

## BrokerCheck Report

### JEREMY DILLON BALDWIN

CRD# 5743175

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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](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).

**JEREMY D. BALDWIN**

CRD# 5743175

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

### Registration History

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

- B** **BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.**  
CRD# 139627  
Edmond, OK  
08/2017 - 12/2022
- B** **WILBANKS SECURITIES, INC.**  
CRD# 40673  
Edmond, OK  
01/2013 - 08/2017
- B** **SIGNATOR INVESTORS, INC.**  
CRD# 468  
OKLAHOMA CITY, OK  
03/2010 - 12/2012

### 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 | 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, 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>B</b> Securities Industry Essentials Examination                                | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination                             | Series 7 | 02/19/2014 |
| <b>B</b> Investment Company Products/Variable Contracts Representative Examination | Series 6 | 03/23/2010 |

### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination    | Series 65 | 09/16/2014 |
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 03/30/2010 |

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> 08/2017 - 12/2022 | BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC. | 139627 | Edmond, OK        |
| <b>B</b> 01/2013 - 08/2017 | WILBANKS SECURITIES, INC.                      | 40673  | Edmond, OK        |
| <b>B</b> 03/2010 - 12/2012 | SIGNATOR INVESTORS, INC.                       | 468    | OKLAHOMA CITY, OK |

### Employment History

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

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

| Employment        | Employer Name  | Position                                     | Investment Related | Employer Location                |
|-------------------|--|--|--------------------|----------------------------------|
| 07/2022 - Present | THE BALDWIN INSURANCE FIRM, LLC                              | Insurance Advisor                            | N                  | OKLAHOMA CITY, OK, United States |
| 02/2022 - Present | BALDWIN FINANCIAL, LLC (CRD#:324725)                         | Managing Member and Chief Compliance Officer | Y                  | OKLAHOMA CITY, OK, United States |
| 04/2022 - 12/2025 | THE BALDWIN FIRM, PLLC                                       | CFO/COO                                      | N                  | Edmond, OK, United States        |
| 08/2017 - 12/2022 | BROKERS FINANCIAL (CRD#:139627)                              | Investment Advisor Representative            | Y                  | OKC, OK, United States           |
| 08/2017 - 12/2022 | BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC. (CRD#:139627) | Investment Advisor Representative            | Y                  | OKC, OK, United States           |
| 10/2014 - 07/2022 | STOCKTON & ASSOCIATES  | Benefits Advisor                             | N                  | Edmond, OK, United States        |
| 10/2014 - 08/2017 | WILBANKS SECURITIES ADVISORY (CRD# 118304)                   | Investment Advisor Representative            | Y                  | OKLAHOMA CITY, OK, United States |
| 01/2013 - 08/2017 | WILBANKS SECURITIES ADVISORY (CRD#:118304)                   | Financial Advisor                            | Y                  | Oklahoma City, OK, 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.

No information reported.

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## 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.
  -
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       | 2     | 0         |



## 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 2

|  |   |
|--|---|
| <b>Reporting Source:</b>   | Regulator   |
| <b>Regulatory Action Initiated By:</b>   | Oklahoma Department of Securities   |
| <b>Sanction(s) Sought:</b>   | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension<br>Other: Summary order postponing application for registration   |
| <b>Date Initiated:</b>   | 02/11/2026  |
| <b>Docket/Case Number:</b>   | ODS 25-079  |
| <b>URL for Regulatory Action:</b>  | <a +"="" href="https://www.securities.ok.gov/Enforcement/Orders/?SearchText=baldwin&amp;SortID=Filed+Date&amp;Display=2026&amp;SearchBtn=">https://www.securities.ok.gov/Enforcement/Orders/?SearchText=baldwin&amp;SortID=Filed+Date&amp;Display=2026&amp;SearchBtn=+</a>  |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | Integrity Alliance, LLC f/k/a "Brokers International Financial Services, LLC" (CRD No. 139627) and Baldwin Financial, LLC (CRD No. 324725)  |
| <b>Product Type:</b>   | No Product  |
| <b>Allegations:</b>  | Jeremy D. Baldwin (Baldwin) is the subject of an order, issued after notice and opportunity for hearing, by a self-regulatory organization suspending Baldwin from membership. Baldwin engaged in dishonest and unethical practices in the securities business from August 2017 to August 2022, in violation of Rule 660:11-5-42(b), by failing to observe high standards of commercial honor and just and equitable principles of trade and by violating FINRA Rules 3270 and 2010. From August 2017 to August 2022, Baldwin transacted business in this state as an |



unregistered investment adviser in violation of Section 1-403 of the Oklahoma Uniform Securities Act of 2004 (Act), Okla. Stat. tit. 71, sections 1-101 through 1-701. From August 2017 to August 2022, Baldwin did not promptly file a correcting amendment to his Form U4 when it became materially inaccurate or incomplete because it did not disclose his unregistered investment advisory business, in violation of Section 1-406 of the Act. From August 2017 to August 2022, Baldwin engaged in an act, practice, and course of business that operated or would operate as a fraud or deceit upon another person in violation of Section 1-502(A)(3) of the Act by sending fee invoices directing payment to, and accepting checks made payable to, a former investment adviser with which he was associated. Baldwin and Baldwin Financial, LLC, have impeded designees of the Administrator from conducting an audit or inspection under Section 1-410(D) of the Act and Rule 660:11-7-45. Baldwin and Baldwin Financial failed to file an annual updating amendment to Baldwin Financial's Form ADV before March 31, 2025, in violation of Rule 660:11-7-31(a).

**Current Status:**

Final

**Limitation Details:**

On February 11, 2026, the Administrator of the Oklahoma Department of Securities entered a Summary Order postponing Baldwin's application for registration as an investment adviser representative and suspending Baldwin Financial's registration as an investment adviser, until a final determination of the administrative proceeding.

**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:**

04/16/2026

**Sanctions Ordered:**

Censure

Restitution

Suspension

Other: Baldwin's application for registration under the Act as an investment adviser representative of Baldwin Financial has been approved and immediately suspended until the later of 30 days from the date of the Order or Respondents' full production of the documents set forth in subsections A through H of Section 5 of the Agreement or, for any documents that cannot be produced, a written explanation of why the documents cannot be produced. Baldwin shall complete all the investment adviser continuing education required by Rule 660:11-7-49 for the years 2025 and 2026 (24 credits) within 30 days of the date of the Order. Baldwin shall provide the Department with a Personal Financial Statement within 30 days



of the date of the Order. Within 15 days from the date of the Order, Baldwin shall file an amended Form U4 to disclose any outstanding judgments/liens against him in response to Question 14M, and to make any additional, necessary updates to his Form U4. Within 180 days of the date of the Order, Baldwin shall prepare a schedule of the dates and amounts of all the checks made payable to [WSA] that Baldwin received after August 1, 2017, from the 401(k) plan sponsor referred to in paragraphs 18 and 19 of the Order's "Findings of Fact," and refund the total sum of those checks to the 401(k) plan sponsor. Within 15 days of making the payment required by paragraph J above, Baldwin shall provide the Department with copies of the schedule and payment and an affidavit stating that the schedule accurately states the date and amounts of all checks, made payable to [WSA], that Baldwin received from the 401(k) plan sponsor after August 1, 2017. Baldwin is censured for violating the Act and Rules. Baldwin shall fully comply with the Agreement.

### Sanction 1 of 1

|                             |                                   |
|-----------------------------|-----------------------------------|
| <b>Sanction Type:</b>       | Suspension                        |
| <b>Capacities Affected:</b> | Investment Adviser Representative |
| <b>Duration:</b>            | 30+                               |
| <b>Start Date:</b>          | 04/16/2026                        |
| <b>End Date:</b>            | 05/16/2026                        |

### Monetary Sanction 1 of 1

|   |             |
|---|-------------|
| <b>Monetary Related Sanction:</b>         | Restitution |
| <b>Total Amount:</b>                      | \$0.00      |
| <b>Portion Levied against individual:</b> | \$0.00      |

### Payment Plan:

**Is Payment Plan Current:**

**Date Paid by individual:**

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

**Amount Waived:**

**Regulator Statement** The dollar amount of the required restitution has not been determined yet.

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**Reporting Source:** Broker



|   |   |
|---|---|
| <b>Regulatory Action Initiated By:</b>  | Oklahoma Department of Securities   |
| <b>Sanction(s) Sought:</b>  | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension   |
| <b>Date Initiated:</b>  | 02/11/2026  |
| <b>Docket/Case Number:</b>  | ODS 25-079  |
| <b>Employing firm when activity occurred which led to the regulatory action:</b>  | Integrity Alliance, LLC f/k/a "Brokers International Financial Services, LLC" (CRD No. 139627) and Baldwin Financial, LLC (CRD No. 324725)  |
| <b>Product Type:</b>  | No Product  |
| <b>Allegations:</b>   | ODS alleged (ODS 25-079) that from Aug. 2017-Aug. 2022 the individual engaged in dishonest and unethical practices in the securities business (including alleged violations tied to standards of commercial honor and FINRA Rules 3270/2010), transacted business in Oklahoma as an unregistered investment adviser, failed to timely amend Form U4, and engaged in conduct alleged to operate as fraud or deceit related to invoicing/payment direction. ODS also alleged impediment of an audit/inspection and failure to file an annual updating amendment to the firm's Form ADV by the required deadline |
| <b>Current Status:</b>  | Final   |
| <b>Resolution:</b>  | Consent   |
| <b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b> | Yes   |
| <b>Resolution Date:</b>   | 04/16/2026  |
| <b>Sanctions Ordered:</b>   | Restitution<br>Suspension<br>Other: CE completion, refund schedule/affidavit obligations  |
| <b>Sanction 1 of 1</b>  |   |
| <b>Sanction Type:</b>   | Suspension  |
| <b>Capacities Affected:</b>   | General Securities Principal  |
| <b>Duration:</b>  | 30 days   |
| <b>Start Date:</b>  | 04/16/2026  |



**End Date:** 05/16/2026

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Restitution

**Total Amount:** \$0.00

**Portion Levied against individual:** \$0.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

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

**Amount Waived:**

**Broker Statement** Final Consent Order (ODS 25-079) dated 04/16/2026. Sanctions included censure, suspension, restitution obligations and additional conditions as stated in the Order

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 10/04/2024

**Docket/Case Number:** 2022077410701

**Employing firm when activity occurred which led to the regulatory action:** Brokers International Financial Services, LLC

**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Baldwin consented to the sanctions and to the entry of findings that he engaged in an undisclosed OBA by acting as an investment advisor for a 401(k) plan without providing prior written notice from his member firm. The findings stated that Baldwin received compensation from the 401(k) sponsor for the services he provided, including facilitating employee enrollment, and acting as an intermediary between the sponsor and the 401(k)



provider and administrator. Baldwin also falsely attested that he did not have any undisclosed OBA's on annual firm questionnaires. The findings also stated that Baldwin falsified firm records when he completed annual compliance questionnaires for another representative and submitted them to the firm. Although Baldwin completed and submitted the questionnaires at the other representative's request, the other representative did not review the questionnaires for accuracy or completeness prior to their submission creating the false impression that the other registered representative had completed the questionnaires.

|   |   |
|---|---|
| <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>   | 10/04/2024  |
| <b>Sanctions Ordered:</b>   | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension |
| <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:** All Capacities  
**Duration:** Five months  
**Start Date:** 10/07/2024  
**End Date:** 03/06/2025

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$7,500.00  
**Portion Levied against individual:** \$7,500.00  
**Payment Plan:** Deferred  
**Is Payment Plan Current:**  
**Date Paid by individual:**  
**Was any portion of penalty waived?** No

**Amount Waived:**

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|   |   |
|---|---|
| <b>Reporting Source:</b>  | Broker  |
| <b>Regulatory Action Initiated By:</b>  | Financial Industry Regulatory Authority (FINRA)   |
| <b>Sanction(s) Sought:</b>  | Civil and Administrative Penalty(ies)/Fine(s)   |
| <b>Date Initiated:</b>  | 10/04/2024  |
| <b>Docket/Case Number:</b>  | 2022077410701   |
| <b>Employing firm when activity occurred which led to the regulatory action:</b>  | Brokers International Financial Services, LLC   |
| <b>Product Type:</b>  | No Product  |
| <b>Allegations:</b>   | <p>Without admitting or denying the findings, the individual consented to findings that he engaged in an undisclosed outside business activity by acting as an investment advisor for a 401(k) plan without providing prior written notice to the member firm and received compensation for services. The 401(k) relationship originated through another representative with whom the individual had an existing business relationship, and the individual's involvement in the advisory services arose from that relationship.</p> <p>The findings further stated that the individual falsely attested that he did not have any undisclosed outside business activities on annual firm questionnaires and submitted compliance and continuing education-related questionnaires on behalf of another representative without that representative's review, creating the impression that the other representative had completed the required submissions.</p> |
| <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>   | 10/04/2024  |
| <b>Sanctions Ordered:</b>   | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension   |
| <b>Sanction 1 of 1</b>  |   |



**Sanction Type:** Suspension  
**Capacities Affected:** All Capacities  
**Duration:** 5 Months  
**Start Date:** 10/07/2024  
**End Date:** 03/06/2025

**Monetary Sanction 1 of 1**

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

**Total Amount:** \$7,500.00

**Portion Levied against individual:** \$7,500.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

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

**Amount Waived:**

**Broker Statement**

Final FINRA AWC dated 10/04/2024 (Case 2022077410701). Sanctions included a five-month suspension (10/07/2024-03/06/2025) and a \$7,500 fine. No finding of willful violation, failure to supervise, or fraud-based final order.

## End of Report



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