

BrokerCheck Report

OBERWEIS SECURITIES, INC.

CRD# 42060

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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:
 - o 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
 - o 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.



OBERWEIS SECURITIES, INC.

CRD# 42060

SEC# 8-49679

Main Office Location

3333 WARRENVILLE ROAD
SUITE 500
LISLE, IL 60532
Regulated by FINRA Chicago Office

Mailing Address

3333 WARRENVILLE ROAD
SUITE 500
LISLE, IL 60532

Business Telephone Number

630-577-2300

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 Illinois on 09/24/1996.

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
- 53 U.S. states and territories

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

This firm conducts 12 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 corporation.

This firm was formed in Illinois on 09/24/1996.

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.

OBERWEIS SECURITIES, INC.

Doing business as OBERWEIS SECURITIES, INC.

CRD# 42060

SEC# 8-49679

Main Office Location

3333 WARRENVILLE ROAD
SUITE 500
LISLE, IL 60532

Regulated by FINRA Chicago Office

Mailing Address

3333 WARRENVILLE ROAD
SUITE 500
LISLE, IL 60532

Business Telephone Number

630-577-2300



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): OBERWEIS, JAMES WALTER

2363059

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

Position PRESIDENT, DIRECTOR

Position Start Date 09/1996

Percentage of Ownership 50% but less than 75%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): OBERWEIS, JAMES DONALD

350272

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

Position SHAREHOLDER

Position Start Date 09/1996

Percentage of Ownership 10% but less than 25%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): HANNEMANN, ERIC VICARY

3264330

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

Position CHIEF FINANCIAL OFFICER, TREASURER

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date 09/2022

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): JOYCE, THOMAS PATRICK
5953683

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

Position CHIEF COMPLIANCE OFFICER, SECRETARY

Position Start Date 09/2022

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

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 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	12/23/1996

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	12/23/1996



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/02/1997
Alaska	Approved	01/02/1997
Arizona	Approved	01/02/1997
Arkansas	Approved	01/02/1997
California	Approved	01/07/1997
Colorado	Approved	02/06/1997
Connecticut	Approved	05/07/1997
Delaware	Approved	01/02/1997
District of Columbia	Approved	11/13/1996
Florida	Approved	04/08/1997
Georgia	Approved	02/04/1997
Hawaii	Approved	02/10/1997
Idaho	Approved	01/02/1997
Illinois	Approved	01/02/1997
Indiana	Approved	01/02/1997
Iowa	Approved	01/22/1997
Kansas	Approved	01/16/1997
Kentucky	Approved	01/02/1997
Louisiana	Approved	01/06/1997
Maine	Approved	01/02/1997
Maryland	Approved	01/03/1997
Massachusetts	Approved	01/07/1997
Michigan	Approved	01/02/1997
Minnesota	Approved	01/10/1997
Mississippi	Approved	01/02/1997
Missouri	Approved	01/22/1997
Montana	Approved	01/07/1997
Nebraska	Approved	01/07/1997
Nevada	Approved	01/02/1997
New Hampshire	Approved	12/15/1997
New Jersey	Approved	01/06/1997
New Mexico	Approved	01/08/1997
New York	Approved	01/01/1997

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/02/1997
North Dakota	Approved	01/02/1997
Ohio	Approved	01/02/1997
Oklahoma	Approved	01/01/1997
Oregon	Approved	01/01/1997
Pennsylvania	Approved	01/10/1997
Puerto Rico	Approved	02/25/2005
Rhode Island	Approved	01/02/1997
South Carolina	Approved	01/02/1997
South Dakota	Approved	01/02/1997
Tennessee	Approved	01/13/1997
Texas	Approved	01/03/1997
Utah	Approved	01/06/1996
Vermont	Approved	01/02/1997
Virgin Islands	Approved	07/21/2005
Virginia	Approved	01/02/1997
Washington	Approved	01/13/1997
West Virginia	Approved	01/02/1997
Wisconsin	Approved	01/09/1997
Wyoming	Approved	01/02/1997



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 12 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 underwriter or sponsor
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
Trading securities for own account
Private placements of securities

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:	NATIONAL FINANCIAL SERVICES LLC
CRD #:	13041
Business Address:	82 DEVONSHIRE STREET BOSTON, MA 02109
Effective Date:	05/13/1999
Description:	APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH NATIONAL FINANCIAL SERVICES CORP. ("NFSC") WHEREBY NFSC WILL CARRY APPLICANT'S CUSTOMER ACCOUNTS AND WILL MAINTAIN AND CARRY SECURITIES IN EACH ACCOUNT ON A FULLY DISCLOSED BASIS.

Firm Operations

Industry Arrangements



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

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: 82 DEVONSHIRE STREET
BOSTON, MA 02109

Effective Date: 05/13/1999

Description: APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH NATIONAL FINANCIAL SERVICES CORP. ("NFSC") WHEREBY NFSC WILL CARRY APPLICANT'S CUSTOMER ACCOUNTS AND WILL MAINTAIN AND CARRY SECURITIES IN EACH ACCOUNT ON A FULLY DISCLOSED BASIS.

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

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: 82 DEVONSHIRE STREET
BOSTON, MA 02109

Effective Date: 05/13/1999

Description: APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH NATIONAL FINANCIAL SERVICES CORP. ("NFSC") WHEREBY NFSC WILL CARRY APPLICANT'S CUSTOMER ACCOUNTS AND WILL MAINTAIN AND CARRY SECURITIES IN EACH ACCOUNT ON A FULLY DISCLOSED BASIS.

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

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: 82 DEVONSHIRE STREET
BOSTON, MA 02109

Effective Date: 05/13/1999

Description: APPLICANT HAS ENTERED INTO A FULLY DISCLOSED CLEARING AGREEMENT WITH NATIONAL FINANCIAL SERVICES CORP. ("NFSC") WHEREBY NFSC WILL CARRY APPLICANT'S CUSTOMER ACCOUNTS AND WILL MAINTAIN AND CARRY SECURITIES IN EACH ACCOUNT ON A FULLY DISCLOSED BASIS.

Firm Operations



Industry Arrangements (continued)

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.

OBERWEIS ASSET MANAGEMENT (HONG KONG) LIMITED is under common control with the firm.

CRD #:	296901
Business Address:	ROOM 1521, 15/F, AIA CENTRAL NO. 1, CONNAUGHT ROAD HONG KONG, HONG KONG
Effective Date:	06/21/2018
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	APPLICANT IS UNDER COMMON CONTROL WITH OBERWEIS ASSET MANAGEMENT (HONG KONG) LIMITED ("OAMHK"), A REGISTERED INVESTMENT ADVISER WITH THE SECURITIES AND EXCHANGE COMMISSION AND LICENSED BY THE HONG KONG SECURITIES AND FUTURES COMMISSION TO CONDUCT ASSET MANAGEMENT ACTIVITIES. THE CONTROL PERSONS IDENTIFIED IN SCHEDULE A ARE ALSO CONTROL PERSONS OF OBERWEIS ASSET MANAGEMENT INC WHICH IS 100% SHAREHOLDER OF OAMHK. OAMHK SERVES AS THE SUB-ADVISOR TO THE OBERWEIS CHINA OPPORTUNITIES FUND.

OBERWEIS ASSET MANGEMENT, INC. is under common control with the firm.

Business Address:	3333 WARRENVILLE ROAD SUITE 500 LISLE, IL 60532
Effective Date:	09/01/1996
Foreign Entity:	No

Firm Operations



Organization Affiliates (continued)

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: APPLICANT IS UNDER COMMON CONTROL WITH OBERWEIS ASSET MANAGEMENT, INC. ("OAM"), A REGISTERED INVESTMENT ADVISOR WITH THE SECURITIES AND EXCHANGE COMMISSION SINCE JANUARY 4, 1990. THE CONTROL PERSONS IDENTIFIED IN SCHEDULE A ARE ALSO CONTROL PERSONS OF OAM. OAM SERVES AS THE INVESTMENT ADVISOR TO THE OBERWEIS FUNDS, A REGISTERED INVESTMENT COMPANY UNDER THE INVESTMENT COMPANY ACT OF 1940, AND ALSO OFFERS INVESTMENT ADVICE TO INSTITUTIONS AND INDIVIDUAL INVESTORS.

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	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:**
 - o 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:**
 - o 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:**
 - o 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.
 - o 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: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO REPORT INFORMATION REGARDING PURCHASE AND SALE TRANSACTIONS EFFECTED IN MUNICIPAL SECURITIES TO THE REAL-TIME TRANSACTION REPORTING SYSTEM (RTRS). THE FINDINGS STATED THAT THE FIRM FAILED TO REPORT INFORMATION ABOUT SUCH TRANSACTIONS WITHIN 15 MINUTES OF TIME OF TRADE TO AN RTRS PORTAL.

Initiated By: FINRA

Date Initiated: 05/01/2015

Docket/Case Number: 2014040167701

Principal Product Type: Debt - Municipal

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/01/2015

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 \$7,500.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$7,500. FINE PAID IN FULL ON 5/18/2015.

Reporting Source: Firm

Current Status: Final

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO ENTRY OF FINDINGS THAT IT FAILED TO REPORT INFORMATION REGARDING PURCHASE AND SALE TRANSACTIONS EFFECTED IN MUNICIPAL SECURITIES TO THE REAL-TIME



TRANSACTION REPORTING SYSTEM (RTRS). THE FINDS STATED THAT THE FIRM FAILED TO REPORT INFORMATION ABOUT SUCH TRANSACTIONS WITHIN 15 MINUTES OF TIME OF TRADE TO AN RTRS PORTAL.

Initiated By: FINRA

Date Initiated: 03/25/2015

Docket/Case Number: 2014040167701

Principal Product Type: Debt - Municipal

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/01/2015

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details: TOTAL AMOUNT OF FINE: \$7500.00; DATE PAID 05/13/2015

Disclosure 2 of 2

Reporting Source: Regulator

Current Status: Final

Allegations: MSRB RULES G-8, G-14, G-27 - OBERWEIS SECURITIES, INC. REPORTED MUNICIPAL SECURITIES LATE; FAILED TO PREPARE AND MAINTAIN ACCURATE ORDER MEMORANDA FOR MUNICIPAL TRANSACTIONS IN THAT EACH ORDER TICKET CONTAINED A MISSING OR INACCURATE DATE AND TIME OF RECEIPT OR EXECUTION; AND FAILED TO PREPARE ADEQUATE WRITTEN SUPERVISORY PROCEDURES ADDRESSING THE REPORTING REQUIREMENTS UNDER MSRB RULE G-14 AND FAILED TO ADEQUATELY ENFORCE ITS WRITTEN SUPERVISORY PROCEDURES REGARDING THE RECORDING AND MAINTAINING OF DATA ON MUNICIPAL TRANSACTION ORDER MEMORANDA UNDER MSRB RULE G-8.

Initiated By: NASD

Date Initiated: 06/13/2006



Docket/Case Number: E8A2005015301

Principal Product Type: Debt - Municipal

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 06/13/2006

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 \$5,000.

Reporting Source: Firm

Current Status: Final

Allegations: APPLICANT (I) REPORTED 5 OF 80 MUNICIPAL TRANSACTIONS (6%) LATE DURING THE PERIOD OF DECEMBER 1, 2004 THROUGH FEBRUARY 28, 2005; (II) FAILED TO PREPARE AND MAINTAIN ACCURATE ORDER TICKETS FOR 56 OF 80 MUNICIPAL TRANSACTIONS (70%) DURING SIX SPECIFIED MONTHS DURING THE PERIOD FROM AT LEAST MARCH 2003 THROUGH AT LEAST MARCH 2005, EACH TICKET CONTAINED A MISSING OR INACCURATE DATE AND TIME OF RECEIPT OR EXECUTION; AND (III) FAILED TO PREPARE ADEQUATE WRITTEN SUPERVISORY PROCEDURES ADDRESSING REPORTING REQUIRED UNDER MSRB RULE G 14 AND FAILED TO ADEQUATELY ENFORCE ITS PROCEDURES REGARDING THE RECORDING AND MAINTAINING OF DATA ON MUNICIPAL TRANSACTION ORDER TICKETS.

Initiated By: NASD



Date Initiated: 05/24/2006

Docket/Case Number: E8A20050153

Principal Product Type: Debt - Municipal

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 06/13/2006

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: TOTAL AMOUNT OF FINE: \$5000.00; DATE PAID 06/07/2006.

End of Report



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