

BrokerCheck Report

Robert Prettyman

CRD# 5613767

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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)

Robert Prettyman

CRD# 5613767

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:

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

Registration History

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

- B CAMBRIDGE INVESTMENT RESEARCH, INC.**
CRD# 39543
Wilmington, DE
07/2019 - 06/2021
- B HORNOR, TOWNSEND & KENT, LLC**
CRD# 4031
WILMINGTON, DE
02/2009 - 06/2019

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	3
Criminal	1
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 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 0 principal/supervisory exams, 2 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 Investment Company Products/Variable Contracts Representative Examination	Series 6	02/09/2009

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/29/2023
B Uniform Securities Agent State Law Examination	Series 63	01/14/2009

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2019 - 06/2021	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Wilmington, DE
B 02/2009 - 06/2019	HORNOR, TOWNSEND & KENT, LLC	4031	WILMINGTON, DE

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
09/2025 - Present	PTS Brokerage, LLC	IAR	Y	Mount Laurel, NJ, United States
10/2024 - Present	MRM Associates	Property Manager	N	Wilmington, DE, United States
01/2024 - Present	Turbo Tax	Tax Associate	N	Bear, DE, United States
12/2008 - Present	Brandon Prettyman	Insurance Agent	Y	Bear, DE, United States
01/2024 - 09/2024	PTS Brokerage, LLC	IAR	Y	Mount Laurel, NJ, United States
08/2021 - 12/2021	Advisory Services Network, LLC	Investment Adviser Representative	Y	Atlanta, GA, United States
06/2021 - 07/2021	Kovack Advisors, Inc.	Investment Advisor	Y	Fort Lauderdale, FL, United States
07/2019 - 06/2021	Cambridge Investment Research Advisors, Inc.	INVESTMENT ADVISER REPRESENTATIVE	Y	Fairfield, IA, United States
07/2019 - 06/2021	Cambridge Investment Research, Inc.	REGISTERED REPRESENTATIVE	Y	Fairfield, IA, United States
02/2009 - 05/2019	HORNOR TOWNSEND & KENT INC	Registered Representative	Y	HORSHAM, PA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2009 - 05/2019	PENN MUTUAL LIFE INSURANCE CO	Agent	Y	HORSHAM, PA, 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.

1)SWA PROPERTIES LLC: PRESIDENT, MEMBER SINCE 03/2020; LLC TO HOLD OFFICE BUILDING REAL ESTATE. TIME SPENT APPROX. 1 HR. PER MONTH, NONE DURING TRADING HOURS. NOT INVESTMENT RELATED. 2) INSURANCE AGENT: LICENSED FOR LIFE, HEALTH INSURANCE SINCE 12/2008. TIME SPENT LESS THAN 5 HOURS PER MONTH, ALL DURING TRADING HOURS. INVESTMENT RELATED ACTIVITY. 3) PART TIME PROPERTY MANAGER OF SEVERAL COMMERCIAL REAL ESTATE PROPERTIES THAT ARE FAMILY OWNED. TIME SPENT LESS THAN 5 HOURS PER MONTH, NONE DURING TRADING HOURS. 4.) PART TIME SEASONAL TAX ASSOCIATE PREPARING TAX RETURNS FOR INDIVIDUALS. LESS THAN 15 HOURS PER WEEK, SOME DURING TRADING HOURS.



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.
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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:**
 - 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	3	0
Criminal	0	1	0
Termination	N/A	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	The Investor Protection Unit of the Delaware Department of Justice
Sanction(s) Sought:	Bar Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/03/2024
Docket/Case Number:	24-0117
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	PTS Brokerage, LLC #119307
Product Type:	No Product
Allegations:	The IPU Director concluded the following: Robert "Brandon" Prettyman viewed account information of at least five former Delaware clients without their knowledge and while not registered to do business as an investment adviser representative, which constitutes a dishonest and unethical practice, violating the Delaware Securities Act and terms per the 2023 Consent Order, no. 21-0127.



Prettyman continued to view the clients' information while unregistered after issuance of a Summary Order to stop view the clients' accounts, violating the Summary Order.

Current Status:	Final
Resolution:	Consent
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:	10/07/2024
Sanctions Ordered:	Bar (Temporary/Time Limited) Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	No investment advisory/securities activities in and w/Delaware clients and using of eMoney or any other third party aggregator.
Duration:	six (6) months
Start Date:	10/07/2024
End Date:	04/07/2025
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$30,000.00
Portion Levied against individual:	\$30,000.00
Payment Plan:	Payment shall be suspended and come immediately due and payable upon failure to comply with any terms of the Consent Order.
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement**

Robert "Brandon" Prettyman will be permitted to apply for restricted registration as a solicitor only with heightened supervision, no earlier than 30 days prior to the end of Extended Bar Period. Upon approval of Prettyman's restricted "solicitor only" registration, Prettyman shall remain registered as a "solicitor only" in Delaware for a minimum period of 6 months from the date of approval. Prettyman will be permitted to apply for restricted registration as a broker dealer agent and/or an investment adviser representative, with heightened supervision, no earlier than 30 days prior to the end of the Solicitation Only Period.

Reporting Source:

Broker

Regulatory Action Initiated By:

The Investor Protection Unit of the Delaware Department of Justice

Sanction(s) Sought:

Bar
Cease and Desist
Denial

Date Initiated:

05/03/2024

Docket/Case Number:

24-0117

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

PTS Brokerage LLC

Product Type:

No Product

Allegations:

DE alleged that Prettyman acted as an investment advisor while unregistered. Evidently, he viewed prior client account info on eMoney while seeking registration in DE.

Current Status:

Final

Resolution:

Consent

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:

10/07/2024

Sanctions Ordered:

Bar (Temporary/Time Limited)



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

Sanction 1 of 1

Sanction Type: Bar (Temporary/Time Limited)
Capacities Affected: No investment advisory/securities activities in and w/Delaware clients and using of eMoney or any other third partyaggregator.
Duration: six (6) months
Start Date: 10/07/2024
End Date: 04/07/2025

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$30,000.00
Portion Levied against individual: \$30,000.00
Payment Plan: Payment shall be suspended and come immediately due and payable upon failure to comply with any terms of theConsent Order.
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

Amount Waived:

Broker Statement Robert "Brandon" Prettyman will be permitted to apply for restricted registration as a solicitor only with heightenedsupervision, no earlier than 30 days prior to the end of Extended Bar Period. Upon approval of Prettyman's restricted"solicitor only" registration, Prettyman shall remain registered as a "solicitor only" in Delaware for a minumum period of 6months from the date of approval. Prettyman will be permitted to apply for restricted registration as a broker dealer agentand/or an investment adviser representative, with heightened supervsion, no earlier than 30 days prior to the end of theSolicitation Only Period.

Disclosure 2 of 3

Reporting Source: Regulator
Regulatory Action Initiated By: The Investor Protection Unit of the Delaware Department of Justice



Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Denial Disgorgement Monetary Penalty other than Fines
Date Initiated:	12/03/2021
Docket/Case Number:	21-0127
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	Robert "Brandon" Prettyman, dba Summit Wealth Advisors, (i) made materially false and misleading statements to the Investor Protection Unit regarding the nature of his termination by a former employer, (ii) allowed false and misleading registration forms to be filed on his behalf, (iii) engaged in dishonest or unethical practices by filing incomplete or inaccurate registration materials, and (iv) operated as an investment adviser representative while unregistered.
Current Status:	Final
Resolution:	Consent
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:	02/08/2023
Sanctions Ordered:	Bar (Temporary/Time Limited) Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	All Capacities.
Duration:	30 months
Start Date:	06/30/2021



End Date:	12/31/2023
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$60,000.00
Portion Levied against individual:	\$60,000.00
Payment Plan:	\$50,000 in fines and \$10,000 in costs to be paid in sums of \$10,000 beginning on Jun. 1, 2023 and ending on Dec. 1, 2025.
Is Payment Plan Current:	Yes
Date Paid by individual:	05/22/2023
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Robert "Brandon" Prettyman may apply for conditional registration, which will include heightened supervision, on January 1, 2024 as long as he has complied with all conditions of the consent order.
<hr/>	
Reporting Source:	Broker
Regulatory Action Initiated By:	The Investor Protection Unit of the Delaware Department of Justice
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Denial Disgorgement Monetary Penalty other than Fines
Date Initiated:	12/03/2021
Docket/Case Number:	21-0127
Employing firm when activity occurred which led to the regulatory action:	Hornor, Townsend & Kent / Cambridge / Advisory Services Network.
Product Type:	No Product
Allegations:	Robert "Brandon" Prettyman, dba Summit Wealth Advisors, (i) made materially false and misleading statements to the Investor Protection Unit regarding the nature of his termination by a former employer, (ii) allowed false and misleading



registration forms to be filed on his behalf, (iii) engaged in dishonest or unethical practices by filing incomplete or inaccurate registration materials, and (iv) operated as an investment adviser representative while unregistered.

Current Status:	Final
Resolution:	Consent
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:	02/08/2023
Sanctions Ordered:	Bar (Temporary/Time Limited) Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	All Capacities
Duration:	30 Months
Start Date:	06/30/2021
End Date:	12/31/2023
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$60,000.00
Portion Levied against individual:	\$60,000.00
Payment Plan:	\$50,000 in fines and \$10,000 in costs to be paid in sums of \$10,000 beginning on Jun. 1, 2023 and ending on Dec. 1, 2025
Is Payment Plan Current:	Yes
Date Paid by individual:	05/22/2023
Was any portion of penalty waived?	No
Amount Waived:	

**Broker Statement**

Robert "Brandon" Prettyman may apply for conditional registration, which will include heightened supervision, on January 1, 2024 as long as he has complied with all conditions of the consent order.

Disclosure 3 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	06/22/2021
Docket/Case Number:	2019062974201
Employing firm when activity occurred which led to the regulatory action:	HORNOR, TOWNSEND & KENT, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Prettyman consented to the sanctions and to the entry of findings that he reused customers' signatures on documents for account openings and transactions, including distribution requests, and on certain documents, altered the signature date and/or other information with ink and correction fluid. The findings stated that Prettyman then submitted the documents to his member firm. The underlying transactions were all authorized and none of the customers complained.
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?	No
Resolution Date:	06/22/2021
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?

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: All Capacities
Duration: 1 month
Start Date: 07/19/2021
End Date: 08/18/2021

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: 09/13/2021
Was any portion of penalty waived? No

Amount Waived:



Reporting Source: Firm
Regulatory Action Initiated By: Financial Industry Regulatory Authority
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
 Suspension
Date Initiated: 06/17/2021
Docket/Case Number: [2019062974201](#)
Employing firm when activity occurred which led to the regulatory action: Horner, Townsend & Kent, LLC
Product Type: No Product
Allegations: Between January 2014 and March 2019, RR reused customers' signatures on approximately 25 customer-related documents, including account opening and other transaction documents, and used correct fluid to alter signature dates and other information on certain documents. Those documents were then submitted to the firm. RR violated FINRA Rule 2010.
Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 06/11/2021
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? 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: All Capacities
Duration: 1 month
Start Date: 07/19/2021
End Date: 08/18/2021

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: 06/11/2021
Was any portion of penalty waived? No

Amount Waived:



Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	06/22/2021
Docket/Case Number:	2019062974201
Employing firm when activity occurred which led to the regulatory action:	HORNOR, TOWNSEND & KENT, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Prettyman consented to the sanctions and to the entry of findings that he reused customers' signatures on documents for account openings and transactions, including distribution requests, and on certain documents, altered the signature date and/or other information with ink and correction fluid. The findings stated that Prettyman then submitted the documents to his member firm. The underlying transactions were all authorized and none of the customers complained.
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?	No
Resolution Date:	06/22/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	1 month



Start Date: 07/19/2021

End Date: 08/18/2021

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:



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
Formal Charges were brought in:	State Court
Name of Court:	Court of Common Pleas - New Castle County
Location of Court:	New Castle County, Delaware
Docket/Case #:	3223055060
Charge Date:	07/20/2023
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Burglary First Degree - Occupied Dwelling
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	10/30/2023
Charge was Amended or reduced to:	Criminal Trespass First Degree
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Not Guilty
Disposition of Amended Charge:	Nolle Prosequi
Current Status:	Final
Status Date:	04/02/2024
Disposition Date:	04/02/2024



Sentence/Penalty:

No sentence, penalty, fine, etc. was imposed as the above charge was Nolle Prosequi.

Broker Statement

After finding out that my wife was having an affair, we attempted to work through things several times over the next month and a half. Unfortunately, an argument occurred on July 19th and she called the police because I was unlawfully in my house due to a no contact order that was in effect. It was at that time in which I was charged with burglary in the first degree. Nothing was taken nor removed from the house. In the state of Delaware, burglary is defined as knowingly entering or remaining unlawfully in an occupied dwelling. It is worth noting that this incident occurred in my own house that I am the sole owner of. Shortly thereafter, realizing that I should have never been charged with burglary, the state reduced the charge to criminal trespassing, which ultimately ended up being nolle prosequi (dropped) by the state on April 2, 2024.



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 2

Reporting Source:	Firm
Employer Name:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Termination Type:	Permitted to Resign
Termination Date:	06/11/2021
Allegations:	Between January 2014 and March 2019, Prettyman reused customers' signatures on approximately 25 customer-related documents, including account opening and transaction documents, and used correction fluid to alter signature dates and other information on certain of the documents. He then submitted those documents to the firm. Prettyman thereby violated FINRA Rule 2010.
Product Type:	No Product

Disclosure 2 of 2

Reporting Source:	Firm
Employer Name:	HORNOR, TOWNSEND & KENT, LLC
Termination Type:	Discharged
Termination Date:	05/29/2019
Allegations:	Registered Representative was terminated for violating member firm policy by use of copied signature pages to open multiple accounts for the same client and changing dates on client paperwork.
Product Type:	Annuity-Variable Other: ACCOUNT OPENING DOCUMENTS

Reporting Source:	Broker
Employer Name:	HORNOR, TOWNSEND, & KENT, LLC
Termination Type:	Discharged
Termination Date:	05/29/2019
Allegations:	Registered Representative was terminated for violating member firm policy by use of copied signature pages to open multiple accounts for the same client and



changing dates on client paperwork.

Product Type:

Annuity-Variable

Other: ACCOUNT OPENING DOCUMENTS

End of Report



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