BrokerCheck Report

GIRARD INVESTMENT SERVICES, LLC

CRD# 1834

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.
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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.

GIRARD INVESTMENT SERVICES, LLC

CRD# 1834

SEC# 8-14145

Main Office Location

41 WEST BROAD STREET
SOUDERTON, PA 18964
Regulated by FINRA Philadelphia Office

Mailing Address

41 WEST BROAD STREET
SOUDERTON, PA 18964

Business Telephone Number

215-721-2112

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

https://www.adviserinfo.sec.gov

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 limited liability company.

This firm was formed in Pennsylvania on 01/01/2019.

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
- 15 U.S. states and territories

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

This firm conducts 6 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	2

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Pennsylvania on 01/01/2019.

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.

GIRARD INVESTMENT SERVICES, LLC

Doing business as GIRARD INVESTMENT SERVICES, LLC

CRD# 1834

SEC# 8-14145

Main Office Location

41 WEST BROAD STREET
SOUDERTON, PA 18964

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Mailing Address

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SOUDERTON, PA 18964

Business Telephone Number

215-721-2112

Other Names of this Firm

Name	Where is it used
GIRARD	PA

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):	UNIVEST BANK AND TRUST CO.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	HOLDING COMPANY
Position Start Date	01/1999
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):	COLON, LISA MARIE 2392261
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATIONS OFFICER
Position Start Date	10/2018
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):	GEIBEL, DAVID WARREN 2645082
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	04/2020

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?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HELLINGS, THOMAS EDWIN 2128581
Is this a domestic or foreign entity or an individual?	Individual
Position	SVP, CHIEF COMPLIANCE OFFICER
Position Start Date	09/2014
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):	JOHNSON, DARREN GLEN 4102844
Is this a domestic or foreign entity or an individual?	Individual
Position	VP, FINANCIAL OFFICER
Position Start Date	04/2001
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):	VANSANT, WILLIAM FRANCIS III

Firm Profile

Direct Owners and Executive Officers (continued)

	4511525
Is this a domestic or foreign entity or an individual?	Individual
Position	SVP, MANAGING DIRECTOR
Position Start Date	01/2005
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

Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	UNIVEST FINANCIAL CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	UNIVEST BANK AND TRUST CO.
Relationship to Direct Owner	PARENT
Relationship Established	01/1999
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

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 15 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/27/1968

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	10/22/1968

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Connecticut	Approved	03/12/2007
Delaware	Approved	10/06/1981
Florida	Approved	02/27/2002
Illinois	Approved	01/12/2007
Indiana	Approved	08/30/2023
Maryland	Approved	06/07/2005
Massachusetts	Approved	09/07/2006
New Jersey	Approved	07/12/1983
New York	Approved	05/29/2007
North Carolina	Approved	07/16/2013
Ohio	Approved	06/02/2023
Pennsylvania	Approved	10/08/1968
South Carolina	Approved	06/09/2010
Texas	Approved	11/07/2006
Virginia	Approved	08/18/2006

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 6 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does engage in other non-securities business.

Non-Securities Business Description:	GIRARD INVESTMENT SERVICES, LLC. IS LICENSED TO SELL INSURANCE AND ENGAGES IN THE SALE OF LIFE INSURANCE AND FIXED ANNUITIES.

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:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	01/01/1980
Description:	FULLY DISCLOSED CLEARING BASIS

Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name:	GLOBAL RELAY COMMUNICATIONS, INC
Business Address:	220 CAMBIE STREET SUITE 200 VANCOUVER, CANADA V6B2M9
Effective Date:	06/24/2011
Description:	EMAIL ARCHIVING SERVICES

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	01/01/1980
Description:	FULLY DISCLOSED CLEARING BASIS

This firm does have accounts, funds, or securities maintained by a third party.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	01/01/1980
Description:	FULLY DISCLOSED CLEARING BASIS

This firm does have customer accounts, funds, or securities maintained by a third party.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	01/01/1980
Description:	FULLY DISCLOSED CLEARING BASIS

Control Persons/Financing

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

Firm Operations

Industry Arrangements (continued)

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.

GIRARD ADVISORY SERVICES, LLC is under common control with the firm.

CRD #:	39163
Business Address:	555 CROTON ROAD SUITE 210 KING OF PRUSSIA, PA 19406
Effective Date:	01/01/2019
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	GIRARD ADVISORY SERVICES LLC, A REGISTERED INVESTMENT ADVISOR, AND GIRARD INVESTMENT SERVICES, LLC. ARE SUBSIDIARIES OF UNIVEST BANK AND TRUST CO. UNIVEST BANK IS A DIRECT SUBSIDIARY OF UNIVEST FINANCIAL CORPORATION, THE BANK HOLDING PARENT COMPANY. ADDITIONALLY, DAVID GEIBEL, A CONTROL PERSON, IS PRESIDENT OF BOTH GIRARD INVESTMENT SERVICES, LLC AND GIRARD ADVISORY SERVICES, LLC.

GIRARD PENSION SERVICES, LLC is under common control with the firm.

CRD #:	117901
Business Address:	4600 BROADWAY ALLENTOWN, PA 18104
Effective Date:	12/31/2008
Foreign Entity:	No
Country:	

Firm Operations

Organization Affiliates (continued)

Securities Activities: No

Investment Advisory Activities: Yes

Description: GIRARD PENSION SERVICES, LLC, AN INVESTMENT ADVISOR, AND GIRARD INVESTMENT SERVICES, LLC, ARE SUBSIDIARIES OF UNIVEST BANK AND TRUST CO. UNIVEST BANK IS A DIRECT SUBSIDIARY OF UNIVEST CORP OF PA, THE BANK HOLDING PARENT COMPANY. ADDITIONALLY, DAVID GEIBEL, A CONTROL PERSON, IS PRESIDENT OF BOTH GIRARD INVESTMENT SERVICES, LLC AND GIRARD PENSION SERVICES, LLC.

This firm is 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**

UNIVEST BANK AND TRUST CO. is a State Member Bank of the Federal Reserve System and controls the firm.

Business Address: 14 NORTH MAIN STREET
SOUDERTON, PA

Effective Date: 01/01/1999

Description: GIRARD INVESTMENT SERVICES, LLC, IS A SUBSIDIARY COMPANY OF UNIVEST BANK AND TRUST CO. UNIVEST BANK IS THE SOLE SUBSIDIARY OF UNIVEST FINANCIAL CORPORATION, A BANK HOLDING COMPANY.

UNIVEST FINANCIAL CORPORATION is a Bank Holding Company and controls the firm.

Business Address: 14 NORTH MAIN STREET
SOUDERTON, PA 18964

Effective Date: 01/01/1999

Description: PARENT COMPANY

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	2	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 2

Reporting Source:	Regulator
Current Status:	Final

Allegations:	FINRA RULE 2010, NASD RULES 2110, 3010, MSRB RULES G-2, G-3, G-27: THE FIRM FAILED TO ESTABLISH AND MAINTAIN A SUPERVISORY SYSTEM AND ESTABLISH, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES (WSPS) REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS CONCERNING THE FOLLOWING BUSINESS AREAS AND ACTIVITIES: THE REVIEW OF ELECTRONIC CORRESPONDENCE; REGISTRATION OF BRANCH OFFICES; DELIVERY OF OFFICIAL STATEMENTS, COMMISSIONS AND PRICING, AND OTHER ASPECTS OF THE FIRM'S MUNICIPAL SECURITIES BUSINESS; TRANSACTIONS IN DEFERRED VARIABLE ANNUITIES AND FINRA RULE 2330; CORPORATE DEBT TRANSACTION REPORTING; AND COMPLIANCE WITH THE CUSTOMER PROTECTION RULE (SECURITIES EXCHANGE ACT OF 1934 RULE 15C3-3). THE FIRM FAILED TO ENFORCE ITS WSPS ADDRESSING THE FOLLOWING AREAS: REVIEW OF OUTSIDE BROKERAGE ACCOUNT STATEMENTS FOR PERSONNEL IN A BRANCH OFFICE; MAINTENANCE OF REGISTRATIONS OF PERSONS NOT ACTIVE IN THE FIRM'S SECURITIES BUSINESS; AND PRINCIPAL REVIEW OF ORDER TICKETS FOR A BRANCH OFFICE'S TRANSACTIONS. THE FIRM ALSO FAILED TO HAVE A PROPERLY QUALIFIED PRINCIPAL REVIEW AND APPROVE ITS MUNICIPAL SECURITIES TRANSACTIONS. SPECIFICALLY, THE FIRM ENGAGED IN 22 MUNICIPAL SECURITIES TRANSACTIONS THAT WERE NOT REVIEWED BY A SERIES 53 LICENSED MUNICIPAL SECURITIES PRINCIPAL.
Initiated By:	FINRA
Date Initiated:	07/06/2012
Docket/Case Number:	2011025598501
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/06/2012
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:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE IT IS CENSURED AND FINED $30,000 ($17,500 OF WHICH PERTAINS TO THE VIOLATIONS OF MSRB RULES G-2, G-3 AND G-27). FINE PAID IN FULL ON JULY 17, 2012.

Reporting Source:	Firm
Current Status:	Final
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS OF FINRA, UNIVEST INVESTMENTS, INC. ENTERED INTO AN ACCEPTANCE, WAIVER AND CONSENT AGREEMENT PROVIDING THAT UII FAILED TO ESTABLISH AND MAINTAIN A SUPERVISORY SYSTEM AND ESTABLISH, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS CONCERNING A NUMBER OF AREAS. THE FIRM ALSO FAILED TO HAVE A PROPERLY QUALIFIED PRINCIPAL REVIEW AND APPROVE ITS MUNCIPAL SECURITIES TRANSACTIONS. THIS CONDUCT VIOLATED NASD CONDUCT RULES 3010 AND 2110, FINRA RULE 2010 AND MSRB RULES G-2, G-3 AND G-27.
Initiated By:	FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)
Date Initiated:	06/13/2012
Docket/Case Number:	2011025598501
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	$30,000 FINE ($17,500 OF WHICH PERTAINS TO THE VIOLATIONS OF MSRB RULES G-2, G-3 AND G-27)
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/06/2012
Sanctions Ordered:	Censure Monetary/Fine $30,000.00

Other Sanctions Ordered:	
Sanction Details:	CENSURE AGAINST THE APPLICANT AND $30,000 FINE ($17,500 OF WHICH PERTAINS TO THE VIOLATIONS OF MSRB RULES G-2, G-3 AND G-27) WAS PAID TO FINRA'S FINANCE DEPARTMENT BY CHECK ON JULY 13, 2012.

Disclosure 2 of 2

Reporting Source:	Regulator
Current Status:	Final
Allegations:	COMPLAINT #P-368 FILED 06/06/72 DECISION 05/28/74: CENSURED, FINED $1,500 J&S 07/12/74: TO BE FINAL FINES & COSTS FC PD. 08/09/74. $1500. FC#5814
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	06/06/1972
Docket/Case Number:	P-368
Principal Product Type:	Other
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	07/12/1974
Sanctions Ordered:	Censure Monetary/Fine $1,500.00
Other Sanctions Ordered:	
Sanction Details:	CAF
Regulator Statement	COMPLAINT #P-368 FILED 06/06/72 DECISION 05/28/74: CENSURED, FINED $1,500 J&S 07/12/74: TO BE FINAL FINES & COSTS FC PD. 08/09/74. $1500. FC#5814

Reporting Source:	Firm
Current Status:	Final
Allegations:	1ST-VIOLATION ART. III, SECS 1 & 19(A) - COMINGLING CUSTOMER FUNDS. 2ND-VIOLATION ART. III SEC 1 - EXCESSIVE FEE CHARGED FOR SALE OF SECURITY AVAILABLE TO PUBLIC. 3RD-VIOLATION ART. III SEC 1 & 21(A) - LETTERS SENT IN CONTRAVENTION OF ADVERTISING RULES, NOT RETAINED BY B/D. 4TH-VIOLATION ART. III SEC 1 & 27 - FAILURE TO PROPERLY SUPERVISE
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	06/06/1972
Docket/Case Number:	P-368
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	FINE
Resolution:	Decision
Resolution Date:	05/28/1974
Sanctions Ordered:	Censure Monetary/Fine $1,500.00
Other Sanctions Ordered:	
Sanction Details:	PENALTY PAID IN FULL JUNE 1974

End of Report

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