

## BrokerCheck Report

### ACADEMY SECURITIES, INC.

CRD# 17433

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



ACADEMY SECURITIES, INC.

CRD# 17433

SEC# 8-35173

Main Office Location

622 3RD AVENUE  
12TH FLOOR  
NEW YORK, NY 10017  
Regulated by FINRA New York Office

Mailing Address

622 3RD AVENUE  
12TH FLOOR  
NEW YORK, NY 10017

Business Telephone Number

646-736-3995

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 Delaware on 11/07/1985.

Its fiscal year ends in December.

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 11 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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	1



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 11/07/1985.

Its fiscal year ends in December.

## 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.

**ACADEMY SECURITIES, INC.**

**Doing business as ACADEMY SECURITIES, INC.**

**CRD#** 17433

**SEC#** 8-35173

### Main Office Location

622 3RD AVENUE  
12TH FLOOR  
NEW YORK, NY 10017

**Regulated by FINRA New York Office**

### Mailing Address

622 3RD AVENUE  
12TH FLOOR  
NEW YORK, NY 10017

### Business Telephone Number

646-736-3995



## Firm Profile

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

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	MIMS, RONALD CHANCE 5637540
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHAIRMAN, CEO
<b>Position Start Date</b>	10/2009
<b>Percentage of Ownership</b>	50% but less than 75%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	GRAHAM, ANTHONY R 4959159
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	FINOP
<b>Position Start Date</b>	05/2013
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	GRAHAM, ANTHONY R 4959159
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	COO



## Firm Profile

### Direct Owners and Executive Officers (continued)

<b>Position Start Date</b>	01/2018
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	GRAHAM, ANTHONY R 4959159
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRINCIPAL OPERATIONS OFFICER
<b>Position Start Date</b>	11/2023
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	GRAHAM, ANTHONY R 4959159
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRINCIPAL FINANCIAL OFFICER
<b>Position Start Date</b>	11/2023
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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## Firm Profile



### Direct Owners and Executive Officers (continued)

**Legal Name & CRD# (if any):** MCCONKEY, PHILIP JOSEPH  
3253139

**Is this a domestic or foreign entity or an individual?** Individual

**Position** VICE CHAIRMAN

**Position Start Date** 04/2011

**Percentage of Ownership** 10% but less than 25%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** WILCOX, SPENCER HAMILTON  
5802885

**Is this a domestic or foreign entity or an individual?** Individual

**Position** PRESIDENT

**Position Start Date** 08/2015

**Percentage of Ownership** 10% but less than 25%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** BOYD, MICHAEL BARTOW  
2557814

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CHIEF COMPLIANCE OFFICER, MUNICIPAL SECURITIES  
PRINCIPAL, REGISTERED OPTIONS PRINCIPAL, AML OFFICER

**Position Start Date** 11/2012

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
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Does this owner direct the management or policies of the firm?	Yes
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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

No information reported.



## Firm History

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

No information reported.





## 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	03/05/1986

### SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	05/28/1986



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/31/2014
Arizona	Approved	06/28/2017
California	Approved	05/26/2010
Colorado	Approved	03/30/2012
Connecticut	Approved	10/06/2011
District of Columbia	Approved	10/31/2014
Florida	Approved	12/07/1990
Georgia	Approved	05/29/2014
Hawaii	Approved	02/16/2016
Idaho	Approved	04/15/2013
Illinois	Approved	04/29/2011
Indiana	Approved	04/17/2015
Iowa	Approved	06/15/2015
Kansas	Approved	09/17/2019
Kentucky	Approved	05/07/2021
Louisiana	Approved	05/21/2012
Maryland	Approved	05/03/2011
Massachusetts	Approved	04/08/2010
Michigan	Approved	04/24/2012
Minnesota	Approved	02/18/2016
Missouri	Approved	05/15/2013
Nevada	Approved	04/09/2020
New Jersey	Approved	06/10/2011
New Mexico	Approved	03/24/2016
New York	Approved	10/05/2009
North Carolina	Approved	06/24/2014
Ohio	Approved	04/23/2012
Oklahoma	Approved	10/09/2018
Oregon	Approved	05/20/2013
Pennsylvania	Approved	07/13/2011
Rhode Island	Approved	06/17/2014
South Carolina	Approved	06/13/2012
Tennessee	Approved	06/17/2020

U.S. States & Territories	Status	Date Effective
Texas	Approved	08/09/2013
Utah	Approved	03/13/2024
Virginia	Approved	08/29/2016
Washington	Approved	04/22/2013
Wisconsin	Approved	07/24/2012



## 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 11 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - SERVICES MAY INCLUDE PRIVATE PLACEMENTS OF EQUITY AND DEBT, AND VARIOUS ADVISORY SERVICES INCLUDING MERGERS AND ACQUISITIONS, RESTRUCTURING, AND STRATEGIC ADVISORY.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:



## 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 refer or introduce customers to other brokers and dealers.

**Name:** VIRTU AMERICAS LLC  
**CRD #:** 149823  
**Business Address:** 1633 BROADWAY  
41ST FLOOR  
NEW YORK, NY 10019  
**Effective Date:** 09/25/2025  
**Description:** VIRTU AMERICAS LLC CLEARS TRANSACTIONS FOR ACADEMY SECURITIES ON A FULLY DISCLOSED BASIS.

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**Name:** PERSHING LLC  
**CRD #:** 7560  
**Business Address:** ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399  
**Effective Date:** 08/28/2023  
**Description:** PERSHING CLEARS TRANSACTIONS FOR ACADEMY SECURITIES ON A FULLY DISCLOSED BASIS.

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**Name:** MIZUHO SECURITIES USA LLC  
**CRD #:** 19647  
**Business Address:** 311 SOUTH WACKER DRIVE  
SUITE 700  
CHICAGO, IL 60606  
**Effective Date:** 10/01/2020  
**Description:** ACADEMY SECURITIES CLEARS THROUGH MIZUHO ON A FULLY DISCLOSED BASIS.

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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.**



## 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, 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.**

**ACADEMY ASSET MANAGEMENT is under common control with the firm.**

<b>CRD #:</b>	319774
<b>Business Address:</b>	622 THIRD AVENUE, 12TH FLOOR NEW YORK, NY 10017
<b>Effective Date:</b>	05/20/2022
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	ACADEMY SECURITIES IS AFFILIATED WITH ACADEMY ASSET MANAGEMENT (319774) VIA COMMON CONTROL PERSON RONALD MIMS (5637540).

**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





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	1	0



## 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 1

**Reporting Source:** Regulator

**Current Status:** Final

**Allegations:**

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO FILE TIMELY AND ACCURATE QUARTERLY FORM G-37 REPORTS WITH THE MSRB. THE FINDINGS STATED THAT THE FIRM FILED THE FORM G-37 REPORTS BETWEEN ONE AND 645 DAYS LATE. THE FIRM ALSO FILED FORM G-37 REPORTS THAT OMITTED REQUIRED INFORMATION ABOUT THE MUNICIPAL ISSUERS WITH WHICH THE FIRM HAD DONE BUSINESS IN THE PRIOR QUARTER. SPECIFICALLY, THESE FORM G-37 REPORTS FAILED TO DISCLOSE MUNICIPAL UNDERWRITINGS FOR WHICH THE FIRM ACTED IN A MANAGERIAL CAPACITY, INCLUDING AS A SENIOR MANAGER, CO-SENIOR MANAGER, OR CO-MANAGER. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SUPERVISORY SYSTEM, INCLUDING WSPS, REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH MSRB RULE G-37 IN VIOLATION OF MSRB RULE G-27. THE FIRM FAILED TO SUPERVISE ITS MUNICIPAL SECURITIES ACTIVITIES WITH REGARD TO FILING ACCURATE AND TIMELY FORM G-37 REPORTS AND ITS WSPS FAILED TO INCLUDE PROCEDURES REGARDING THE PROCESS FOR IDENTIFYING AND COMPILING INFORMATION REQUIRED TO BE REPORTED ON THE FORM G-37. FOR EXAMPLE, THE WSPS FAILED TO ASSIGN ANYONE THE RESPONSIBILITY TO MAINTAIN A RECORD OF REPORTABLE INFORMATION, DID NOT IDENTIFY THE SOURCES FROM WHICH REPORTABLE INFORMATION SHOULD BE COLLECTED, AND DID NOT PROVIDE FOR A REVIEW OF THE FORM G-37 REPORTS TO ENSURE THE ACCURACY OF THEIR CONTENT. IN PRACTICE, TO MAKE REQUIRED DISCLOSURES CONCERNING THE FIRM'S MUNICIPAL SECURITIES BUSINESS ON FORM G-37 REPORTS, THE FIRM'S COMPLIANCE DEPARTMENT RELIED ON A SPREADSHEET OF MUNICIPAL UNDERWRITINGS PREPARED BY THE FIRM'S MUNICIPAL UNDERWRITING DEPARTMENT. HOWEVER, THE SPREADSHEET AT TIMES OMITTED CERTAIN UNDERWRITINGS REQUIRED TO BE REPORTED UNDER MSRB RULE G-37, AND THE FIRM FAILED TO CONDUCT A REASONABLE REVIEW OF THE SPREADSHEET'S CONTENT FOR COMPLETENESS BEFORE THE INFORMATION WAS USED TO PREPARE THE FORM G-37 REPORT.

**Initiated By:** FINRA

**Date Initiated:** 01/29/2024

**Docket/Case Number:** [2021069276801](#)

**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:**



### Other Sanction(s)/Relief Sought:

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 01/29/2024

**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 \$30,000.00

### Other Sanctions Ordered:

**Sanction Details:** THE FIRM WAS CENSURED AND FINED \$30,000. FINE PAID IN FULL ON FEBRUARY 16, 2024.

**Reporting Source:** Firm

**Current Status:** Final

**Allegations:** WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO FILE TIMELY AND ACCURATE QUARTERLY FORM G-37 REPORTS WITH THE MSRB. THE FINDINGS STATED THAT THE FIRM FILED THE FORM G-37 REPORTS BETWEEN ONE AND 645 DAYS LATE. THE FIRM ALSO FILED FORM G-37 REPORTS THAT OMITTED REQUIRED INFORMATION ABOUT THE MUNICIPAL ISSUERS WITH WHICH THE FIRM HAD DONE BUSINESS IN THE PRIOR QUARTER. SPECIFICALLY, THESE FORM G-37 REPORTS FAILED TO DISCLOSE MUNICIPAL UNDERWRITINGS FOR WHICH THE FIRM ACTED IN A MANAGERIAL CAPACITY, INCLUDING AS A SENIOR MANAGER, CO-SENIOR MANAGER, OR CO-MANAGER. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SUPERVISORY SYSTEM, INCLUDING WSPS, REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH MSRB RULE G-37 IN VIOLATION OF MSRB RULE G-27. THE FIRM FAILED TO SUPERVISE ITS MUNICIPAL SECURITIES ACTIVITIES WITH REGARD TO FILING ACCURATE AND TIMELY FORM G-37 REPORTS AND ITS WSPS FAILED TO INCLUDE PROCEDURES REGARDING THE PROCESS FOR IDENTIFYING AND COMPILING INFORMATION REQUIRED TO BE REPORTED ON THE FORM G-37. FOR EXAMPLE, THE WSPS FAILED TO ASSIGN ANYONE THE RESPONSIBILITY TO MAINTAIN A RECORD OF REPORTABLE INFORMATION, DID NOT IDENTIFY THE SOURCES FROM WHICH REPORTABLE INFORMATION SHOULD BE



COLLECTED, AND DID NOT PROVIDE FOR A REVIEW OF THE FORM G-37 REPORTS TO ENSURE THE ACCURACY OF THEIR CONTENT. IN PRACTICE, TO MAKE REQUIRED DISCLOSURES CONCERNING THE FIRM'S MUNICIPAL SECURITIES BUSINESS ON FORM G-37 REPORTS, THE FIRM'S COMPLIANCE DEPARTMENT RELIED ON A SPREADSHEET OF MUNICIPAL UNDERWRITINGS PREPARED BY THE FIRM'S MUNICIPAL UNDERWRITING DEPARTMENT. HOWEVER, THE SPREADSHEET AT TIMES OMITTED CERTAIN UNDERWRITINGS REQUIRED TO BE REPORTED UNDER MSRB RULE G-37, AND THE FIRM FAILED TO CONDUCT A REASONABLE REVIEW OF THE SPREADSHEET'S CONTENT FOR COMPLETENESS BEFORE THE INFORMATION WAS USED TO PREPARE THE FORM G-37 REPORT.

**Initiated By:** FINRA

**Date Initiated:** 01/29/2024

**Docket/Case Number:** [2021069276801](#)

**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:**

**Other Sanction(s)/Relief Sought:**

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 01/29/2024

**Sanctions Ordered:** Censure  
Monetary/Fine \$30,000.00

**Other Sanctions Ordered:**

**Sanction Details:** THE FIRM WAS CENSURED AND FINED \$30,000.

**End of Report**



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