

3/22/12 11:45 AM

JACK CIMINO - COMPLIANCE - BRANCH EXAMINER

- CAME INTO MY OFFICE TO GO OVER EVERYTHING
- HE ASKED ABOUT MY OUTSIDE BUSINESS ACTIVITIES AS WELL AS DISCUSSED ONESCREEN, MY AFFILIATION, MY BANKING REFERRAL AND POSITIONS.
- HE WILL LOOK INTO WHY NOTHING IS DISCLOSED ON MY U4

3/22/12 5:05 PM

WE ALSO SPOKE A LOT ABOUT SEDONA!

JACK CIMINO

- HE CAME BACK INTO MY OFFICE AND SAID HE LOCATED ALL 4 OBA DOCUMENTS AND THAT EVERYTHING IS ON FILE
- WHEN I BROUGHT UP MY QUESTIONS & CONCERNS ABOUT MY U-4 HE SAID CHARITIES DO NOT HAVE TO BE DISCLOSED AND THERE IS NOTHING I NEED TO DO.
- I ASKED ABOUT FINRA (WHICH I AM CURRENTLY INACTIVE) AS WELL AS ONESCREEN HE SAID THE FIRM IS ALL I NEED TO DO.

13) a. Have you solicited in the past non-Nasdaq securities traded over-the-counter at \$5 or less i.e. on the OTC Bulletin Board or Pink sheets or on a non-U.S. exchange, otherwise commonly referred to as "Penny Stocks"  Yes  No

13) b. What are securities traded on non-U.S. exchange in non recommended, non-Nasdaq OTC Bulletin Board or Pink sheets or on a

Security/Sy

# of accounts

Talk to F/A to go over!

13) c. Are you aware of Certificates

Memorandum (FPM) # 97 - Accepting  Yes  No

14) Do you send materials?

Answer 18B

documents other than Firm-prepared  Yes  No

If Yes, please provide all details:

15) Are you aware of the Telephone Consumer Protection Act of 1991, FINRA related rules and specifically Firm Policy requiring PIN #'s for telemarketing solicitations?  Yes  No

16) Are you aware of Firm policy for phoned-in orders that require the completion of order tickets that include the date and time including seconds for all phases of order processing (i.e. the time at which an order is received from the client, called in to the Trading Desk and the time of execution).  Yes  No

17) Have any of your clients reneged on any of their transactions in the last year?  Yes  No  
If yes, please list account numbers and clients' names:

18) a. Have you been the subject of any written or verbal customer complaints in the past year?  Yes  No

If yes, please list complaint and customer name(s)

b. Are you aware of Firm policy that requires you to immediately notify/report any written or verbal complaint to the Branch Office Manager?  Yes  No

19) Do you receive income from a source, other than the Firm, for financial advice rendered?  Yes  No

If yes, please provide details:

MOS 3/22/12