



Robert J. Goerke
Associate Director

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VIA CERTIFIED MAIL
RETURN RECEIPT REQUESTED
AND FIRST CLASS MAIL

March 16, 2016

[REDACTED]
[REDACTED]
Charlotte, NC 28269

Re: **Cautionary Action Letter**
STAR [REDACTED]

Dear Mr. [REDACTED]

We have completed our investigation into the circumstances concerning your conduct as a former registered representative with [REDACTED]. Based upon our review of all information available, the staff has authorized this Cautionary Action Letter to be issued to caution you concerning the following deficiency:

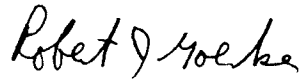
FINRA Rule 2010, Conduct Inconsistent with Just and Equitable Principles of Trade

A member, in the conduct of his business, shall observe high standards of commercial honor and just and equitable principles of trade.

You failed to timely disclose to FINRA (via amended Form U4) one or more reportable financial events.

For your information, a Cautionary Action is not included in the Central Registration Depository, nor must it be reported on a Form U4. However, as it is a cautionary action, in accordance with long-standing FINRA practice, it will be taken into consideration in determining any future matter should repeat violations occur.

Very truly yours,



Robert J. Goerke
Associate Director



Oliver P. Kamp
Associate Principal Investigator

cc:



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