62/71 = 87.32%

~~('The', 'ORG'),~~

~~('the', 'LOC'),~~

('ACP Securities, LLC', 'ORG'),

('First Kentucky Securities Corporation', 'ORG'),

Merrill Lynch, Pierce, Fenner & Smith Incorporated (1)

(' Selkirk Investments, Inc.', 'ORG'),

(' Credit Suisse Securities', 'ORG'),

('New York', 'LOC'),

(' Credit Suisse Securities', 'ORG'),

~~(' and Other FINRA Actions 3 2018~~ Liquidnet, Inc.', 'ORG'),

(' MCM Securities LLC', 'ORG'),

~~(' 4 and Other FINRA Actions 2018 UBS Securities LLC', 'ORG'),~~

UBS Securities LLC (2)

(' Bolton Global Capital', 'ORG'),

(' R.M. Stark & Co., Inc.', 'ORG'),

~~('Delray Beach, Florida', 'ORG'),~~

(' Ascendiant Capital Markets, LLC', 'ORG'),

Allen & Company of Florida, Inc. (3)

('California', 'LOC'),

(' Portfolio Resources Group, Inc.', 'ORG'),

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

('Boca Raton, Florida', 'ORG'),

Michael Bruce Ralby (4)

(' Ricardo Rodriguez-Stern', 'ORG'),

('Great Neck', 'LOC'),

(' David Lloyd Barber', 'ORG'),

('Newport Beach', 'ORG'),

(' Mark Kaplan', 'ORG'),

('Merrick', 'LOC'),

(' Jasper Eugene Boykin Jr.', 'ORG'),

(' John Neil Milne', 'ORG'),

(' Stephen John Woods', 'ORG'),

(' Thomas Alan Meier', 'ORG'),

(' Gary John Basralian', 'ORG'),

(' Matthew Thomas Cochran', 'ORG'),

(' Michael Giokas', 'ORG'),

(' Nicholas Ivo Goga', 'ORG'),

(' Holly Florence Arbuckle', 'ORG'),

('Texas', 'LOC'),

(' Lawrence John Fawcett Jr.', 'ORG'),

('Dix Hills', 'LOC'),

(' Cody Michael Rock', 'ORG'),

('Highlands Ranch, Colorado', 'ORG'),

(~~' and Other FINRA Actions 11 2018~~ Sanders Lane Spangler', 'ORG'),

('San Antonio', 'LOC'),

(' Matthew Singer', 'ORG'),

(' David Warren Olson', 'ORG'),

(' Paul Eric Taboada', 'ORG'),

('Old Brookville', 'LOC'),

(~~' 12 and Other FINRA Actions 2018 Individuals~~ Napoleon Seymour Andrews', 'ORG'),

(' Choosri Lao', 'ORG'),

('Tinley Park', 'ORG'),

('Illinois', 'LOC'),

(' Christine Alexandria Murphy', 'ORG'),

(' Claudio Leonardo Villa', 'ORG'),

(' David Lewis Capin', 'ORG'),

('Hawley', 'LOC'),

('Pennsylvania', 'LOC'),

~~(' 14 and Other FINRA Actions 2018~~ Ellen Marie Scambia', 'ORG'),

(' Kevin C. Yang', 'ORG'),

('Pasadena', 'LOC'),

(' Timothy John Beall', 'ORG'),

('Eau Claire', 'LOC'),

('Michigan', 'LOC'),

(' Omer Ozeren', 'ORG'),

('Chatsworth', 'LOC'),

(' Douglas Fairchild Bradley', 'ORG'),

('La Jolla', 'LOC'),

(' Ricardo Alfredo Estrada', 'ORG'),

('Coral Gables, Florida', 'ORG'),

(' Michael Murphy Hurtgen', 'ORG'),

('Englewood', 'LOC'),

('Colorado', 'LOC'),

(' William Bernard Lyons', 'ORG'),

(' Michael Douglas Hanke', 'ORG'),

~~(' 18 and Other FINRA Actions 2018', 'ORG'),~~

Donald Charles Leary Jr. (5)

('Redondo Beach', 'ORG'),

(' Peter Michael Torabkhan', 'ORG'),

(' Michael Anthony McGregor', 'ORG'),

('Staten Island', 'ORG'),

~~(' and Other FINRA Actions 19 2018~~ Martin Earl Brooks', 'ORG'),

(' Michael Scott Androulakis', 'ORG'),

(' Craig Dean Blattner', 'ORG'),

(' Phillip Paul Tibbetts', 'ORG'),

('Upland', 'LOC'),

(' Frank Bazan', 'ORG'),

('Houston', 'LOC'),

~~(' and Other FINRA Actions 21 2018~~ Dennis Ernest Beeby', 'ORG'),

~~('San Diego', 'ORG'),~~

(' Paul Kreindler', 'ORG'),

(' Rahim Shah', 'ORG'),

(' Lisa C. Piazza', 'ORG'),

(' Mark Jude Ketner', 'ORG'),

~~(' and Other FINRA Actions 23 2018~~ Robert Mark Malbasa', 'ORG'),

('Cleveland', 'LOC'),

('Ohio', 'LOC'),

(' William Patrick Slattery', 'ORG'),

Wilson-Davis & Co., Inc. (6)

Byron Bert Barkley (7)

James C. Snow Jr. (8)

~~('Garden City', 'ORG'),~~

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

(' Austin Wayne Morton', 'ORG'),

(' Richard Oliver White', 'ORG'),

(' 26 and Other FINRA Actions 2018 Filed FINRA issued the following complaints. Issuance of a disciplinary complaint represents FINRA’s initiation of a formal proceeding in which findings', 'ORG'),

Francisco Jose Ortiz (9)

('Because these complaints are unadjudicated', 'ORG'),

(' Dallas Richardson York', 'ORG'),

(' Melanie Ann Melton', 'ORG'),

(' Jason Ryan David', 'ORG'),

('Chicago', 'LOC'),

(' and Other FINRA Actions 27 2018 Firms Expelled for Failure to Pay Fines and/ or Costs Pursuant to FINRA Rule 8320 Fulcrum Securities, LLC', 'ORG')