

BrokerCheck Report

LARRY JAY FURRER

CRD# 717583

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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.

LARRY J. FURRER

CRD# 717583

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

- B AMUNI FINANCIAL, INC.**
 1501 N UNIVERSITY AVE
 SUITE 330
 LITTLE ROCK, AR 72207
 CRD# 8365
 Registered with this firm since: 01/27/1993

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
- 18 U.S. states and territories

This broker has passed:

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

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

- B POWELL & SATTERFIELD, INC.**
 CRD# 7030
 LITTLE ROCK, AR
 08/1990 - 12/1992
- B RESOURCE SECURITIES CORPORATION**
 CRD# 8696
 ATLANTA, GA
 01/1990 - 12/1990
- B SWINK & COMPANY, INC.**
 CRD# 7111
 10/1980 - 01/1990

**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



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 18 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMUNI FINANCIAL, INC.**

Main Office Address: **720 SECOND AVE S.
ST. PETERSBURG, FL 33701**

Firm CRD#: **8365**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	01/27/1993
B	FINRA	General Securities Principal	Approved	01/27/1993
B	FINRA	General Securities Representative	Approved	01/27/1993
B	FINRA	Municipal Securities Principal	Approved	01/27/1993
B	FINRA	Registered Options Principal	Approved	01/27/1993
B	FINRA	Operations Professional	Approved	12/15/2011

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/15/2025
B	Arkansas	Agent	Approved	01/27/1993
B	California	Agent	Approved	04/15/2011
B	Colorado	Agent	Approved	04/08/2016
B	Connecticut	Agent	Approved	05/23/2008
B	Florida	Agent	Approved	10/18/1993
B	Georgia	Agent	Approved	02/16/2007



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	02/16/2007
B	Maryland	Agent	Approved	10/30/2020
B	Massachusetts	Agent	Approved	07/14/1994
B	Michigan	Agent	Approved	03/04/2014
B	Mississippi	Agent	Approved	01/15/2014
B	Missouri	Agent	Approved	04/14/2011
B	New Jersey	Agent	Approved	05/10/2017
B	North Carolina	Agent	Approved	02/24/2021
B	South Carolina	Agent	Approved	06/07/2011
B	Texas	Agent	Approved	02/29/2000
B	Virginia	Agent	Approved	07/13/2012

Branch Office Locations

AMUNI FINANCIAL, INC.
 1501 N UNIVERSITY AVE
 SUITE 330
 LITTLE ROCK, AR 72207



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 4 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Registered Options Principal Examination	Series 4	10/21/1991
B Municipal Securities Principal Examination	Series 53	06/13/1991
B Financial and Operations Principal Examination	Series 27	11/03/1984
B General Securities Principal Examination	Series 24	10/31/1983

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	12/17/1985
B General Securities Representative Examination	Series 7	10/18/1980

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/11/1989

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
B 08/1990 - 12/1992	POWELL & SATTERFIELD, INC.	7030	LITTLE ROCK, AR
B 01/1990 - 12/1990	RESOURCE SECURITIES CORPORATION	8696	ATLANTA, GA
B 10/1980 - 01/1990	SWINK & COMPANY, INC.	7111	

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
01/1993 - Present	AMERICAN MUNICIPAL SECURITIES, INC.	NOT PROVIDED	Y	LITTLE ROCK, AR, 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.

KIWANIS CLUB/NOT INVESTMENT RELATED/PO BOX 56007 LITTLE ROCK AR 72215/COMMUNITY SERVICE/SECRETARY-TREASURER/MARCH 5 2018/WILL WORK ABOUT 6 HOURS MONTHLY NOT DURING TRADING HOURS/I WILL MAKE REPORTS, PREPARE BURGETS AND WRITE CHECKS AS INSTRUCTED.

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	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

Reporting Source: Regulator
Regulatory Action Initiated By: MASSACHUSETTS SECURITIES DIVISION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/24/1992

Docket/Case Number: E-91-182

Employing firm when activity occurred which led to the regulatory action: POWELL & SATTERFIELD, INC.

Product Type:

Other Product Type(s):

Allegations: ON OR ABOUT NOVEMBER 1, 1991 THE DIVISION RECIEVED FROM POWELL & SATTERFIELD, et al. A FORM BD REQUESTING BROKER-DEALER REGISTRATION IN MASSACHUSETTS. POWELL & SATTERFIELD HAD NO PREVIOUSLY BEEN REGISTERED AS A BROKER-DEALER IN MASSACHUSETTS. PURSUANT TO SECTION 202(a) OF THE ACT, REGISTRATION OF POWELL & SATTERFIELD AUTOMATICALLY CONSTITUTES REGISTRATION OF ANY AGENT WHO IS A PARTNER, OFFICER



OR DIRECTOR OR A PERSON OCCUPYING A SIMILAR STATUS OR PERFORMING SIMILAR FUNCTIONS. REGISTRATION OF POWELL & SATTERFIELD WOULD RESULT IN REGISTRATION OF JOSEPH POWELL, WILLIAM W. SATTERFIELD, RICHARD TORTI, SCOTT WELCH, MICHAEL TOGNETTI AND LARRY FURRER. IN CONNECTION WITH THE APPLICATION POWELL & SATTERFIELD WAS REQUIRED TO DISCLOSE TO THE DIVISION ANY SECURITIES TRANSACTIONS IN WHICH IT HAD ENGAGED FOR THE ACCOUNTS OF MASS. RESIDENTS. POWELL & SATTERFIELD SUBMITTED A STATEMENT SIGNED BY ITS EXECUTIVE VICE PRESIDENT ON OCTOBER 31, 1991 WHICH STATED THEREIN THAT "NO EMPLOYEE, OFFICER, DIRECTOR OR OTHER PERSON HAS MADE ANY OFFER OR SALE OF A SECURITY OR ENGAGED IN ANY TRANSACTIONS IN SECURITIES IN THE COMMONWEALTH PRIOR TO THE APPLICATION ON BEHALF OF THE BROKER-DEALER OR ITS AFFILIATES." SUBSEQUENT TO THE REGISTRATION OF POWELL & SATTERFIELD THE DIVISION BECAME AWARE OF THIRTY TRANSACTIONS IN SECURITIES, EFFECTED BY POWELL & SATTERFIELD FOR THE ACCOUNTS OF MASS. CUSTOMERS, WHICH OCCURRED AT TIMES PRIOR TO THE APPLICATION OR PRIOR TO THE EFFECTIVE REGISTRATION OF POWELL & SATTERFIELD IN MASSACHUSETTS.

Current Status:

Final

Resolution:

Consent

Resolution Date:

07/24/1992

Sanctions Ordered:

Disgorgement/Restitution
Monetary/Fine \$25,000.00

Other Sanctions Ordered:**Sanction Details:**

ON JULY 24, 1992 THE MASSACHUSETTS SECURITIES DIVISION AND POWELL & SATTERFIELD INC., JOSEPH POWELL, WILLIAM W. SATTERFIELD, RICHARD TORTI, SCOTT WELCH, MICHAEL TOGNETTI AND LARRY FURRER ENTERED INTO A CONSENT ORDER IN FINAL DISPOSITION OF ALL ISSUES IN THE ADMINISTRATIVE PROCEEDING INSTITUTED AGAINST THEM BY THE DIVISION.

Regulator Statement

ON JULY 24, 1992 A CONSENT ORDER WAS ENTERED INTO BY THE MASSACHUSETTS SECURITIES DIVISION WITH THE EXPRESS CONSENT OF POWELL & SATTERFIELD et al. WITHOUT ADMITTING OR DENYING THE FINDINGS OF FACT AND CONCLUSIONS OF LAW SET FORTH HEREIN, AND WITHOUT ADJUDICATION OF ANY ISSUE OF FACT OR LAW, THE RESPONDENTS HAVE, BY THEIR OFFER OF SETTLEMENT, CONSENTED TO THE ENTRY OF THIS ORDER. THE RESPONDENTS AGREE THAT THEY



WILL WITHDRAW FROM REGISTRATION AS A BROKER-DEALER IN MASS.
AND

WILL NOT SEEK TO BECOME REGISTERED IN MASS. FOR A PERIOD OF THE
EARLIER OF FIVE YEARS FOLLOWING THE DATE OF THIS ORDER TO TWO
YEARS FOLLOWING THE EMPLOYMENT BY POWELL & SATTERFIELD OF A
FULL TIME COMPLIANCE OFFICER WHO WILL BECOME REGISTERED AS AN
AGENT IN MASS.; POWELL & SATTERFIELD WILL PROVIDE WRITTEN
NOTIFICATION TO ALL OF ITS NON-INSTITUTIONAL MASS. CUSTOMERS OF
ITS WITHDRAWAL FROM REGISTRATION IN MASS WITHIN FOURTEEN DAYS
OF THE ENTRY OF THIS ORDER; POWELL & SATTERFIELD WILL NOT OPEN
ANY NON-INSTITUTIONAL CUSTOMERS ACCOUNTS FOR MASS. RESIDENTS
FOR ANY PURPOSE, INCLUDING BUT NOT LIMITED TO THE SAFEKEEPING
OF SECURITIES OR ACCOMODATION TRANSFERS, WITHOUT BEING
EFFECTIVELY REGISTERED AS A BROKER-DEALER IN THE
COMMONWEALTH;

IF POWELL & SATTERFIELD SEEK REGISTRATION AS A BROKER-DEALER IN
MASS., IT WILL SUBMIT AS PART OF ITS APPLICATION COPIES OF THE
RESULTS OF EACH AND EVERY ROUTINE AND/OR SPECIAL EXAMINATION
CONDUCTED BY THE NASD OR ANY OTHER SECURITIES SELF
REGULATORY
AGENCY DURING THE PERIOD BETWEEN THE DATE OF THIS ORDER AND
THE
APPLICATION. ALSO, THE RESPONDENTS SHALL PAY TO THE
COMMONWEALTH A FINE IN THE AMOUNT OF \$25,000.00, JOINTLY AND
SEVERALLY AS AGAINST THE RESPONDENTS; RESPONDENTS SHALL PAY TO
THE COMMONWEALTH INVESTIGATIVE COST AND DISGORGEMENT IN THE
AMOUNT OF \$1,000.00.

Reporting Source:	Broker
Regulatory Action Initiated By:	MASSACHUSETTS SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/24/1992
Docket/Case Number:	E-91-182
Employing firm when activity occurred which led to the regulatory action:	POWELL & SATTERFIELD, INC.
Product Type:	No Product

**Other Product Type(s):****Allegations:**

MASSACHUSETTS SECURITIES DIVISION ISSUED AN ADMINISTRATIVE PROCEEDING AGAINST APPLICANT ALLEGING THAT A MISLEADING DOCUMENT WAS FILED IN CONNECTION WITH IT'S APPLICATION FOR REGISTRATION.

Current Status:

Final

Resolution:

Consent

Resolution Date:

07/24/1992

Sanctions Ordered:

Disgorgement/Restitution
Monetary/Fine \$25,000.00

Other Sanctions Ordered:**Sanction Details:**

ENTERED INTO CONSENT ORDER #E-91-182 WITH THE COMMONWEALTH OF MASSACHUSETTS WHEREBY POWELL & SATTERFIELD, INC. WITHOUT ADMITTING OR DENYING, AGREES TO FINDINGS, INCLUDING BUT NOT LIMITED TO, THE FILING OF A MISLEADING DOCUMENT IN CONNECTION WITH THE FIRM'S BROKER-DEALER APPLICATION. FIRM WAS FINED \$25,000 AND WITHDREW IT'S APPLICATION.

Broker Statement

NOT PROVIDED

Disclosure 2 of 2**Reporting Source:**

Regulator

Regulatory Action Initiated By:

FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

10/18/1993

Docket/Case Number:

1884-S-4-93

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

AMERICAN MUNICIPAL SECURITIES, INC

Product Type:**Other Product Type(s):**



Allegations:	ON 10-18-93, THE STATE OF FLORIDA ISSUED A STIPULATION AND CONSENT AGREEMENT AND FINAL ORDER IN THE MATTER OF LARRY J. FURRER AS AN ASSOCIATED PERSON OF AMERICAN MUNICIPAL SECURITIES, INC.
Current Status:	Final
Resolution:	Consent
Resolution Date:	10/18/1993
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE ORDER SERVED TO APPROVE FURRER'S APPLICATION PURSUANT TO A REGISTRATION AGREEMENT. THE TERMS OF THE AGREEMENT PROVIDES BUT ARE NOT LIMITED TO, THE FOLLOWING: FURRER AGREES, NOT TO ACT IN ANY OWNER, PRINCIPAL, SUPERVISORY, CONTROL OR MANAGERIAL CAPACITY IN CONNECTION WITH HIS EMPLOYMENT. SUCH CONDITIONS WILL REMAIN IN EFFECT UNTIL RELIEF IS OTHERWISE SOUGHT AND GRANTED. CONTACT FLORIDA AGENT REGISTRATION SECTION FOR FURTHER INFORMATION.
Regulator Statement	CONTACT: PAMELA EPTING, (904) 488-9805.

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF FLORIDA, DEPT. OF BANKING NAD FINANCE, DIV*SEE FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/18/1993
Docket/Case Number:	1884-S-4-93
Employing firm when activity occurred which led to the regulatory action:	AMERICAN MUNICIPAL SECURITIES, INC
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE DIVISION OF SECURITIES ALLEGED THAT



FURRER'S APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON IN THE STATE OF FLORIDA COULD BE DENIED PURSUANT TO FLA. STAT.517.161(1)(M)(1991), BASED UPON A PREVIOUS ADMINISTRATIVE PROCEEDING BROUGHT AGAINST FURRER AND HIS FORMER EMPLOYER, BY THE COMMONWEALTH OF MASSACHUSETTS.

Current Status:

Final

Resolution:

Consent

Resolution Date:

10/18/1993

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details:

FURRER ENTERED INTO A REGISTRATION AGREEMENT, AND WHICH FACILITATED THE GRANTING OF HIS REGISTRATION AS AN ASSOCIATED PERSON IN THE STATE OF FLORIDA. THE REGISTRATION AGREEMENT CONTAINED RESTRICTIONS ON THE BUSINESS ACTIVITIES OF FURRER IN THE STATE OF FLORIDA FOR A ONE YEAR PERIOD, COMMENCING OCTOBER 5, 1993

Broker Statement

ON 4/29/93, THE DIV. OF SEC. NOTIFIED FURRE OF ITS INTENT TO DENY HIS APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON WITH AMERICAN MUNICIPAL SECURITIES. ON 5/19/93 FURRER FILED A TIMELY PETITION FOR FORMAL PROCEEDING BEFORE THE DEPT. OF ADMIN. HEARING TO CONTEST THE DENIAL. DURING THE PENDENCY OF THIS ACTION, A SETTLEMENT WAS REACHED IN THE ADMIN. PROCEEDING BROUGHT BY MASSACHUSETTS & FLORIDA WAS WILLING TO ENTER INTO A REGISTRATION AGREEMENT AS WELL AS A STIPULATION & CONSENT AGREEMENT IN ORDER TO FACILITATE A SETTLEMENT OF THIS PROCEEDING. THE SETTLEMENT WITH THE STATE OF FLA. RESULTED IN FURRER BEING GRANTED REGISTRATION AS AN ASSOCIATED PERSON, WITH CERTAIN RESTRICTIONS FOR A ONE-YEAR PERIOD.

End of Report



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