

BrokerCheck Report

WADE HARLOW BRADLEY

CRD# 1557356

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

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

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



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

brokercheck.finra.org



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

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

WADE H. BRADLEY

CRD# 1557356

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B INDIEVEST SECURITIES, INC.**
CRD# 137741
LOS ANGELES, CA
03/2006 - 09/2012
- B GRANITE CAPITAL MANAGEMENT**
CRD# 44061
THOUSAND OAKS, CA
06/2000 - 10/2001
- B TRADEWAY SECURITIES GROUP, INC.**
CRD# 29794
CARLSBAD, CA
02/1997 - 08/1997

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	4

Broker Comments

This broker has provided comments regarding information that is displayed in this report.

Has the broker provided comments? **Yes**

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/10/2006
B Registered Options Principal Examination	Series 4	01/05/1998

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	01/03/2006
B Direct Participation Programs Representative Examination	Series 22	10/23/1989
B National Commodity Futures Examination	Series 3	07/09/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/22/2006
IA Uniform Investment Adviser Law Examination	Series 65	05/28/1998

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/2006 - 09/2012	INDIEVEST SECURITIES, INC.	137741	LOS ANGELES, CA
B 06/2000 - 10/2001	GRANITE CAPITAL MANAGEMENT	44061	THOUSAND OAKS, CA
B 02/1997 - 08/1997	TRADEWAY SECURITIES GROUP, INC.	29794	CARLSBAD, CA
B 07/1995 - 02/1997	LA JOLLA SECURITIES CORPORATION	18493	LA JOLLA, CA
B 08/1990 - 11/1990	PACIFIC CAPITAL PARTNERS, INC.	24519	LA JOLLA, CA
B 12/1989 - 08/1990	REMINGTON SECURITIES, INC.	16695	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2005 - Present	INDIEVEST SECURITIES, INC.	PRESIDENT	Y	SAN DIEGO, CA, United States
02/2001 - Present	INDIEVEST, INC.	PRESIDENT	Y	SAN DIEGO, CA, United States

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	4	0



Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 10/19/2012

Docket/Case Number: 2011025780101

Employing firm when activity occurred which led to the regulatory action: INDIEVEST SECURITIES, INC.

Product Type: Other: MEMBERSHIP UNITS OFFERING

Allegations: WILLFULLY VIOLATED EXCHANGE ACT SECTION 10(B), AND RULE 10B-9, FINRA RULE 2010, NASD RULE 3010: BRADLEY, THROUGH HIS FIRM, OFFERED AND SOLD MEMBERSHIP UNITS IN AN ENTITY, A DEVELOPMENT STAGE COMPANY. THE FIRM OFFERED THE ENTITY'S UNITS ON A BEST-EFFORTS BASIS IN A MINI-MAX OFFERING. THE OFFERING, AS MODIFIED, PROVIDED THAT FUNDS COULD NOT BE RELEASED FROM THE ESCROW ACCOUNT UNTIL A MINIMUM OF \$4.5 MILLION WAS RAISED. BRADLEY, ACTING THROUGH THE FIRM, FACILITATED THE RELEASE OF ESCROWED FUNDS EVEN THOUGH THE MINIMUM HAD NOT BEEN RAISED. BRADLEY, ACTING THROUGH THE FIRM, CONTINUED TO OFFER AND SELL THE ENTITY'S UNITS EVEN THOUGH HE KNEW, OR WAS RECKLESS IN NOT KNOWING, THAT ESCROWED FUNDS HAD BEEN RELEASED WHEN THE MINIMUM HAD NOT BEEN RAISED, AND OFFERED AND SOLD THE UNITS AFTER THE TERMINATION, THEREBY RENDERING THE REPRESENTATIONS IN THE ENTITY'S PRIVATE PLACEMENT MEMORANDUM (PPM) FALSE AND MISLEADING. BRADLEY WAS HIS MEMBER FIRM'S PRESIDENT AND CHIEF COMPLIANCE OFFICER, AND WAS RESPONSIBLE FOR ENFORCING ITS WRITTEN SUPERVISORY PROCEDURES (WSPS). BRADLEY FAILED TO ENSURE THAT THE OFFERING WAS TERMINATED WHEN THE MINIMUM HAD



NOT BEEN MET. BRADLEY FAILED TO PROVIDE CUSTOMERS WITH THE ABILITY TO RECEIVE A REFUND WHEN PERMISSION TO EXTEND THE OFFERING WAS SOUGHT, AND FAILED TO ENSURE THAT CUSTOMER FUNDS REMAINED IN ESCROW UNTIL THE CONTINGENCIES WERE MET OR THE OFFERING WAS TERMINATED. BRADLEY FAILED TO ENSURE THAT INVESTOR MONIES WERE RETURNED WHEN THE ENTITY'S OFFERING FAILED TO MEET ITS CONTINGENCIES PRIOR TO THE TERMINATION.

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	07/23/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	Yes
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	Yes



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

No

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	ONE MONTH
Start Date:	08/05/2013
End Date:	09/04/2013



Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, BRADLEY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE MONTH. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM AUGUST 5, 2013, THROUGH SEPTEMBER 4, 2013.

Broker Comment:

(1) REGULATORY - FINAL - OCCURRENCE#1631932: I RELIED ON THE ADVICE OF MY COUNSEL, FROM TWO PROMINENT SECURITIES LAW FIRMS, WITH REGARD TO EVENTS DESCRIBED IN THE OFFER. BASED UPON THE ADVICE OF MY COUNSEL, I BELIEVED THAT THE PRIVATE OFFERING ("THE OFFERING") OF OWNERSHIP UNITS IN KNIGHTS OF BADASSDOM PRODUCTION I, LLC ("KOB1") WAS COMPLIANT WITH THE TERMS OF SUCH OFFERING AS WELL AS APPLICABLE SECURITIES LAWS AND REGULATIONS AND FINRA'S RULES.

I BELIEVED, BASED UPON THE ADVICE OF COUNSEL, THAT THE MINIMUM AMOUNT ("THE MINIMUM") OF INVESTMENT REQUIRED TO BREAK ESCROW ON THE KOB1 OFFERING HAD BEEN MET AT THE TIME ESCROW WAS BROKEN, THROUGH A COMBINATION OF SUBSCRIPTIONS RECEIVED FROM INVESTORS AND A LOAN FROM INDIEVEST PICTURES, INC. MOREOVER, THE PRIVATE PLACEMENT MEMORANDUM ("PPM") FOR THE KOB1 OFFERING STATED, ON ITS COVER PAGE, THAT THE MINIMUM COULD BE MET "THROUGH A COMBINATION OF THE SALE OF UNITS AND THE PROVISION OF PRODUCTION FUNDS BY OR ON BEHALF OF MANAGER." THE PPM ALSO PROVIDED THAT "[T]HE MANAGER MAY LEND MONEY TO THE COMPANY AT



THE MANAGER'S SOLE DISCRETION" AND THAT "[A]NY FUNDS PROVIDED BY OR ON BEHALF OF THE MANAGER . . . SHALL BE TREATED AS AN INTEREST FREE, NON-RECOURSE LOAN TO THE COMPANY . . ." ALSO BASED UPON THE ADVICE OF COUNSEL, I UNDERSTOOD THIS TO MEAN THAT INDIEVEST PICTURES, INC., THE MANAGER OF KOB1, COULD MAKE A LOAN TO KOB1 AND THAT SUCH A LOAN COULD BE USED TO MEET THE MINIMUM. I FURTHER BELIEVED, BASED UPON ADVICE OF COUNSEL, THAT ALL CONTINGENCIES HAD BEEN MET WITH REGARD TO THE BREAKING OF ESCROW AND THAT NO INVESTORS WERE ENTITLED TO RETURN OF THEIR INVESTMENTS UNDER THE TERMS OF THE OFFERING.

IN ADDITION, MY BELIEF IN THE PROPRIETY OF BREAKING ESCROW WAS BASED UPON THE APPROVAL OF THE ESCROW AGENT FOR THE OFFERING, A MAJOR INTERNATIONAL BANK (THE "BANK"). THE BANK HAD AGREED IN THE SUBSCRIPTION ESCROW AGREEMENT THAT IT WOULD HOLD INVESTOR FUNDS UNTIL THE MINIMUM WAS ACHIEVED OR, IF THE MINIMUM WAS NOT REACHED IN THE APPLICABLE PERIOD, RETURN THE FUNDS TO INVESTORS. THE BANK APPROVED THE BREAKING OF ESCROW WITHOUT ANY OBJECTION.

MOREOVER, I BELIEVED, BASED UPON THE ADVICE OF COUNSEL, THAT THE "AMENDMENT AND MODIFICATION OF PRIVATE PLACEMENT MEMORANDUM: ("FIRST AMENDMENT") AND THE "FIRST AMENDMENT TO SUBSCRIPTION AGREEMENT AND SECOND MODIFICATION OF PRIVATE PLACEMENT MEMORANDUM" ("SECOND AMENDMENT") COMPLIED WITH THE TERMS OF THE OFFERING AS WELL AS APPLICABLE LAWS, REGULATIONS AND FINRA RULES. A FINRA CYCLE EXAMINER REVIEWED THE SECOND AMENDMENT. KOB1 RECEIVED THE SIGNATURES OF NEARLY ALL OF THE INVESTORS ON THE SECOND AMENDMENT. THE TERMS OF THE OFFERING REQUIRED THE APPROVAL OF ONLY A MAJORITY OF THE INVESTORS FOR THE EXPANSION OF THE OFFERING PERIOD ADDRESSED IN THE SECOND AMENDMENT. FINALLY, I BELIEVED, BASED UPON THE ADVICE OF COUNSEL, THAT I HAD PROPERLY DISCHARGED ANY SUPERVISORY DUTIES WITH REGARD TO THE OFFERING AND THAT HE HAD ACTED IN COMPLIANCE WITH THE WRITTEN SUPERVISORY PROCEDURES OF INDIEVEST SECURITIES, INC.

Disclosure 2 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	VERMONT SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/14/1993



Docket/Case Number: 92-040-S

Employing firm when activity occurred which led to the regulatory action: SUNDANCE RESOURCES INC.

Product Type:

Other Product Type(s):

Allegations: RESPONDENT WAS NOT A REGISTERED SALES REPRESENTATIVE WHILE SOLICITING OFFERS TO SELL UNREGISTERED SECURITIES IN AN OIL AND GAS VENTURE.

Current Status: Final

Resolution: Consent

Resolution Date: 04/14/1993

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON APRIL 14, 1993 RESPONDENTS SUNDANCE RESOURCES INC., MICHAEL E. PATMAN, AND WADE H. BRADLEY, DALLAS, TEXAS, ENTERED INTO A CONSENT ORDER WITH THE VERMONT SECURITIES DIVISION WHEREIN THEY AGREED NOT TO TRANSACT BUSINESS IN VERMONT IN VIOLATION OF THE SECURITIES ACT AND TO TENDER THE PAYMENT OF \$350 IN INVESTIGATION COSTS. THE DIVISION AGREED TO WAIVE ANY POTENTIAL DISQUALIFICATION RESULTING FROM ITS AUGUST 18, 1992 CEASE AND DESIST ORDER ISSUED AGAINST RESPONDENTS IN CONNECTION WITH THIS MATTER.

Regulator Statement Not Provided

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF VERMONT, DEPT OF BANKING, INSURANCE & SECURITIES

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/14/1993

Docket/Case Number: 92-040-S



Employing firm when activity occurred which led to the regulatory action: SUNDANCE RESOURCES INC.

Product Type:

Other Product Type(s):

Allegations: THAT I HAD SUNDANCE RESOURCES CONTACTED AND SOLICITED A RESIDENT OF VERMONT AND OFFERED THE RESIDENT AN INTEREST IN AN OIL AND GAS VENTURE THAT WAS NOT REGISTERED IN THE STATE OF VERMONT.

Current Status: Final

Resolution: Consent

Resolution Date: 04/14/1993

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: WE NEITHER ADMIT NOR DENY THE ALLEGATIONS. WE WILL NOT UNDERTAKE TO PROMOTE SOLICIT OFFER OR SELL SECURITIES OF ANY TYPE OR ANY FORM IN VERMONT. SUNDANCE TENDERS A \$350.00 PAYMENT IN FULL TO THE STATE OF VERMONT.

Broker Statement IN OUR RESPONSE TO THE ALLEGATIONS WE PROVIDED FOUR (4) SEPARATE EXEMPTIONS THAT EXEMPTED MYSELF AND SUNDANCE RESOURCES FROM OFFERING A SECURITY IN AN INSOLATED CASE VERMONT DID NOT AGREE

Disclosure 3 of 4

Reporting Source: Broker

Regulatory Action Initiated By: N.F.A.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/01/1985

Docket/Case Number: Unknown



Employing firm when activity occurred which led to the regulatory action: A.B.A. INVESTMENT CORP.

Product Type:

Other Product Type(s):

Allegations: OMMITTED A CEASE & DESIST COMPLAINT FROM MONTANTA STATE SEC. DEPT.

Current Status: Final

Resolution: Decision

Resolution Date: 05/01/1988

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: OMISSION WAS UNINTENTIONAL

Broker Statement MY FIRST NFA APPLICATION WAS FILED THROUGH INT'L TRADING GROUP OF SO IN 1985. I DID NOT PURSUE THE POSITION. WITH ITG @ THEREFORE A C & D WAS FOUND AN D IRG DID ANOT FOTIFY ME. WHEN I FILED A SECOND TIME W/ITG IT WAS LEARNED THER E WAS A C & D AND I PROCURED AND NECESSARY DECUMENTS FORWARD TO CFTC. I DID NOT FOR THIS IN A TIMELY MANNER AND AN INFO WAS FILED THROUGH ABA INVESTMENT IN 1988 & REGIS. IN AS KNOWNED.

Disclosure 4 of 4

Reporting Source: Broker

Regulatory Action Initiated By: MONTANA STATE SECURITIES DEPT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/22/1985

Docket/Case Number: 1-85-6

Employing firm when activity occurred which led to the regulatory action: LA JOLLA TRADING GROUP



Product Type:

Other Product Type(s):

Allegations:

SELLING A LEVERAGE SILVER CONTRACT TO A RESIDENT OF MONTANA WHILE NOT BEING REGISTERED IN MONTANA AS ISSUERS, BROKER/DEALERS, SALESMEN, OR INVESTMENT ADVISORS AT THE TIME OF SALE.

Current Status:

Final

Resolution:

Decision

Resolution Date:

05/22/1985

Sanctions Ordered:

Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

CEASE AND DESIST

Broker Statement

SHILE I WAS EMPLOYED IN LA JOLLA TRADING GROUP, I WAS NEVER INFORMED THAT WE WERE NOT REGISTERED IN THE STATE OF MONTANA. IN FACT LA JOLLA TRADING GROUP ENCOURAGED TO CALL ALL STATES AND ON A WEEKLY BASIS PROVIDED THE ONLY LEADS AVAILABLE TO SOLICIT PROSPECTIVE CLIENTS. IN ADDITION LA JOLLA TRADING NEVER ACKNOWLEDGED TO ME THAT THE CEASE & DESIST ORDER EVER OCCURRED. IT WAS ONLY SEVERAL YEARS LATER THAT I LEARNED OF ITS EXISTENCE.

End of Report



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