

## BrokerCheck Report

**ANTHONY JOSEPH GRAZIANO**

CRD# 2862096

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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:
  - 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**ANTHONY J. GRAZIANO**

CRD# 2862096

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

- B JOSEPH STONE CAPITAL L.L.C.**  
 29 BROADWAY  
 SUITE 1800  
 NEW YORK, NY 10006  
 CRD# 159744  
 Registered with this firm since: 06/05/2015

**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
- 15 U.S. states and territories

**This broker has passed:**

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

**Registration History**

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

- B NATIONAL SECURITIES CORPORATION**  
 CRD# 7569  
 WESTBURY, NY  
 04/2013 - 11/2013
- B BROOKSTONE SECURITIES, INC.**  
 CRD# 13366  
 GARDEN CITY, NY  
 08/2011 - 05/2012
- B SALOMON WHITNEY LLC**  
 CRD# 145012  
 BABYLON VILLAGE, NY  
 09/2008 - 08/2011

**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
Customer Dispute	3
Financial	2



## 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 15 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **JOSEPH STONE CAPITAL L.L.C.**

Main Office Address: **585 STEWART AVE  
SUITE L60C  
GARDEN CITY, NY 11530**

Firm CRD#: **159744**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/05/2015
B	FINRA	General Securities Representative	Approved	06/05/2015
B	FINRA	Compliance Officer	Approved	10/11/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	07/10/2015
B	District of Columbia	Agent	Approved	10/09/2015
B	Florida	Agent	Approved	10/12/2015
B	Illinois	Agent	Approved	07/10/2015
B	Iowa	Agent	Approved	05/19/2022
B	Maryland	Agent	Approved	10/13/2015
B	Massachusetts	Agent	Approved	06/25/2020
B	Minnesota	Agent	Approved	07/10/2015
B	Missouri	Agent	Approved	04/09/2018
B	New York	Agent	Approved	06/18/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	07/10/2015
B	Oklahoma	Agent	Approved	07/14/2015
B	Puerto Rico	Agent	Approved	05/10/2023
B	Texas	Agent	Approved	01/27/2016
B	Washington	Agent	Approved	07/18/2015

Branch Office Locations

JOSEPH STONE CAPITAL L.L.C.  
29 BROADWAY  
SUITE 1800  
NEW YORK, NY 10006

JOSEPH STONE CAPITAL L.L.C.  
585 STEWART AVE  
SUITE L60C  
GARDEN CITY, NY 11530



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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	10/18/2007

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/11/1997

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/25/1997

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/](http://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
<b>B</b> 04/2013 - 11/2013	NATIONAL SECURITIES CORPORATION	7569	WESTBURY, NY
<b>B</b> 08/2011 - 05/2012	BROOKSTONE SECURITIES, INC.	13366	GARDEN CITY, NY
<b>B</b> 09/2008 - 08/2011	SALOMON WHITNEY LLC	145012	BABYLON VILLAGE, NY
<b>B</b> 06/2007 - 10/2008	AMERICAN CAPITAL PARTNERS, LLC	119249	FARMINGDALE, NY
<b>B</b> 03/2004 - 06/2007	GUNNALLEN FINANCIAL, INC	17609	LINDENHURST, NY
<b>B</b> 08/2002 - 03/2004	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY
<b>B</b> 08/1998 - 08/2002	LADENBURG CAPITAL MANAGEMENT INC.	14623	BETHPAGE, NY
<b>B</b> 04/1997 - 08/1997	GAINES, BERLAND INC.	14623	BETHPAGE, 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
06/2015 - Present	JOSEPH STONE CAPITAL, LLC	BRANCH OFFICE MANAGER	Y	NEW YORK, NY, United States
05/2012 - 05/2015	PRESCO CONTRACTING	PROJECT MANAGER	N	WILLISTON PARK, NY, 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.

No information reported.



## 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:**
  - 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.
  -
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:**
  - 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 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
Customer Dispute	0	3	N/A
Financial	0	2	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:	FINRA
Sanction(s) Sought:	
Date Initiated:	12/08/2021
Docket/Case Number:	<a href="#">2020066887201</a>
Employing firm when activity occurred which led to the regulatory action:	Joseph Stone Capital, L.L.C.
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Graziano consented to the sanctions and to the entry of findings that he failed to reasonably supervise a registered representative of his member firm, who excessively traded a customer's account. The findings stated that Graziano was the designated principal responsible for supervising the registered representatives assigned to a firm branch office. Although Graziano reviewed the branch's daily trade blotter, he failed to identify red flags that the representative was excessively trading a senior customer's account. In addition, Graziano did not enforce restrictions that another principal of the firm set on the commissions that the representative could charge in the customer's account. The principal notified Graziano that he was restricting the commissions the representative could charge in the customer's account to one



percent per trade because the account's cost-to-equity ratio already exceeded 20 percent. Graziano, however, failed to enforce this restriction and, as a result, the representative charged the customer commissions greater than one percent on separate occasions. Collectively, those trades caused the customer to pay an additional \$4,000 in commissions after the principal had restricted the commissions that could be charged in the account. In all, the trades that the representative recommended in the customer's account resulted in a cost-to-equity ratio of 22 percent and caused the customer to pay almost \$120,000 in commissions and other trading costs.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	12/08/2021
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: ordered to attend and satisfactorily complete 20 hours of continuing education concerning supervisory responsibilities
<b>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?</b>	No



**(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?**

**(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**



**(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?**

#### **Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** Any principal capacity

**Duration:** three months

**Start Date:** 01/03/2022

**End Date:** 04/02/2022

#### **Monetary Sanction 1 of 1**

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

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**



<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	01/03/2022
<b>Docket/Case Number:</b>	<a href="#">2020066887201</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	JOSEPH STONE CAPITAL, LLC
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Allegations:</b>	Failed to reasonably supervise a registered representative at his member firm.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	12/08/2021
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Requalification
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	General Securities Principal
<b>Duration:</b>	2 months
<b>Start Date:</b>	01/03/2022
<b>End Date:</b>	04/03/2022
<b>Requalification 1 of 1</b>	
<b>Requalification Type:</b>	Re-Training



<b>Length of time given to requalify:</b>	120 days
<b>Type of exam required :</b>	Quest CE
<b>Has condition been satisfied:</b>	Yes
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$0.00
<b>Payment Plan:</b>	No
<b>Is Payment Plan Current:</b>	No
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## Customer Dispute - Settled

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

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	GUNNALLEN FINANCIAL
<b>Allegations:</b>	CLIENT'S COUNSEL ALLEGES UNSUITABILITY, CHURNING, EXCESSIVE MARGINS AND COMMISSIONS
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$80,822.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/13/2005
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	04/07/2006
<b>Settlement Amount:</b>	\$9,000.00
<b>Individual Contribution Amount:</b>	\$9,000.00
<b>Broker Statement</b>	CLAIM WAS FRIVOLOUS AND UNFOUNDED. IT COST MORE TO DEFEND THAN TO SETTLE.





## 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:** Broker

**Employing firm when activities occurred which led to the complaint:** AMERICAN CAPITAL PARTNERS. LLC

**Allegations:** CLIENT SENT COMPLAINT TO FINRA ALLEDGING UNAUTHORIZED TRANSACTIONS AND CHURNING.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$7,500.00

### Customer Complaint Information

**Date Complaint Received:** 05/09/2008

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 08/26/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** RESPONSE SENT TO FINRA 06/06/2008. AFTER REVIEW DEEMED TO CLOSE W/ NO ACTION. CLIENT NEVER MADE COMPLAINT TO COMPLIANCE OR HOME OFFICE AND ALL TRANSACTIONS AUTHORIZED AS UNAUTHORIZED TRADING ALLEGED. THE COMMISSION CHARGES ON EACH TRANSACTION WERE LIMITED, THE VAST MAJORITY < 2% AND MANY CHARGED < 1%.

### Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** AMERICAN CAPITAL PARTNERS, LLC

**Allegations:** COMPLAINT SENT TO FINRA ALLEDGING EXCESSIVE TRADING AND MARK-



**Product Type:** UPS.  
Equity - OTC

**Alleged Damages:** \$8,000.00

**Customer Complaint Information**

**Date Complaint Received:** 03/07/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/20/2008

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement** A FAIR REVIEW OF ACCOUNT DETERMINED ANNUALIZED TOA OF 6X AND  
AVERAGE COMMISSION PER TRADE OF \$130.00. COMPLAINT DENIED.



## Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 13
<b>Action Date:</b>	12/07/2016
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	UNITED STATES BANKRUPTCY COURT
<b>Location of Court:</b>	NASSAU COUNTY
<b>Docket/Case #:</b>	1675670
<b>Action Pending?</b>	No
<b>Disposition:</b>	REPRESENTATIVE WITHDREW PETITION
<b>Disposition Date:</b>	12/07/2017
<b>Broker Statement</b>	REPRESENTATIVE FILED FOR CHAPTER 13 BANKRUPTCY PROTECTION THEN WITHDREW THE PETITION ON ADVICE OF LEGAL COUNCIL. BECAUSE REPRESENTATIVE WITHDREW PETITION, HE BELIEVED THIS SHOULD NOT BE A REPORTABLE EVENT. UPON DISCUSSION WITH FINRA, REP IS MAKING NECESSARY FORM U4 DRP FILINGS.

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 13
<b>Action Date:</b>	01/30/2018
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court



<b>Name of Court:</b>	UNITED STATES BANKRUPTCY COURT
<b>Location of Court:</b>	NASSAU COUNTY
<b>Docket/Case #:</b>	1870655
<b>Action Pending?</b>	No
<b>Disposition:</b>	REPRESENTATIVE WITHDREW PETITION
<b>Disposition Date:</b>	12/01/2018
<b>Broker Statement</b>	REPRESENTATIVE FILED FOR CHAPTER 13 BANKRUPTCY PROTECTION THEN WITHDREW THE PETITION ON ADVICE OF LEGAL COUNCIL. BECAUSE REPRESENTATIVE WITHDREW PETITION, HE BELIEVED THIS SHOULD NOT BE A REPORTABLE EVENT. UPON DISCUSSION WITH FINRA, REP IS MAKINING NECESSARY FORM U4 DRP FILINGS.

## End of Report



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