64/71 = 90.14%

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

~~('the', 'PERSON'),~~

(' 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 Actions~~ Liquidnet, Inc.', 'ORG'),

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

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

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

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

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

('California', 'LOC'),

Allen & Company of Florida, Inc. (2)

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

~~(' and Other Actions~~ Michael Bruce Ralby', 'ORG'),

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

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

(' Mark Kaplan', 'ORG'),

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

(' John Neil Milne', 'PERSON'),

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

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

(' Gary John Basralian', 'PERSON'),

(' Matthew Thomas Cochran', 'PERSON'),

(' Michael Giokas', 'PERSON'),

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

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

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

('Dix Hills', 'LOC'),

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

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

(' Matthew Singer', 'ORG'),

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

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

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

(' Choosri Lao', 'ORG'),

('Tinley Park', 'LOC'),

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

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

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

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

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

(' Timothy John Beall', 'PERSON'),

('Eau Claire', 'LOC'),

(' Omer Ozeren', 'ORG'),

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

('La Jolla', 'LOC'),

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

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

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

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

Donald Charles Leary Jr. (3)

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

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

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

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

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

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

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

(' Frank Bazan', 'ORG'),

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

(' Paul Kreindler', 'PERSON'),

(' Rahim Shah', 'PERSON'),

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

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

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

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

Wilson-Davis & Co., Inc. (4)

Byron Bert Barkley (5)

James C. Snow Jr. (6)

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

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

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

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

Francisco Jose Ortiz (7)

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

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

(' Jason Ryan David', 'PERSON'),

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