

BrokerCheck Report

JONATHAN WILLIAM LONSKE

CRD# 2594921

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.



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)

Thank you for using FINRA BrokerCheck.

JONATHAN W. LONSKE

CRD# 2594921

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

B KESTRA INVESTMENT SERVICES, LLC
 125 High Street
 Suite 220
 Boston, MA 02210
 CRD# 42046
 Registered with this firm since: 12/02/2020

IA KESTRA ADVISORY SERVICES, LLC
 125 High Street
 Suite 220
 Boston, MA 02110
 CRD# 283330
 Registered with this firm since: 01/06/2021

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
- 17 U.S. states and territories

This broker has passed:

- 0 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):**

- IA MORGAN STANLEY**
 CRD# 149777
 PURCHASE, NY
 05/2020 - 12/2020
- B MORGAN STANLEY**
 CRD# 149777
 BOSTON, MA
 06/2009 - 12/2020
- B CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 BOSTON, MA
 11/2008 - 06/2009

**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:

Type	Count
Regulatory Event	1
Criminal	1
Customer Dispute	4
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 17 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
 Main Office Address: **5707 SOUTHWEST PARKWAY
 BUILDING 2, SUITE 400
 AUSTIN, TX 78735**
 Firm CRD#: **283330**

U.S. State/ Territory	Category	Status	Date
IA Massachusetts	Investment Adviser Representative	APPROVED	02/23/2021
IA Texas	Investment Adviser Representative	APPROVED	01/06/2021

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**
 Main Office Address: **5707 SOUTHWEST PARKWAY
 BUILDING 2, SUITE 400
 AUSTIN, TX 78735**
 Firm CRD#: **42046**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	12/02/2020

U.S. State/ Territory	Category	Status	Date
B California	Agent	APPROVED	12/02/2020



Broker Qualifications

Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Connecticut	Agent	APPROVED	12/02/2020
B Florida	Agent	APPROVED	12/03/2020
B Georgia	Agent	APPROVED	12/02/2020
B Illinois	Agent	APPROVED	09/01/2021
B Indiana	Agent	APPROVED	01/04/2021
B Massachusetts	Agent	APPROVED	02/23/2021
B Michigan	Agent	APPROVED	12/02/2020
B New Hampshire	Agent	APPROVED	12/02/2020
B New Jersey	Agent	APPROVED	09/22/2021
B New York	Agent	APPROVED	12/02/2020
B Ohio	Agent	APPROVED	12/02/2020
B Pennsylvania	Agent	APPROVED	02/23/2021
B Texas	Agent	APPROVED	12/02/2020
B Washington	Agent	APPROVED	12/02/2020
B Wisconsin	Agent	APPROVED	09/01/2021
B Wyoming	Agent	APPROVED	12/02/2020

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

125 High Street
Suite 220
Boston, MA 02210



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.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	10/21/2002
B General Securities Representative Examination	Series 7	02/12/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/15/2021
B Uniform Securities Agent State Law Examination	Series 63	02/23/1996

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.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 05/2020 - 12/2020	MORGAN STANLEY	149777	BOSTON, MA
B 06/2009 - 12/2020	MORGAN STANLEY	149777	BOSTON, MA
B 11/2008 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	BOSTON, MA
B 04/2007 - 11/2008	MORGAN STANLEY & CO. INCORPORATED	8209	BOSTON, MA
B 02/2001 - 04/2007	MORGAN STANLEY DW INC.	7556	BOSTON, MA
B 03/1999 - 03/2001	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ
B 05/1996 - 03/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 03/1996 - 04/1996	GRUNTAL & CO. INCORPORATED	372	NEW YORK, NY

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
12/2020 - Present	Kestra Advisory, LLC	Investment Adviser Representative	Y	Boston, MA, United States
12/2020 - Present	Kestra Investment Services, LLC - CP	Registered Rep	Y	Boston, MA, United States
11/2020 - 11/2020	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 11/2020	MORGAN STANLEY	FINANCIAL ADVISOR	Y	BOSTON, MA, United States

Registration and Employment History



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.

Business Name: Windsor Private Wealth, LLC Investment Related: Yes Address: 125 High St Suite 220 Boston MA 02110 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Loan/Mortgage/Lending Related Position, Title or Relationship: Managing Partner, Financial Advisor Start Date: 11/30/2020 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: Provide financial management and investment management adviseBusiness Name: Kestra Investment Services LLC. Investment Related: Yes Address: 5707 Southwest Parkway, Bld 2 Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Position, Title or Relationship: IAR Start Date: 12/2/2020 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: IAR



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.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
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	4	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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

Reporting Source:	Regulator
Regulatory Action Initiated By:	Massachusetts Securities Division
Sanction(s) Sought:	Undertaking Other: Conditional Registration
Date Initiated:	02/23/2021
Docket/Case Number:	R-2021-0005
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Morgan Stanley Smith Barney LLC
Product Type:	No Product
Allegations:	Lonske has been the subject of six customer complaints, one criminal incident, and one termination. Lonske's prior firm, Morgan Stanley Smith Barney LLC, was conducting an investigation into Lonske and his team which in part focused on his team's alleged sharing of login credentials and alleged use of non-firm approved third party systems. Lonske was later terminated by Morgan Stanley Smith Barney LLC after allegations were made that Lonske shared firm systems access credentials that were used by other representatives on his team; used non-firm approved systems for firm business; responded inaccurately to questionnaires; and violated investment-related statutes, regulations, rules or industry standards of



conduct. As a result of these incidents, the Division placed conditions on Lonske's registrations as an IAR of Kestra Advisory Services, LLC and a broker-dealer agent of Kestra Investment Services, LLC in Massachusetts.

Current Status:	Final
Resolution:	Consent Order - Conditional Registration
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/23/2021
Sanctions Ordered:	Undertaking Other: For a period of three years from the date of the entry of the Order, Kestra Advisory Services, LLC and Kestra Investment Services, LLC must supervise Lonske on a heightened basis. Heightened supervision must include, at a minimum, (1) review of all Massachusetts new customer or client account forms; (2) quarterly review of a sample of Lonske's Massachusetts customer or client accounts; (3) monthly reviews of Lonske's communications; and (4) annual on-site audits of the branch office at which Lonske conducts his business, which must include reviews of a sample of Lonske's Massachusetts customer or client accounts and in-person compliance interviews.

Reporting Source:	Broker
Regulatory Action Initiated By:	Massachusetts Securities Division
Sanction(s) Sought:	Undertaking Other: Conditional Registration
Date Initiated:	02/23/2021
Docket/Case Number:	R-2021-0005
Employing firm when activity occurred which led to the regulatory action:	Morgan Stanley Smith Barney LLC
Product Type:	No Product
Allegations:	Lonske has been the subject of six customer complaints, one criminal incident, and



one termination. Lonske's prior firm, Morgan Stanley Smith Barney LLC, was conducting an investigation into Lonske and his team which in part focused on his team's alleged sharing of login credentials and alleged use of non-firm approved third party systems. Lonske was later terminated by Morgan Stanley Smith Barney LLC after allegations were made that Lonske shared firm systems access credentials that were used by other representatives on his team; used non-firm approved systems for firm business; responded inaccurately to questionnaires; and violated investment-related statutes, regulations, rules or industry standards of conduct. As a result of these incidents, the Division placed conditions on Lonske's registrations as an IAR of Kestra Advisory Services, LLC and a broker-dealer agent of Kestra Investment Services, LLC in Massachusetts.

Current Status:

Final

Resolution:

Consent Order - Conditional Registration

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

No

Resolution Date:

02/23/2021

Sanctions Ordered:

Undertaking

Other: For a period of three years from the date of the entry of the Order, Kestra Advisory Services, LLC and Kestra Investment Services, LLC must supervise Lonske on a heightened basis. Heightened supervision must include, at a minimum, (1) review of all Massachusetts new customer or client account forms; (2) quarterly review of a sample of Lonske's Massachusetts customer or client accounts; (3) monthly reviews of Lonske's communications; and (4) annual on-site audits of the branch office at which Lonske conducts his business, which must include reviews of a sample of Lonske's Massachusetts customer or client accounts and in-person compliance interviews.



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
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	State Court
Name of Court:	DISTRICT COURT - ROXBURY DIVISION
Location of Court:	BOSTON, MASSACHUSETTS
Docket/Case #:	9802 CR 5699
Charge Date:	08/31/1998
Charge(s) 1 of 1	
Formal Charge(s)/Description:	MALICIOUS DESTRUCTION OF PROPERTY OVER \$250.00, C. 266, SEC. 127
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	12/02/1998
Disposition Date:	12/02/1998
Sentence/Penalty:	N/A



Broker Statement

MR. LONSKE DID NOT REALIZE THE EVENT INVOLVED A CRIMINAL CHARGE UNTIL RECENTLY. THE EVENT WAS A TRAFFIC DISPUTE INVOLVING A PARKING SPACE, AFTER MR. LONSKE SAW ANOTHER DRIVER PULL INTO A SPACE AND KNOCK HIS PARKED CAR AND A DISPUTE ENSUED.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Morgan Stanley
Allegations:	Claimants alleged, inter alia, unsuitability with respect to investments - 2008 to 2017
Product Type:	Other: Managed/Wrap Accounts (In-House Money Manager)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/03/2017
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	01/10/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-00009



Date Notice/Process Served: 01/10/2018
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/25/2020
Monetary Compensation Amount: \$125,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY
Allegations: CLIENT ALLEGES, INTER ALIA, THAT PURCHASES OF STRUCTURED NOTES WERE MISREPRESENTED. NOVEMBER 2015. DAMAGES UNSPECIFIED.
Product Type: Other: STRUCTURED PRODUCTS
Alleged Damages: \$0.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/05/2016
Complaint Pending? No
Status: Settled
Status Date: 03/01/2016
Settlement Amount: \$36,158.86
Individual Contribution Amount: \$0.00

Disclosure 3 of 4



Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY INC.
Allegations:	CLIENT ALLEGED THAT THE PURCHASE OF A MUTUAL FUND IN AUGUST 2011 WAS MISREPRESENTED. DAMAGES UNSPECIFIED.
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/23/2011
Complaint Pending?	No
Status:	Settled
Status Date:	11/10/2011
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER INC.
Allegations:	CUSTOMER CLAIMS THAT THE INVESTMENTS IN THEIR ACCOUNTS WERE NOT SUITABLE FOR A RETIREMENT PORTFOLIO. CUSTOMERS ALSO CLAIM THAT THE BROKER MISREPRESENTED INFORMATION ABOUT ONE OF THEIR INVESTMENTS. TIME PERIOD UNSPECIFIED. DAMAGES ESTIMATED



TO EXCEED \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/16/2001

Complaint Pending? No

Status: Settled

Status Date: 11/27/2001

Settlement Amount: \$2,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CUSTOMER CLAIMS THAT THE INVESTMENTS IN THEIR ACCOUNTS WERE NOT SUITABLE FOR A RETIREMENT PORTFOLIO. CUSTOMER ALSO CLAIM THAT THE BROKER MISREPRESENTED INFORMATION ABOUT ONE OF THEIR INVESTMENTS. TIME PERIOD UNSPECIFIED. DAMAGES ESTIMATED TO EXCEED \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/16/2001

Complaint Pending? No

Status: Settled

Status Date: 11/27/2001

Settlement Amount: \$2,500.00

Individual Contribution Amount: \$0.00



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: MSWM

Termination Type: Discharged

Termination Date: 11/09/2020

Allegations: Allegations that the representative shared his firm systems access credentials that were used by other representatives on his team; used non-firm approved systems for firm business; and responded inaccurately to firm questionnaires.

Product Type: No Product

Reporting Source: Broker

Employer Name: MSWM

Termination Type: Discharged

Termination Date: 11/09/2020

Allegations: Allegations that the representative shared his firm systems access credentials that were used by other representatives on his team; used non-firm approved systems for firm business; and responded inaccurately to firm questionnaires.

Product Type: No Product

Broker Statement The firm approved my use of an outside CRM system then, years later, terminated my employment regarding ongoing use of the same system.

End of Report



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