Green -> goal information

Red -> missing goal information

Black -> correct but not goal

~~Crossed Out~~ -> erroneous

Blue -> omit

~~('Other FINRA Actions', 'PERSON'),~~

~~('Firm Fined', 'ORG'),~~

('Gates Capital Corporation', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

('James Douglas', 'PERSON'),

('Casey III', 'PERSON'),

('Greenwich', 'LOC'),

('Connecticut', 'LOC'),

('John Charles Fitzgerald', 'PERSON'),

('Lake Arrow Head', 'LOC'),

('California', 'LOC'),

('Youngwhi Kim', 'PERSON'),

~~('A Letter of Acceptance', 'ORG'),~~

~~('Waiver', 'LOC'),~~

~~('Consent', 'LOC'),~~

~~('AWC', 'LOC'),~~

~~('AWC', 'LOC'),~~

('Casey', 'LOC'),

('Fitzgerald', 'PERSON'),

('Kim', 'PER'),

~~('Series', 'LOC'),~~

('Casey', 'LOC'),

('Fitzgerald and', 'PERSON'),

('Municipal Securities Rulemaking Board', 'ORG'),

~~('Rule G-17', 'PERSON'),~~

('Fitzgerald', 'PER'),

('Fitzgerald', 'PER'),

('Casey', 'PER'),

('Fitzgerald', 'PER'),

~~('MSRB', 'LOC'),~~

~~('G-23', 'MISC'),~~

('Fitzgerald', 'PER'),

('Casey', 'LOC'),

('Kim,', 'PERSON'),

('Fitzgerald', 'PER'),

('Fitzgerald', 'PER'),

('Fitzgerald', 'PER'),

~~('MSRB Rule G-17', 'PERSON'),~~

('Kim', 'PER'),

('Fitzgerald', 'PER'),

('Fitzgerald', 'PER'),

('Casey', 'LOC'),

~~('family', 'LOC'),~~

('Municipal Securities Rulemaking', 'ORG'),

('Board', 'LOC'),

~~('MSRB', 'LOC'),~~

~~('WSPs', 'PERSON'),~~

("Casey's", 'PERSON'),

('Fitzgerald', 'PER'),

~~('Firms Fined', 'ORG'),~~

('Deutsche Bank Securities Inc.', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('WSPs', 'ORG'),~~

~~('ISOs', 'LOC'),~~

~~('displayed size', 'PERSON'),~~

('National Market System', 'ORG'),

('NMS', 'ORG'),

~~('ISOs', 'LOC'),~~

~~('ISO', 'ORG'),~~

('Securities and Exchange Commission', 'ORG'),

('SEC', 'ORG'),

('Laidlaw & Company', 'ORG'),

('UK) Ltd.', 'ORG'),

('London', 'LOC'),

('England', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('AWC', 'LOC'),~~

~~('Disciplinary and Other FINRA Actions', 'ORG'),~~

~~('NASD', 'LOC'),~~

~~('July', 'LOC'),~~

~~('ETFs', 'MISC'),~~

('Cambridge Investment Research, Inc.', 'ORG'),

('Fairfield', 'LOC'),

('Iowa', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('WSPs', 'ORG'),~~

~~('ETFs', 'MISC'),~~

~~('ETF trades', 'ORG'),~~

~~('procedures', 'LOC'),~~

('Barclays Capital Inc.', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Large Options', 'LOC'),~~

~~('Positions Reporting', 'ORG'),~~

~~('LOPR', 'LOC'),~~

~~('OTC positions', 'PERSON'),~~

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

('U.S.', 'LOC'),

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

~~('LOPR', 'LOC'),~~

~~('Disciplinary and Other FINRA Actions 5', 'ORG'),~~

~~('WSPs', 'ORG'),~~

('Cowen Execution Services LLC', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('WSPs', 'ORG'),~~

~~('WSPs', 'ORG'),~~

('Citigroup Global Markets Inc.', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('AWC', 'LOC'),~~

~~('AWC', 'LOC'),~~

~~('NASD', 'LOC'),~~

~~('occurred', 'LOC'),~~

~~('price trades', 'ORG'),~~

~~('Rule', 'MISC'),~~

~~('Securities Exchange', 'ORG'),~~

~~('Exchange Act', 'ORG'),~~

~~('Exchange', 'LOC'),~~

~~('Act Rule', 'MISC'),~~

~~('Exchange', 'LOC'),~~

~~('Act Rule', 'ORG'),~~

('Integrated Trading and Investments, Inc.', 'ORG'),

('Huntington Beach', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('WORM', 'PERSON'),~~

~~('ESM', 'ORG'),~~

('Chief Compliance Officer', 'PERSON'),

~~('WORM', 'LOC'),~~

~~('WORM format', 'PERSON'),~~

~~('Disciplinary and Other FINRA Actions', 'ORG'),~~

~~('CCO', 'ORG'),~~

~~('CCO', 'ORG'),~~

~~('principal', 'LOC'),~~

~~('WORM', 'LOC'),~~

('Lek Securities Corporation', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('reportable', 'LOC'),~~

('Clearpool Execution Services', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('WSPs', 'ORG'),~~

('NYSE TRF', 'ORG'),

~~('WSPs', 'ORG'),~~

('NYSE TRF', 'ORG'),

('EFG Capital International Corp.', 'ORG'),

('Miami', 'LOC'),

('Florida', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('AML', 'LOC'),~~

~~('Swiss bank', 'ORG'),~~

~~('transactions', 'LOC'),~~

('U.S.', 'LOC'),

~~('Swiss bank', 'ORG'),~~

~~('Swiss AML', 'ORG'),~~

~~('AML', 'LOC'),~~

~~('AML', 'LOC'),~~

~~('Swiss bank', 'ORG'),~~

~~('AML', 'LOC'),~~

('Arvest Wealth Management', 'ORG'),

('Lowell', 'LOC'),

('Arkansas', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('AWC', 'LOC'),~~

~~('relationship', 'LOC'),~~

('Arvest Bank', 'ORG'),

~~('SEC Regulation S', 'ORG'),~~

~~('Regulation S', 'ORG'),~~

('FINRA', 'MISC'),

~~('Regulation S', 'ORG'),~~

('Capitol Securities Management, Inc.', 'ORG'),

('Glen Allen', 'LOC'),

('Virginia', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('UITs', 'LOC'),~~

~~('UITs', 'LOC'),~~

~~('UIT', 'ORG'),~~

~~('UITs', 'LOC'),~~

~~('UITs', 'LOC'),~~

~~('UITs', 'LOC'),~~

('GrandFund Investment Group', 'ORG'),

('Alameda', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('findings also', 'ORG'),~~

~~('Individuals Barred', 'ORG'),~~

('Joseph Glenn Pratte', 'PERSON'),

('Riverside', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Pratte', 'LOC'),

('Pratte', 'LOC'),

('Pratte', 'LOC'),

~~('activities', 'LOC'),~~

('Pratte', 'LOC'),

~~('Disciplinary and Other FINRA Actions', 'ORG'),~~

('Uniform Termination Notice for Securities Industry Registration', 'ORG'),

('Tu Ngoc Le', 'ORG'),

('Phoenix', 'LOC'),

('Arizona', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Le', 'LOC'),

~~('Le consented', 'ORG'),~~

('Brian Joseph Panfil', 'PERSON'),

('Chicago', 'LOC'),

('Illinois', 'LOC'),

~~('An Office of Hearing Officers', 'PERSON'),~~

('Panfil', 'PERSON'),

('Panfil', 'PER'),

('Panfil', 'PER'),

~~('Panfil', 'LOC'),~~

('Panfil', 'PERSON'),

('Panfil', 'PER'),

~~('maintain discretionary', 'PERSON'),~~

('Vaughn Lee Andrews', 'PERSON'),

('Enfield', 'LOC'),

('Connecticut', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Andrews', 'LOC'),~~

('McKay', 'PER'),

('Andrews-', 'PERSON'),

~~('Andrews', 'LOC'),~~

~~('Andrews', 'LOC'),~~

('McKay ~~deposited'~~, 'PERSON'),

('Andrews-', 'PERSON'),

('McKay', 'PER'),

~~('Again', 'LOC'),~~

('Andrews', 'LOC'),

('McKay ~~deposited'~~, 'PERSON'),

('Stacy Elizabeth Cheney-Jamison', 'PERSON'),

('Smyrna', 'LOC'),

('Georgia', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Cheney-', 'PERSON'),

('Jamison', 'PER'),

('Cheney-', 'PERSON'),

('Brian Keith Decker', 'PERSON'),

('Staten Island', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Decker', 'PER'),

('Decker', 'PERSON'),

('James Edward Knee', 'PERSON'),

('Franconia', 'LOC'),

('New Hampshire', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Knee', 'LOC'),

('Knee', 'PERSON'),

~~('FINRA', 'PERSON'),~~

('Amy Elizabeth Pesina', 'PERSON'),

('Croswell', 'LOC'),

('Michigan', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Pesina', 'LOC'),~~

('Pesina', 'PERSON'),

('FINRA', 'PERSON'),

('Brandon Carl Rudolph', 'PERSON'),

('Las Vegas', 'LOC'),

('Nevada', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Rudolph', 'PER'),

('Rudolph', 'PERSON'),

~~('FINRA Disciplinary and Other FINRA Actions', 'ORG'),~~

('Rudolph', 'PER'),

('Norman R. Sicard Jr.', 'PERSON'),

('Gotha', 'LOC'),

('Florida', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Sicard', 'PER'),

('Sicard', 'PERSON'),

~~('FINRA', 'PERSON'),~~

~~('Sicard', 'LOC'),~~

('Uniform Application for Securities Industry Registration', 'ORG'),

('Emil John Skyba', 'PERSON'),

('Berkeley Heights', 'LOC'),

('New Jersey', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Skyba', 'LOC'),~~

~~('Skyba', 'LOC'),~~

('Ahmed Abdelmawla Gadelkareem', 'PERSON'),

('Brooklyn', 'LOC'),

('New York', 'LOC'),

~~('Gadelkareem', 'LOC'),~~

~~('National', 'LOC'),~~

("[National] Adjudicatory Council's", 'ORG'),

~~('Gadelkareem', 'LOC'),~~

~~('Gadelkareem', 'LOC'),~~

~~('Gadelkareem', 'LOC'),~~

~~('Gadelkareem', 'LOC'),~~

('New York City Bar Association', 'ORG'),

('Jonathan George Sweeney', 'PERSON'),

('Oceanside', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Sweeney,', 'PERSON'),

~~('Sweeney', 'LOC'),~~

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Sweeney', 'PER'),

('Harold Francis Couglar', 'PERSON'),

('Encinitas', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Couglar', 'LOC'),~~

('Couglar consented', 'PERSON'),

('Couglar', 'PER'),

~~('Couglar', 'LOC'),~~

~~('Couglar', 'LOC'),~~

('Couglar', 'PER'),

('Douglas Anthony Leone', 'PERSON'),

('Sandy Hook', 'LOC'),

('Connecticut', 'LOC'),

~~('An OHO decision', 'PERSON'),~~

('Leone', 'PER'),

('Leone', 'PERSON'),

("Leone's", 'PERSON'),

('James Larkin Powers', 'PERSON'),

('Ridgewood', 'LOC'),

('New Jersey', 'LOC'),

~~('An OHO decision', 'PERSON'),~~

('Powers', 'PER'),

('Powers', 'PER'),

('Powers', 'PER'),

('Powers ~~fabricated'~~, 'PERSON'),

('Powers ~~willfully'~~, 'PERSON'),

~~('Section 10(b', 'ORG'),~~

~~('Exchange Act and', 'ORG'),~~

~~('FINRA Rules 2010', 'ORG'),~~

('Powers', 'PER'),

~~('trades as', 'PERSON'),~~

('Powers', 'PER'),

('Powers', 'PER'),

~~('maintain false', 'PERSON'),~~

~~("Powers' transactions", 'ORG'),~~

~~('Panel', 'LOC'),~~

('Meaghan Marie Johnson', 'PERSON'),

('Ashburn', 'LOC'),

('Virginia', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Johnson', 'PER'),

('Johnson', 'PERSON'),

("Johnson's", 'PERSON'),

('Johnson', 'PER'),

('Leona Lynn Parsons', 'PERSON'),

('Chula Vista', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Parsons', 'PER'),

('Parsons', 'PERSON'),

~~('Form U5', 'LOC'),~~

('Parsons', 'PER'),

('Herbert Voss Jr.', 'PERSON'),

('Culver City', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Voss', 'PER'),

~~('Voss', 'LOC'),~~

('Voss', 'PER'),

('Sanjeev Sreetharan', 'PERSON'),

('New York', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Sreetharan', 'LOC'),~~

('Sreetharan', 'PERSON'),

('Anthony Bernard Didonato III', 'PERSON'),

('Dudley', 'LOC'),

('Massachusetts', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Didonato', 'PER'),

('Didonato', 'PERSON'),

~~('FINRA', 'PERSON'),~~

('Maria Nancy Tamburro', 'PERSON'),

('Highland Falls', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Tamburro', 'PER'),

('Tamburro consented', 'PERSON'),

('Tamburro sold', 'PERSON'),

('Tamburro', 'PER'),

('Tamburro', 'PER'),

('Tamburro', 'PER'),

('Tamburro', 'PER'),

('Tamburro', 'PER'),

('Tamburro', 'PER'),

('Tamburro', 'PER'),

('Francis Keyla Acosta', 'PERSON'),

('Freeport', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Acosta', 'PER'),

('Acosta', 'PERSON'),

('Acosta', 'PER'),

('Acosta', 'PER'),

('Acosta', 'PER'),

~~('person to', 'PERSON'),~~

('Acosta', 'PER'),

('Acosta', 'PER'),

~~('Individuals Suspended', 'PERSON'),~~

('Nicholas John Hoetmer', 'PERSON'),

('Indianapolis', 'LOC'),

~~('Indiana', 'LOC'),~~

('An AWC', 'PERSON'),

('Hoetmer', 'PER'),

('Hoetmer', 'PER'),

~~('Form U4', 'MISC'),~~

~~('Chapter 7', 'ORG'),~~

('Hoetmer', 'PER'),

('U4', 'MISC'),

~~('findings also', 'ORG'),~~

('Hoetmer', 'PER'),

('James Otis Conaway', 'PERSON'),

('Orange', 'LOC'),

('California', 'LOC'),

('Lorraine Annette Conaway', 'LOC'),

('Orange', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

('James ~~and'~~, 'PERSON'),

('James ~~and'~~, 'PERSON'),

~~('Conaways', 'LOC'),~~

~~('Conaways', 'LOC'),~~

('Disciplinary and Other FINRA Actions', 'ORG'),

~~('Conaways', 'LOC'),~~

('St. Louis', 'LOC'),

('Missouri', 'LOC'),

~~('Conaways', 'LOC'),~~

('St. Louis', 'LOC'),

("Conaways' company", 'ORG'),

~~('Conaways', 'LOC'),~~

~~('Conaways', 'LOC'),~~

~~('Conaways', 'LOC'),~~

~~('Conaways', 'LOC'),~~

("James Conaway's", 'PERSON'),

~~('Lorraine Conaway', 'ORG'),~~

('Joshua Thomas Crossman', 'PERSON'),

('Jupiter', 'LOC'),

('Florida', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Crossman', 'PER'),

~~('months', 'LOC'),~~

('Crossman', 'PER'),

('Crossman', 'PER'),

~~('expenses', 'LOC'),~~

('Crossman', 'PER'),

('Crossman', 'PER'),

('Crossman', 'PER'),

~~('Disciplinary and Other FINRA Actions', 'ORG'),~~

('Michael Terry Swingle', 'PERSON'),

('Dunedin', 'LOC'),

('Florida', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Swingle', 'PER'),

('Swingle', 'PER'),

('Swingle', 'PER'),

('Swingle', 'PERSON'),

('Swingle', 'PER'),

('Swingle', 'PER'),

('Swingle', 'PER'),

('Swingle', 'PERSON'),

('Swingle', 'PER'),

('Fatou Camara', 'PERSON'),

('Bronx', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Camara', 'PER'),

('Camara', 'PER'),

('Camara', 'PER'),

('Camara', 'PER'),

('Camara', 'PER'),

('Philip Orezio Fatta', 'PERSON'),

('Holtsville', 'LOC'),

('New York', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Fatta', 'PER'),

('Fatta', 'PER'),

~~('account', 'LOC'),~~

~~('wherewithal', 'LOC'),~~

('Fatta', 'PER'),

('Fatta', 'PER'),

~~('account', 'LOC'),~~

~~('Fatta in July 2017.Disciplinary and Other FINRA Actions', 'ORG'),~~

('Nas Adel Allan', 'PERSON'),

('Staten Island', 'LOC'),

('New York', 'LOC'),

~~('An Offer of Settlement', 'PERSON'),~~

~~('Allan', 'LOC'),~~

~~('Allan', 'LOC'),~~

~~('Allan', 'LOC'),~~

~~('Allan', 'LOC'),~~

('Allan', 'PER'),

('Allan', 'PER'),

('Allan', 'PER'),

('Allan', 'PER'),

('Allan', 'PER'),

~~('Allan', 'LOC'),~~

~~('Allan', 'LOC'),~~

('Robert N. Newman', 'PERSON'),

('Los Angeles', 'LOC'),

('California', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Newman', 'PER'),

('Newman', 'PER'),

('Gregory J. Anastos', 'PERSON'),

('Jersey City', 'LOC'),

('New Jersey', 'LOC'),

~~('An Offer of Settlement', 'PERSON'),~~

~~('Anastos', 'LOC'),~~

~~('Anastos', 'LOC'),~~

('Anastos', 'PER'),

('Anastos', 'PER'),

('Anastos', 'PER'),

("Anastos'", 'PERSON'),

~~('Anastos', 'LOC'),~~

('Anastos', 'PER'),

('Anastos', 'PER'),

('Kelly Marvin Barnett', 'PERSON'),

('Sarasota', 'LOC'),

('Florida', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Barnett', 'PER'),

~~('months', 'LOC'),~~

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

~~('UIT', 'ORG'),~~

('Barnett', 'PER'),

~~('Disciplinary and Other FINRA Actions', 'ORG'),~~

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

('Barnett', 'PER'),

~~('transactions', 'LOC'),~~

~~('file', 'LOC'),~~

('Barnett', 'PER'),

~~('UIT', 'ORG'),~~

('Barnett ~~used'~~, 'PERSON'),

~~('UIT', 'ORG'),~~

~~('UIT', 'ORG'),~~

('Barnett', 'PER'),

('Andrew Lee Denney', 'PERSON'),

('Springfield', 'LOC'),

('Missouri', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Denney', 'LOC'),

~~('months', 'LOC'),~~

('Denney', 'PER'),

('Denney', 'PERSON'),

('Denney ~~to'~~, 'PERSON'),

('Denney', 'PER'),

~~('persons', 'LOC'),~~

~~('Denney', 'LOC'),~~

('Denney', 'PERSON'),

('Denney', 'PER'),

~~('disqualified person', 'PERSON'),~~

~~('Denney', 'LOC'),~~

~~('transactions', 'LOC'),~~

~~('Denney', 'LOC'),~~

~~('Denney', 'LOC'),~~

('Francisco Jose Ortiz', 'PERSON'),

('Miami', 'LOC'),

('Florida', 'LOC'),

~~('An Offer of Settlement', 'PERSON'),~~

('Ortiz', 'PER'),

('Ortiz', 'PER'),

('Ortiz', 'PER'),

('Ortiz', 'PER'),

('Ortiz', 'PER'),

('Ortiz', 'PER'),

('Joshua David Stamm', 'PERSON'),

('Forest', 'LOC'),

('Virginia', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Stamm', 'PER'),

('Stamm', 'PER'),

~~('Disciplinary and Other FINRA Actions', 'ORG'),~~

('Stamm', 'PER'),

('Stamm', 'PER'),

~~('promissory note', 'PERSON'),~~

('Stamm', 'PER'),

('Stamm', 'PER'),

('Zachary Stuart Brodt', 'PERSON'),

('Scottsdale', 'LOC'),

('Arizona', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Brodt', 'LOC'),~~

('Brodt', 'PER'),

~~('transition to', 'PERSON'),~~

('Brodt', 'PERSON'),

('Brodt', 'PER'),

('Brodt', 'PER'),

('Form U4', 'MISC'),

('Brodt', 'PER'),

('Form U4', 'MISC'),

~~('Brodt', 'LOC'),~~

('Fuad Saad Habba', 'PERSON'),

('Greenwich', 'LOC'),

('Connecticut', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Habba', 'PER'),

~~('months', 'LOC'),~~

('Habba', 'PER'),

('Habba', 'PER'),

('Habba', 'PER'),

('Habba', 'PER'),

~~('Habba', 'LOC'),~~

('Peter David Holler', 'PERSON'),

('Bristol', 'LOC'),

('Tennessee', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Holler', 'PER'),

('Holler', 'PER'),

('Holler', 'PER'),

('Holler', 'PERSON'),

('Holler', 'PER'),

('Holler', 'PER'),

~~('himself', 'LOC'),~~

('Lawrence Eugene Murphy', 'PERSON'),

('Hainesport', 'LOC'),

('New Jersey', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Murphy', 'LOC'),~~

('Murphy', 'PER'),

('Murphy', 'PER'),

~~('birthdates', 'LOC'),~~

('Gerard Chandler Gremillion', '~~ORG~~' ‘PERSON’),

('Baton Rouge', 'LOC'),

('Louisiana', 'LOC'),

~~('An OHO decision', 'PERSON'),~~

~~('Gremillion', 'LOC'),~~

~~('Gremillion', 'LOC'),~~

('Form U4', 'MISC'),

~~('Form U4', 'ORG'),~~

('Brian John Hussey Jr.', 'PERSON'),

('Zephyrhills', 'LOC'),

('Florida', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

~~('IRA', 'ORG'),~~

('Hussey', 'PER'),

('Hussey ~~mismarked'~~, 'PERSON'),

~~('Order', 'LOC'),~~

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

('Hussey', 'PER'),

('Louis Anthony Telerico', 'PERSON'),

('Aurora', 'LOC'),

('Ohio', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Telerico', 'LOC'),

('Telerico', 'LOC'),

('Telerico', 'LOC'),

('Form U4', 'MISC'),

('John Michael Krohn', 'PERSON'),

('West Des Moines', 'LOC'),

('Iowa', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Krohn', 'PER'),

('Krohn', 'PER'),

('Krohn', 'PER'),

("Krohn's", 'PERSON'),

('Morey Herbert Goldberg', 'PERSON'),

('Gladwyne', 'LOC'),

('Pennsylvania', 'LOC'),

~~('An AWC', 'PERSON'),~~

~~('Goldberg', 'LOC'),~~

~~('Goldberg', 'LOC'),~~

~~('Goldberg', 'LOC'),~~

~~('Goldberg', 'LOC'),~~

~~('Goldberg', 'LOC'),~~

('Kenneth K. Jobson', 'PERSON'),

('St. Petersburg', 'LOC'),

('Florida', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Jobson', 'PER'),

('Jobson', 'PER'),

('Jobson', 'PER'),

('Jobson', 'PER'),

('Jobson', 'PER'),

('Jobson', 'PER'),

('Carlos Velazquez', 'PERSON'),

('Pingree Grove', 'LOC'),

('Illinois', 'LOC'),

~~('An AWC', 'PERSON'),~~

('Velazquez', 'PER'),

~~('months', 'LOC'),~~

('Velazquez', 'PER'),

('Velazquez', 'PER'),

('Velazquez', 'PER'),

~~('Decision Issued', 'ORG'),~~

('The Office of Hearing Officers', 'ORG'),

('The NAC', 'ORG'),

~~('FINRA', 'PERSON'),~~

~~('Notices', 'LOC'),~~

('Dennis Albert Mehringer Jr.', 'PERSON'),

('Altadena', 'LOC'),

('California', 'LOC'),

~~('An OHO decision', 'PERSON'),~~

('Mehringer', 'PER'),

('Mehringer ~~made'~~, 'PERSON'),

~~('Class A shares', 'ORG'),~~

('Mehringer', 'PER'),

~~('Class A shares', 'ORG'),~~

('Mehringer', 'PER'),

~~('Class A shares', 'ORG'),~~

~~('Class A shares', 'ORG'),~~

('Mehringer', 'PER'),

('Mehringer', 'PER'),

~~('trades in', 'PERSON'),~~

~~('Class A', 'LOC'),~~

('Mehringer', 'PERSON'),

~~('Disciplinary and Other FINRA Actions 31', 'ORG'),~~

~~('Hearing Panel', 'PERSON'),~~

('Mehringer', 'PERSON'),

~~('home', 'LOC'),~~

('Mehringer', 'PER'),

~~('Complaints Filed', 'ORG'),~~

('David A. Clark', 'PERSON'),

("O'Fallon", 'LOC'),

('Illinois', 'LOC'),

('Clark', 'PER'),

('eBook', 'MISC'),

('Clark', 'PER'),

('Clark', 'PER'),

('Clark', 'PER'),

('Clark', 'PERSON'),

('Clark', 'PER'),

('Clark', 'PER'),

('Windsor Street Capital', 'ORG'),

('Meyers Associates', 'ORG'),

~~('L.P.', 'LOC'),~~

('New York', 'LOC'),

('New York', 'LOC'),

('Imtiaz A. Khan', 'LOC'),

('Raana Kahn', 'LOC'),

('New York', 'LOC'),

('New York', 'LOC'),

('Bruce Meyers', 'LOC'),

('New York', 'LOC'),

('New York', 'LOC'),

('Edwin Alberto Rodriguez', 'PERSON'),

('Bronx', 'LOC'),

('New', 'LOC'),

('York', 'LOC'),

('Arthur J. Tacopino', 'PERSON'),

('Manalapan', 'LOC'),

('New Jersey', 'LOC'),

~~('Khan', 'LOC'),~~

~~('Meyers', 'LOC'),~~

~~('Rodriguez', 'LOC'),~~

~~('Tacopino', 'LOC'),~~

~~('Tacopino', 'LOC'),~~

('Rodriguez', 'PER'),

~~('trades to', 'PERSON'),~~

('Rodriguez', 'PER'),

('Tacopino ~~directed'~~, 'PERSON'),

('Tacopino ~~then'~~, 'PERSON'),

~~('performed.', 'PERSON'),~~

~~('Tacopino', 'LOC'),~~

('Rodriguez', 'PER'),

~~('Tacopino', 'LOC'),~~

~~('Tacopino', 'LOC'),~~

~~('Tacopino', 'LOC'),~~

~~('Tacopino', 'LOC'),~~

('Tacopino', 'PERSON'),

~~('Section 10(b', 'ORG'),~~

~~('Exchange Act', 'ORG'),~~

~~('Rule', 'PER'),~~

('FINRA Rule', 'MISC'),

~~('Tacopino', 'LOC'),~~

~~('Securities Act of 1933', 'ORG'),~~

~~('Securities Act', 'ORG'),~~

('Rodriguez', 'PERSON'),

('Tacopino', 'LOC'),

('Meyers', 'LOC'),

~~('trades totaled', 'PERSON'),~~

~~('Section', 'PER'),~~

~~('Exchange Act and Rules', 'ORG'),~~

('FINRA Rule', 'MISC'),

~~('Section 17(a', 'ORG'),~~

~~('Securities Act', 'ORG'),~~

('Meyers', 'LOC'),

~~('WSPs', 'ORG'),~~

('Khan', 'PER'),

('Meyers', 'LOC'),

('FINRA Rule', 'MISC'),

~~('Firms Cancelled for Failure to', 'ORG'),~~

('Pay', 'LOC'),

('Outstanding Fee Pursuant', 'ORG'),

('Rule 9553', 'ORG'),

('McNamee Lawrence Securities', 'ORG'),

('Boston', 'LOC'),

('Massachusetts', 'LOC'),

('Toussaint Capital Partners', 'ORG'),

('Freehold', 'LOC'),

('New Jersey', 'LOC'),

('Firms Suspended for Failure to', 'ORG'),

('Financial Information Pursuant', 'ORG'),

('Rule 9552', 'PERSON'),

('CDK Financial Services', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

('Mountain River Securities, Inc.', 'ORG'),

('Denver', 'LOC'),

('Colorado', 'LOC'),

('Firm Suspended for Failure to', 'ORG'),

('FINRA Rule', 'MISC'),

('Windsor Street Capital', 'ORG'),

('New York', 'LOC'),

('New York', 'LOC'),

('Individuals Barred for Failure to', 'ORG'),

('Fernando Enrique Acosta', 'PERSON'),

('Nutley', 'LOC'),

('New Jersey', 'LOC'),

('FINRA Case', 'MISC'),

('Paul Anthony Bustamante', 'PERSON'),

('New York', 'LOC'),

('New York', 'LOC'),

('FINRA Case', 'MISC'),

('Janna L. Carruth', 'PERSON'),

('Savannah', 'LOC'),

('Georgia', 'LOC'),

('FINRA Case', 'MISC'),

('Xavier Dwight Clinton', 'PERSON'),

('Houston', 'LOC'),

('Texas', 'LOC'),

('FINRA Case', 'MISC'),

('Thomas Matthew Dunlap', 'PERSON'),

('Mason', 'LOC'),

('Ohio', 'LOC'),

('FINRA Case', 'MISC'),

('Saima Ashraf Durrani', 'PERSON'),

('Palos Heights', 'LOC'),

('Illinois', 'LOC'),

('FINRA Case', 'MISC'),

('Joshua David Ellis', 'PERSON'),

('Kennesaw', 'LOC'),

('Georgia', 'LOC'),

('FINRA Case', 'MISC'),

('James Benjamin Farris', 'PERSON'),

('Cotati', 'LOC'),

('California', 'LOC'),

('FINRA Case', 'MISC'),

('Samuel LaWayne Haddix', 'PERSON'),

('Memphis', 'LOC'),

('Tennessee', 'LOC'),

('FINRA Case', 'MISC'),

('Mark Anthony Hernandez', 'PERSON'),

('Pomona', 'LOC'),

('California', 'LOC'),

('FINRA Case', 'MISC'),

('Christopher Lee Hibbard', 'PERSON'),

('LaGrange', 'LOC'),

('Kentucky', 'LOC'),

('FINRA Case', 'MISC'),

('Abed William Lulu', 'PERSON'),

('Farmingdale', 'LOC'),

('New York', 'LOC'),

('FINRA Case', 'MISC'),

('Michael Ray Matos', 'PERSON'),

('Lake Hopatcong', 'LOC'),

('New Jersey', 'LOC'),

('FINRA Case', 'MISC'),

('Michael Patrick Nanto', 'PERSON'),

('Valley Center', 'LOC'),

('California', 'LOC'),

('FINRA Case', 'MISC'),

('Albert John Papada', 'PERSON'),

('Hazle Township', 'LOC'),

('Pennsylvania', 'LOC'),

('FINRA Case', 'MISC'),

('Zachary T.', 'PERSON'),

('Indianapolis', 'LOC'),

('Indiana', 'LOC'),

('FINRA Case', 'MISC'),

('Anteneh A.', 'PERSON'),

('Redford', 'LOC'),

('Michigan', 'LOC'),

('FINRA Case', 'MISC'),

('Jeanette Marie Sanchez', 'PERSON'),

('Fortuna', 'LOC'),

('California', 'LOC'),

('FINRA Case', 'MISC'),

('Individuals Suspended for Failure', 'ORG'),

('Provide Information or', 'ORG'),

('Current Pursuant to', 'ORG'),

('Alan Demond Garrett', 'PERSON'),

('Justin', 'LOC'),

('Texas', 'LOC'),

('FINRA Case', 'MISC'),

('Shawn Arthur Goding', 'PERSON'),

('Baltimore', 'LOC'),

('Maryland', 'LOC'),

('FINRA Case', 'MISC'),

('Ramon Arturo Herrera', 'PERSON'),

('Jersey City', 'LOC'),

('New Jersey', 'LOC'),

('FINRA Case', 'MISC'),

('Michael Dennis Jackson', 'PERSON'),

('University Place', 'LOC'),

('Washington', 'LOC'),

('FINRA Case', 'MISC'),

('Mandee Khu', 'LOC'),

('Henderson', 'LOC'),

('Nevada', 'LOC'),

('FINRA Case #', 'MISC'),

('Spencer Joseph Lassetter', 'PERSON'),

('Phoenix', 'LOC'),

('Arizona', 'LOC'),

('FINRA Case', 'MISC'),

('Andrea Marie Milinkovic', 'PERSON'),

('Pittsburgh', 'LOC'),

('Pennsylvania', 'LOC'),

('FINRA Case', 'MISC'),

('Stephen Allen Murray', 'PERSON'),

('Lake Worth', 'LOC'),

('Florida', 'LOC'),

('FINRA Case', 'MISC'),

('George James Oldoerp', 'PERSON'),

('Corona', 'LOC'),

('California', 'LOC'),

('FINRA Case', 'MISC'),

('Mary E.', 'PERSON'),

('Paris', 'LOC'),

('Texas', 'LOC'),

('FINRA Case', 'MISC'),

('Paul Joseph Prestia', 'PERSON'),

('Astoria', 'LOC'),

('New York', 'LOC'),

('FINRA Case', 'MISC'),

('Amanda Justine Sarabia', 'PERSON'),

('El Paso', 'LOC'),

('Texas', 'LOC'),

('FINRA Case', 'MISC'),

('David Warren Taylor', 'PERSON'),

('Franklin', 'LOC'),

('North Carolina', 'LOC'),

('FINRA Case', 'MISC'),

('Individuals Suspended for Failure', 'ORG'),

('Settlement Agreement Pursuant', 'ORG'),

('Rule 9554', 'PERSON'),

('date', 'LOC'),

('Anthony Carpenter', 'PERSON'),

('New Port Richey', 'LOC'),

('Florida', 'LOC'),

('FINRA Arbitration Case', 'ORG'),

('James Benjamin Fellus', 'PERSON'),

('Dix Hills', 'LOC'),

('New York', 'LOC'),

('FINRA Arbitration Case', 'ORG'),

('Robert Lee Maupin', 'PERSON'),

('Jacksonville', 'LOC'),

('Florida', 'LOC'),

('FINRA Arbitration Case', 'ORG'),

('Gary Lee Wright', 'PERSON'),

('Medina', 'LOC'),

('Ohio', 'LOC'),

('FINRA Arbitration Case', 'ORG'),

('Press Releases', 'ORG'),

('FINRA Sanctions Fifth Third Securities, Inc.', 'ORG'),

('Disclosure Failures and Unsuitable Recommendations Related to', 'ORG'),

('Variable', 'LOC'),

('Annuity Exchanges', 'ORG'),

('Fifth Third Securities, Inc.', 'ORG'),

('Fifth Third', 'ORG'),

('VA exchanges', 'ORG'),

('Fifth Third', 'ORG'),

('VAs', 'LOC'),

('Fifth Third', 'ORG'),

('VA exchange', 'ORG'),

('Fifth Third', 'PERSON'),

('Fifth Third', 'PERSON'),

('proposed', 'LOC'),

('Fifth Third', 'ORG'),

('proposed VA', 'ORG'),

('VA exchange applications', 'ORG'),

('Susan Schroeder', 'PERSON'),

('Fifth Third', 'ORG'),

('Fifth', 'LOC'),

('Fifth Third', 'PERSON'),

('FINRA Fines ICBCFS $5.3 Million for Anti-', 'ORG'),

('Deficiencies and Other Violations', 'ORG'),

('Industrial and Commercial Bank of China Financial', 'ORG'),

('Services LLC', 'ORG'),

('ICBCFS', 'ORG'),

('AML', 'LOC'),

('ICBCFS', 'ORG'),

('ICBCFS', 'PER'),

('From', 'PER'),

('ICBCFS', 'PER'),

("ICBCFS's customers", 'ORG'),

('ICBCFS', 'PER'),

('AML', 'LOC'),

('ICBCFS', 'PER'),

('ICBCFS', 'PERSON'),

('ICBCFS', 'ORG'),

('AML Disciplinary and Other FINRA Actions 39', 'ORG'),

('ICBCFS', 'PER'),

('Susan Schroeder', 'PERSON'),

('FINRA Executive Vice President', 'ORG'),

('Department of Enforcement', 'ORG'),

('AML', 'LOC'),

('Firms', 'PER'),

('ICBCFS was', 'PERSON'),

('Securities and Exchange Commission', 'ORG'),

('SEC', 'ORG'),

('report', 'LOC'),

('ICBCFS', 'PER'),

('AML', 'LOC'),

('AML', 'LOC'),

('ICBCFS', 'PER'),

('AML', 'LOC'),

('ICBCFS', 'PER'),

('ICBCFS agreed', 'PERSON')