BrokerCheck Report

S.G. LONG & COMPANY

CRD# 47511

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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.
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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.

S.G. LONG & COMPANY

CRD# 47511

SEC# 8-51816

Main Office Location

283 WEST FRONT SUITE 302
SUITE 302
MISSOULA, MT 59802-4328
Regulated by FINRA Denver Office

Mailing Address

283 WEST FRONT SUITE 302
MISSOULA, MT 59802-4328

Business Telephone Number

406-721-0999

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 corporation.

This firm was formed in Montana on 09/19/1995.

Its fiscal year ends in June.

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
- 37 U.S. states and territories

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

This firm conducts 7 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

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Montana on 09/19/1995.

Its fiscal year ends in June.

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.

S.G. LONG & COMPANY

Doing business as S.G. LONG & COMPANY

CRD# 47511

SEC# 8-51816

Main Office Location

283 WEST FRONT SUITE 302
SUITE 302
MISSOULA, MT 59802-4328

Regulated by FINRA Denver Office

Mailing Address

283 WEST FRONT SUITE 302
MISSOULA, MT 59802-4328

Business Telephone Number

406-721-0999

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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):	SG LONG FINANCIAL SERVICES CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	HOLDING COMPANY
Position Start Date	06/2006
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	COSTA, BRUCE ANTHONY 6348002
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	10/2014
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):	EDER, JOSHUA DANIEL 5104561
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL ADVISOR
Position Start Date	09/2026

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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):	FELIX, DARLA MARIE 5874509
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF FINANCIAL OFFICER/ CHIEF COMPLIANCE OFFICER
Position Start Date	01/2020
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):	GAUMER, DONALD GIFFORD 5270645
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL ADVISOR
Position Start Date	09/2026
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):	KLEESE, MICHAEL F

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Firm Profile

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	11/2006
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):	PEPPENGER, DAVID ALBERT 6241527
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL ADVISOR
Position Start Date	09/2026
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):	SEIDENSCHWARZ, ROBERT GUY ISAAC 1011121
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	01/2023
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	VINSO, JOSEPH DAVID
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	11/2006
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):	WILLIAMS, SUSAN ELAINE 2290587
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/CEO
Position Start Date	11/2006
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

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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):	WILLIAMS, SUSAN ELAINE 2290587
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	SG LONG FINANCIAL SERVICES CORP
Relationship to Direct Owner	OWNER, PRESIDENT
Relationship Established	07/2017
Percentage of Ownership	25% but less than 50%
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 37 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/28/1999

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	09/28/1999

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alaska	Approved	01/19/2007
Arizona	Approved	02/19/2002
California	Approved	10/14/1999
Colorado	Approved	10/04/1999
Connecticut	Approved	11/09/1999
District of Columbia	Approved	03/04/2025
Florida	Approved	08/07/2002
Georgia	Approved	08/10/2021
Idaho	Approved	09/28/1999
Illinois	Approved	04/21/2020
Iowa	Approved	03/27/2019
Louisiana	Approved	11/05/2007
Maine	Conditional Restricted	11/23/1999
Maryland	Approved	09/16/2011
Massachusetts	Approved	02/16/2017
Michigan	Approved	01/08/2026
Minnesota	Approved	08/01/2006
Mississippi	Approved	08/04/2025
Missouri	Approved	08/30/2023
Montana	Approved	09/30/1999
Nebraska	Approved	09/16/2014
Nevada	Approved	03/20/2024
New Jersey	Approved	12/06/2024
New York	Approved	11/26/1999
North Dakota	Approved	12/22/2014
Oklahoma	Approved	01/24/2019
Oregon	Approved	12/13/1999
Pennsylvania	Approved	01/27/2000
South Carolina	Approved	07/16/2020
South Dakota	Approved	08/16/2023
Tennessee	Approved	08/02/2022
Texas	Approved	01/01/2000
Utah	Approved	10/31/2007
Virginia	Approved	01/29/2020
Washington	Approved	10/05/1999
Wisconsin	Approved	06/06/2024
Wyoming	Approved	10/26/1999

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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 7 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
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Investment advisory services

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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 refer or introduce customers to other brokers and dealers.

Name:	RBC CAPITAL MARKETS CORPORATION
CRD #:	31194
Business Address:	510 MARQUETTE AVENUE SOUTH MINNEAPOLIS, MN 55402
Effective Date:	10/01/2004
Description:	S.G. LONG & COMPANY IS A FULLY DISCLOSED BROKER/DEALER CLEARING THROUGH RBC CAPITAL MARKETS CORP

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Firm Operations

Industry Arrangements

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

Name:	RBC CAPITAL MARKETS CORPORATION
CRD #:	31194
Business Address:	510 MARQUETTE AVENUE SOUTH MINNEAPOLIS, MN 55486
Effective Date:	10/01/2004
Description:	S.G. LONG & COMPANY CLEAR ON A FULLY DISCLOSED BASIS THROUGH RBC CAPITAL MARKETS CORP.

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

Name:	RBC CAPITAL MARKETS CORPORATION
CRD #:	31194
Business Address:	510 MARQUETTE AVENUE SOUTH MINNEAPOLIS, MN 55486
Effective Date:	10/01/2004
Description:	S.G. LONG & COMPANY CLEARS THROUGH RBC CAPITAL MARKETS CORP ON A FULLY DISCLOSED BASIS

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

Name:	RBC CAPITAL MARKETS CORPORATION
CRD #:	31194
Business Address:	510 MARQUETTE AVENUE SOUTH MINNEAPOLIS, MN 55486
Effective Date:	10/01/2004
Description:	S.G. LONG & COMPANY CLEARS THROUGH RBC CAPITAL MARKETS CORP. ON A FULLY DISCLOSED BASIS

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, 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.

SGL INVESTMENT ADVISORS, INC. is under common control with the firm.

CRD #:	145167
Business Address:	283 W FRONT STREET SUITE 302 MISSOULA, MT 59802
Effective Date:	01/07/2008
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	OWNED BY THE SAME PARENT COMPANY, SG LONG FINANCIAL SERVICES CORP.

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	2	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 2

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	SINCE AT LEAST JANUARY 1, 2000, RESPONDENT HAS BEEN REGISTERED WITH THE SECURITIES COMMISSIONER AS A DEALER. ON JULY 1, 2020, RESPONDENT APPLIED FOR REGISTRATION WITH THE SECURITIES COMMISSIONER AS AN INVESTMENT ADVISER. FROM JUNE 2014 THROUGH JULY 2020, RESPONDENT ACTED AS AN "INVESTMENT ADVISER" IN TEXAS AS THE TERM IS DEFINED BY SECTION 4.N AND 4.P OF THE TEXAS SECURITIES ACT. ACCORDINGLY, RESPONDENT VIOLATED SECTION 12.B OF THE TEXAS SECURITIES ACT DURING THIS TIME BY RENDERING SERVICES AS AN INVESTMENT ADVISER IN TEXAS WHEN RESPONDENT WAS NOT REGISTERED WITH THE SECURITIES COMMISSIONER TO PROVIDE INVESTMENT ADVICE.
Initiated By:	TEXAS
Date Initiated:	12/21/2020
Docket/Case Number:	REG20-CAF-07
URL for Regulatory Action:	WWW.SSB.TEXAS.GOV/SITES/DEFAULT/FILES/FILES/NEWS/REG20_CAF_07.PDF
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	REPRIMAND
Resolution:	Order
Resolution Date:	12/21/2020
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 $15,000.00
Other Sanctions Ordered:	REPRIMAND
Sanction Details:	IT IS FURTHER ORDERED THAT S.G. LONG & COMPANY SHALL PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF FIFTEEN THOUSAND DOLLARS ($15,000.00) TO THE GENERAL FUND OF THE STATE OF TEXAS WITHIN FIVE (5) BUSINESS DAYS OF THE ENTRY OF THIS ORDER.

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Reporting Source:	Firm
Current Status:	Final
Allegations:	FROM 2014 THROUGH JULY 2020, S.G. LONG & COMPANY (RESPONDENT) AND THE AGENT PROVIDED INVESTMENT ADVISORY SERVICES TO NINE CUSTOMERS OF THE RESPONDENT WITHOUT BEING REGISTERED TO DO SO. THE RESPONDENT KNEW THAT THE AGENT HAD OPENED INVESTMENT ADVISORY ACCOUNTS FOR RESPONDENT'S CUSTOMERS BUT THAT THE RESPONDENT HAD RELIED ON PRIOR ADVICE THAT THE RESPONDENT DID NOT NEED TO REGISTER AS AN INVESTMENT ADVISER WITH THE SECURITIES COMMISSIONER OR REGISTER THE AGENT AS AN INVESTMENT ADVISOR REPRESENTATIVE.
Initiated By:	TEXAS STATE SECURITIES BOARD
Date Initiated:	12/21/2020
Docket/Case Number:	REG20-CAF-07
Principal Product Type:	No Product
Other Product Type(s):	INVESTMENT ADVISOR SERVICES
Principal Sanction(s)/Relief Sought:	Reprimand
Other Sanction(s)/Relief Sought:	REPRIMAND
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/21/2020
Sanctions Ordered:	Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	S.G. LONG & COMPANY WAS ORDERED TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF FIFTEEN THOUSAND DOLLARS ($15,000) TO THE GENERAL FUND OF THE STATE OF TEXAS WITHIN FIVE (5) BUSINESS DAYS OF THE ENTRY. S.G. LONG & COMPANY SATISFIED THIS REQUEST ON 12/21/2020.
Firm Statement	IT IS THEREFORE ORDERED THAT THE INVESTMENT ADVISER REGISTRATION OF S.G. LONG & COMPANY IS HERBY GRANTED. IT IS FURTHER ORDERED THAT S.G. LONG & COMPANY IS HEREBY REPRIMANDED. IT IS FURTHER ORDERED THAT S.G. LONG & COMPANY SHALL PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF FIFTEEN THOUSAND DOLLARS ($15,000) TO THE GENERAL FUND OF THE STATE OF TEXAS WITHIN FIVE (5) BUSINESS DAYS OF THE ENTRY. S.G. LONG & COMPANY SATISFIED THIS REQUEST ON 12/21/2020.

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Disclosure 2 of 2

Reporting Source:	Regulator
Current Status:	Final
Allegations:	SEC RULE 15C3-1, NASD CONDUCT RULE 2110 - RESPONDENT MEMBER ACTING THROUGH AN INDIVIDUAL FAILED TO COMPLY WITH SEC RULE 15C3-1 IN THAT IT USED INSTRUMENTALITIES OF INTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN SECURITIES WHILE FAILING TO MAINTAIN REQUIRED NET CAPITAL OF NOT LESS THAN $50,000.00.
Initiated By:	NASD
Date Initiated:	02/02/2004
Docket/Case Number:	C3B040004
Principal Product Type:	Other
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	02/02/2004
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 $2,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT MEMBER CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED $2,500.00.

Reporting Source:	Firm
Current Status:	Final

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Allegations:	SEC RULE 15C3-1, NASD CONDUCT RULE 2110 - RESPONDENT MEMBER ACTING THROUGH AN IDIVIDUAL FAILED TO COMPLY WITH SEC RULE 15C3-1 IN THAT IS USED INSTRUMENTALITIES OF INSTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN SECURITIES WHILE FAILING TO MAINTAIN REQUIRED NET CAPITAL OF NOT LESS THAN $50,000.00
Initiated By:	NASD
Date Initiated:	02/02/2004
Docket/Case Number:	C3B040004
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:	02/02/2004
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT MEMBER CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED $2500.00

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End of Report

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