

## **BrokerCheck Report**

## **BROWN J HO**

CRD# 2340460

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When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, 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.

www.finra.org/brokercheck User Guidance

### **BROWN J. HO**

CRD# 2340460

# Currently employed by and registered with the following Firm(s):

B GLOBALINK SECURITIES, INC.

185 W Chestnut Ave, Monrovia, CA 91016 CRD# 29721

Registered with this firm since: 09/12/2007

## **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 registered with:

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

#### This broker has passed:

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

## **Registration History**

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

FORTUNE SECURITIES, INC.

CRD# 40821 ALHAMBRA, CA 06/2006 - 02/2007

B TRANSAMERICA FINANCIAL ADVISORS, INC.

CRD# 3600 LOS ANGELES, CA 07/2005 - 12/2005

B ING FINANCIAL PARTNERS, INC. CRD# 2882 WINDSOR, CT 05/2004 - 06/2005

#### **Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? Yes

# The following types of disclosures have been reported:

Туре	Count	
Regulatory Event	1	
Criminal	1	
Customer Dispute	2	
Termination	1	

### **Broker Qualifications**



## Registrations

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

This individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

## **Employment 1 of 1**

Firm Name: GLOBALINK SECURITIES, INC.

Main Office Address: 3452 EAST FOOTHILL BOULEVARD

**SUITE 1040** 

PASADENA, CA 91107

Firm CRD#: **29721** 

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	09/12/2007
	U.S. State/ Territory	Category	Status	Date

## **Branch Office Locations**

**GLOBALINK SECURITIES, INC.** 

185 W Chestnut Ave, Monrovia, CA 91016

## **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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

## **Principal/Supervisory Exams**

Exam	1	Category	Date
В	Investment Company Products/Variable Contracts Principal Examination	Series 26	05/01/1998

## **General Industry/Product Exams**

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
В	Investment Company Products/Variable Contracts Representative Examination	Series 6	08/03/1993

## **State Securities Law Exams**

Exam	ı	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	08/10/1993

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/.

www.finra.org/brokercheck
User Guidance

## **Broker Qualifications**



## **Professional Designations**

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

No information reported.

## **Registration and Employment History**



## **Registration History**

The broker previously was registered with the following firms:

Reg	istration Dates	Firm Name	CRD#	Branch Location
B	06/2006 - 02/2007	FORTUNE SECURITIES, INC.	40821	ALHAMBRA, CA
В	07/2005 - 12/2005	TRANSAMERICA FINANCIAL ADVISORS, INC.	3600	LOS ANGELES, CA
B	05/2004 - 06/2005	ING FINANCIAL PARTNERS, INC.	2882	WINDSOR, CT
B	10/2003 - 04/2004	GLOBALINK SECURITIES, INC.	29721	PASADENA, CA
B	08/2002 - 09/2003	CAPITAL ANALYSTS, INCORPORATED	5478	CINCINNATI, OH
B	06/2000 - 08/2002	W.H. STUART & ASSOCIATES	47076	NORCROSS, GA
B	02/1998 - 07/2000	WMA SECURITIES, INC.	32625	DULUTH, GA
B	08/1993 - 03/1998	TRANSAMERICA FINANCIAL RESOURCES, INC.	3600	LOS ANGELES, CA

## **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	<b>Employer Location</b>
08/2007 - Present	GLOBALINK SECURITIES, INC.	REGISTERED REP.	Υ	ARCADIA, CA, United States

#### **Other Business Activities**

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

Brown Ho Insurance, Inc., San Marino, California, owner from 01/1989, sell fixed life, property and casualty insurance, 40 hours per month, salary based. Not securities related.

#### **Disclosure Events**



#### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

#### 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 broker is required to disclose a particular criminal event.
- A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

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#### 3. Disclosure events in BrokerCheck reports come from different sources:

 As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all 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.

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#### 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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of 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.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Criminal	0	1	0
Customer Dispute	0	2	N/A
Termination	N/A	1	N/A



#### **Disclosure Event Details**

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

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 may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Regulatory Action Initiated NASD

Bv:

Sanction(s) Sought:

**Date Initiated:** 01/29/2007

**Docket/Case Number:** 2005003597201

Employing firm when activity occurred which led to the regulatory action:

TRANSAMERICA FINANCIAL ADVISORS, INC.

Product Type: No Product

Allegations: NASD RULE 2110 - HO SIGNED CUSTOMERS' NAMES ON ACCOUNT TRANSFER FORMS WITHOUT THE CUSTOMERS' KNOWLEDGE OR

CONSENT, AND SUBMITTED THEM TO HIS MEMBER FIRM TO EFFECT THE TRANSFER OF THE ACCOUNTS FROM HIS PREVIOUS FIRM TO HIS NEW FIRM. THE FINDINGS STATED THAT, AFTER LEARNING THAT ONE OF THE CUSTOMERS HAD COMPLAINED ABOUT THE UNAUTHORIZED TRANSFER, HO CALLED THE CUSTOMER SEVERAL TIMES TO TRY TO PERSUADE HER TO DROP THE COMPLAINT WITHOUT ADVISING HIS FIRM AND WENT TO HER HOUSE LATE ONE EVENING AND AGAIN ASKED THE CUSTOMER TO WITHDRAW HER COMPLAINT, THE CUSTOMER CALLED THE POLICE.

Current Status: Final



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

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Nο

Resolution Date: 01/29/2007

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, HO CONSENTED TO

THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS,

THEREFORE, HO IS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR FOUR MONTHS. THE FINE SHALL BE DUE AND PAYABLE 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 IN ANY CAPACITY IS IN EFFECT FROM FEBRUARY 20, 2007 THROUGH JUNE 19,

2007. FINES PAID.

Reporting Source: Firm

**Regulatory Action Initiated** 

By:

NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: FINE

**Date Initiated:** 08/02/2005

**Docket/Case Number:** 20050035972-01

Employing firm when activity occurred which led to the regulatory action:

TFA

Product Type: Insurance

Other Product Type(s):

Allegations: LETTER OF ACCEPTANCE, WAIVER AND CONSENT HAS BEEN ACCEPTED



BY NASD'S NATIONAL ADJUDICATORY COUNCIL (NAC) REVIEW SUBCOMMITTEE, OR BY THE OFFICE OF DISCIPLINARY AFFAIRS ON

BEHALF OF THE NAC PURSUANT TO NASD RULE 9216.

**Current Status:** Final

Resolution: Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 01/29/2007

**Sanctions Ordered:** Monetary/Fine \$10,000.00

Suspension

Other Sanctions Ordered:

Sanction Details: A SUSPENSION FOR A PERIOD OF 4 MONTHS.

**Reporting Source:** Broker

**Regulatory Action Initiated** 

NASD By:

Sanction(s) Sought:

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Date Initiated: 01/29/2007

Docket/Case Number: 20050035972-01

**Employing firm when activity** 

occurred which led to the

regulatory action:

**TFA** 

**Product Type:** Insurance

Allegations: LETTER OF ACCEPTANCE, WAIVER AND CONSENT HAS BEEN ACCEPTED

> BY NASD'S NATIONAL ADJUDICATORY COUNCIL REVIEW SUBCOMMITTEE. OR BY THE OFFICE OF DISCIPLINARY AFFAIRS ON BEHALF OF THE NAC

PURSUANT TO NASD RULE 9216

**Current Status:** Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

01/29/2007

**Sanctions Ordered:** 

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: A SUSPENSION FOR A PERIOD OF 4 MONTHS FROM FEB 20,2007

THROUGH JUN 19, 2007 AND MONETARY/FINE \$10,000.

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

**Duration:** 4 MONTH

**Start Date:** 02/20/2007

**End Date:** 06/19/2007

**Monetary Sanction 1 of 1** 

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

**Total Amount:** \$10,000.00

**Portion Levied against** 

individual:

\$0.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 01/29/2007

Was any portion of penalty

waived?

No

**Amount Waived:** 



#### **Criminal - Final Disposition**

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

**Reporting Source:** Broker

Court Details: MUNICIPAL COURT OF ALAHAMBRA JUDICIAL

DISTRICT COUNTY OF LOS ANGLES, CA

97-0820/GA031269

**Charge Date:** 02/06/1997

Charge Details: FELONY CHARGES OFFER/FORGED INSTRUMENT,

CONSPIRE/CHEAT/DEFRAUD, CONSPIRE/COMMIT INJOROUS ACT.

Felony? Yes

Current Status: Final

**Status Date:** 12/08/1997

**DISMISSAL NO PLEA AT ARRAINGEMENT ALL COUNTS** 

DISMISSED.

Broker Statement AN UNRELATED AND UNKOWN PERSON FILED/OFFERED

FALSE DOCUMENTS TO COURT WITH FORGES SIGNATURES. MY

SIGNATURE

WAS FORGED. SO, EVENTUALLY, ALL COUNTS AGAINST ME WERE

DISMISSED.



#### Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led

to the complaint:

TRANSAMERICA FINANCIAL ADVISORS

Allegations: ON AUGUST 2,2005 BROWN HO ALLEGEDLY EXECUTED CUSTOMER'S

SIGNATURE ON A CHANGE OF BROKER/DEALER FORM AND A NEW

ACCOUNT FORM. CUSTOMER CLAIMS SHE DID NOT DESIRE THIS CHANGE OF BROKER/DEALER. CUSTOMER ALSO CLAIMED THAT MR. HO CAME TO HER HOUSE WITHOUT HER PERMISSION AND HARASSED HER, AND SHE APPARENTLY FILED A POLICE REPORT WITH THE CITY OF FONTANA

REGARDING THIS INCIDENT.

Product Type: No Product

**Alleged Damages:** 

**Customer Complaint Information** 

Date Complaint Received: 11/28/2005

Complaint Pending? No

Status: Closed/No Action

**Status Date:** 12/28/2005

**Settlement Amount:** 

**Individual Contribution** 

Amount:

Firm Statement PRODUCT SPONSOR REMOVED REP AS AGENT OF RECORD ON ACCOUNT.

TFA TERMINATED REP ON 12/16/2005.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

TRANSAMERICA FINANCIAL ADVISORS



Allegations: ON AUGUST 2, 2005 BROWN HO ALLEGEDLY EXECUTED CUSTOMER'S

SIGNATURE ON A CHANGE OF BROKER/DEALER FORM AND A NEW ACCOUNT FORM. CUSTOMER CLAIMS SHE DID NOT DESIRE THIS CHANGE OF BROKER/DEALER. CUSTOMER ALSO CLAIMED THAT MR. HO CAME TO HER HOUSE WITHOUT HER PERMISSION AND HARASSED HER, AND SHE APPARENTLY FILED A POLICE REPORT WITH THE CITY OF FONTANA

REGARDING THIS INCIDENT.

Product Type: No Product

**Alleged Damages:** 

**Customer Complaint Information** 

**Date Complaint Received:** 11/28/2005

Complaint Pending? No

Status: Closed/No Action

**Status Date:** 12/28/2005

**Settlement Amount:** 

**Individual Contribution** 

Amount:

Broker Statement PRODUCT SPONSOR REMOVED REP AS AGENT OF RECORD ON ACCOUNT.

TFA TERMINATED REP ON 12/16/2005.

Disclosure 2 of 2

Reporting Source: Firm

**Employing firm when** 

activities occurred which led

to the complaint:

TRANSAMERICA FINANCIAL ADVISORS

Allegations: CUSTOMER ALLEGED THAT A CHANGE OF BROKER/DEALER REQUEST

WAS MADE WITHOUT HER CONSENT. SHE CLAIMS SHE DID NOT SIGN ANY FORM TO AUTHORIZE SUCH CHANGE, NOR DID SHE WANT MR. HO AS A REPRESENTATIVE OF RECORD. SHE VERBALLY ALLEGED THAT MR. HO FORGED HER SIGNATURE ON A NEW ACCOUNT FORM AND A CHANGE OF

BROKER/DEALER FORM ON AUGUST 2,2005.

Product Type: No Product

**Alleged Damages:** 

**Customer Complaint Information** 



Date Complaint Received: 12/02/2005

Complaint Pending? No

Status: Closed/No Action

**Status Date:** 12/28/2005

**Settlement Amount:** 

**Individual Contribution** 

Amount:

Firm Statement PRODUCT SPONSOR REMOVED REP AS AGENT OF RECORD ON ACCOUNT.

TFA TERMINATED REP ON 12/16/2005.

Reporting Source: Broker

**Employing firm when** 

activities occurred which led

to the complaint:

TRANSAMERICA FINANCIAL ADVISORS

Allegations: CUSTOMER ALLEGED THAT A CHANGE OF BROKER/DEALER REQUEST

WAS MADE WITHOUT HER CONSENT. SHE CLAIMS SHE DID NOT SIGN ANY FORM TO AUTHORIZE SUCH CHANGE, NOR DID SHE WANT MR. HO AS A REPRESENTATIVE OF RECORD. SHE VERBALLY ALLEGED THAT MR. HO FORGED HER SIGNATURE ON A NEW ACCOUNT FORM AND A CHANGE OF

BROKER/DEALER FORM ON AUGUST 2, 2005.

Product Type: No Product

**Alleged Damages:** 

**Customer Complaint Information** 

Date Complaint Received: 12/02/2005

**Complaint Pending?** No

Status: Closed/No Action

**Status Date:** 12/28/2005

**Settlement Amount:** 

**Individual Contribution** 

Amount:

Broker Statement PRODUCT SPONSOR REMOVED REP AS AGENT OF RECORD ON ACCOUNT.

TFA TERMINCATED REP ON 12/16/2005.



#### **Employment Separation After Allegations**

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: TRANSAMERICA FINANCIAL ADVISORS

Termination Type: Discharged

**Termination Date:** 12/16/2005

Allegations: MR. HO WAS ACCUSED BY TWO SEPARATE CUSTOMERS OF EXECUTING

CUSTOMER SIGNATURES ON NEW ACCOUNT FORMS AND CHANGE OF BROKER/DEALER FORMS. BOTH CUSTOMERS CLAIMED THAT MR. HO DID NOT HAVE PERMISSION TO EXECUTE THE FORMS ON THEIR BEHALF. TFA

POLICIES PROHIBIT FORGING CUSTOMER SIGNATURES.

Product Type: No Product

**Other Product Types:** 

Reporting Source: Broker

Employer Name: TRANSAMERICA FINANCIAL ADVISORS

Termination Type: Discharged

**Termination Date:** 12/16/2005

Allegations: MR. HO WAS ACCUSED BY TWO SEPARATE CUSTOMERS OF EXECUTING

CUSTOMER SIGANTURES ON NEW ACCOUNT FORMS AND CHANGE OF BROKER/DEALER FORMS. BOTH CUSTOMERS CLAIMED THAT MR. HO DID NOT HAVE PERMISSION TO EXECUTE THE FORMS ON THEIR BEHALF. TFA

POLICIES PROHIBIT FORGING CUSTOMER SIGNATURES.

Product Type: No Product

**Other Product Types:** 

# **End of Report**



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