITAL COMPUTATIONS FOR SEVERAL ENDING PERIODS, ITS GENERAL LEDGER AND TRIAL BALANCES FOR SEVERAL ENDING PERIODS, AND ITS FOCUS REPORT FOR SEVERAL ENDING PERIODS, WERE ALL MATERIALLY INACCURATE FOR REASONS DESCRIBED ABOVE.
Initiated By:	FINRA
Date Initiated:	08/23/2011
Docket/Case Number:	2009016275301
Principal Product Type:	No Product

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Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/23/2011
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE THE FIRM IS FINED $5000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	SHARE FINANCIAL, ACTING THROUGH CHARLES MAJOR, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM CAPITAL OF $5,000. THE NET CAPITAL DEFICIENCIES RESULTED FROM THE FIRM'S MISCLASSIFICATION OF CONCESSION RECEIVABLES AS ALLOWABLE ASSETS, WHEN IN FACT THEY WERE NON-ALLOWABLE ASSETS FOR NET CAPITAL PURPOSES. THE FIRM, ACTING THROUGH MAJOR, ALSO HAD INACCURATE FINANCIAL BOOKS AND RECORDS DURING THE PERIOD OF THE NET CAPITAL VIOLATIONS.
Initiated By:	FINRA
Date Initiated:	08/23/2011
Docket/Case Number:	2009016275301
Principal Product Type:	No Product
Other Product Type(s):	

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Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/23/2011
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	FINE OF $5000.00
Sanction Details:	NA
Firm Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, SHARE FINANIAL AND CHARLES MAJOR CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THEY ARE FINED $5000.00

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	NASD CONDUCT RULE 2110 AND SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULES 15C3-1, 17A-3(A)(11), 17A-5(A)(2)(II) AND 17A-5(D)(5) THEREUNDER - RESPONDENT MEMBER, ACTING THROUGH EMPLOYEE, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM CAPITAL; VIOLATED SEC RULE 17A-3(A)(11) AND 17A-5(A)(2)(II) IN THAT ITS ORIGINAL NET CAPITAL COMPUTATIONS, ITS GENERAL LEDGER AND TRAIL BALANCES, AND ITS FOCUS REPORT WERE MATERIALLY INACCURATE; AND, FAILED TO TIMELY FILE ITS ANNUAL AUDIT.
Initiated By:	NASD
Date Initiated:	12/31/2003
Docket/Case Number:	C06030040
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	

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Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/31/2003
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT MEMBER CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS FINED $5,000, JOINTLY AND SEVERALLY.

Reporting Source:	Firm
Current Status:	Final
Allegations:	NASD CONDUCT RULE 2110 AND SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULES 15C3-1, 17A-3(A)(11), 17A-5(A)(2)(II) AND 17A-5(D)(5) THEREUNDER-RESPONDENT MEMBER, ACTING THROUGH EMPLOYEE, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL; VIOLATED SEC RULE 17A-3(A)(11) AND 17A-5(A)(2)(II) IN THAT ITS ORIGINAL NET CAPITAL COMPUTATIONS, ITS GENERAL LEDGER AND TRIAL BALANCES, AND ITS FOCUS REPORT WERE MATERIALLY INACCURATE; AND, FAILED TO TIMELY FILE ITS ANNUAL AUDIT.
Initiated By:	NASD
Date Initiated:	12/31/2003
Docket/Case Number:	C06030040
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)

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Resolution Date:	12/31/2003
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT MEMBER AND RESPONDENT MAJOR CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM AND MR. MAJOR ARE FINED $5,000, JOINTLY AND SEVERALLY.

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End of Report

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