

1396777  
OMB APPROVAL  
OMB Number: 3235-0076  
Expires:  
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hours per response: . . . . .16.00

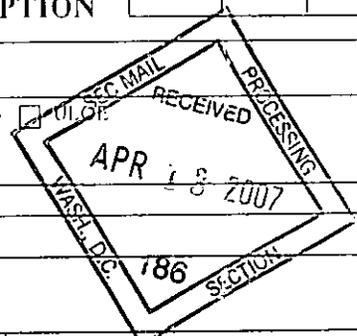
FORM D

NOTICE OF SALE OF SECURITIES  
PURSUANT TO REGULATION D,  
SECTION 4(6), AND/OR  
UNIFORM LIMITED OFFERING EXEMPTION



07051413

SEC USE ONLY	
Prefix	Serial
DATE RECEIVED	



Name of Offering (  check if this is an amendment and name has changed, and indicate change )  
Black Diamond Energy Partners 2007-A, Ltd.  
 Filing Under (Check boxes) that apply:  Rule 504  Rule 505  Rule 506  Section 4(6)  ULOE  
 Type of Filing:  New Filing  Amendment

A. BASIC IDENTIFICATION DATA

Enter the information requested about the issuer  
 Name of Issuer (  check if this is an amendment and name has changed, and indicate change.)  
Black Diamond Energy Partners 2007-A, Ltd.  
 Address of Executive Offices (Number and Street, City, State, Zip Code) Telephone Number (Including Area Code)  
410 Mount Nebo Road Pittsburgh, PA 15237 (12) 369-7855  
 Address of Principal Business Operations (Number and Street, City, State, Zip Code) Telephone Number (Including Area Code)  
 (if different from Executive Offices)

Brief Description of Business  
 Development of Oil and Gas Properties

PROCESSED

Type of Business Organization:  
 corporation  limited partnership, already formed  other (please specify):  
 business trust  limited partnership, to be formed  
 Actual or Estimated Date of Incorporation or Organization: Month Year 013 07  Actual  Estimated  
 Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State:  
 CN for Canada; FN for other foreign jurisdiction) NV

APR 18 2007  
THOMSON  
FINANCIAL

GENERAL INSTRUCTIONS

**Federal:**  
*Who Must File:* All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 U.S.C. 77d(6).

*When To File:* A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.

*Where To File:* U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.

*Copies Required:* Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

*Information Required:* A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.

*Filing Fee:* There is no federal filing fee.

**State:**  
 This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires the payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

ATTENTION

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.

**B. INFORMATION ABOUT OFFERING**

1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering? .....  Yes  No  
 Answer also in Appendix, Column 2, if filing under ULOE.
2. What is the minimum investment that will be accepted from any individual? ..... \$ 12,500.00
3. Does the offering permit joint ownership of a single unit? .....  Yes  No
4. Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any commission or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a person to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or states, list the name of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broker or dealer, you may set forth the information for that broker or dealer only.

Full Name (Last name first, if individual)  
 SEE EXHIBIT "A" ATTACHED HERETO AND MADE A PART HEREOF.

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in Which Person Listed Has Solicited or Intends to Solicit Purchasers  
 (Check "All States" or check individual States) .....  All States

AL	AK	AZ	AR	CA	CO	CT	DE	DC	FL	<input checked="" type="checkbox"/>	HI	ID
IL	IN	IA	<input checked="" type="checkbox"/>	KY	LA	ME	MD	MA	MI	<input checked="" type="checkbox"/>	MS	MO
MT	NE	NV	NH	NJ	NM	<input checked="" type="checkbox"/>	NC	ND	OH	OK	OR	PA
RI	SC	SD	TN	TX	UT	VT	VA	WA	WV	WI	WY	PR

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in Which Person Listed Has Solicited or Intends to Solicit Purchasers  
 (Check "All States" or check individual States) .....  All States

AL	AK	AZ	AR	CA	CO	CT	DE	DC	FL	GA	HI	ID
IL	IN	IA	KS	KY	LA	ME	MD	MA	MI	MN	MS	MO
MT	NE	NV	NH	NJ	NM	NY	NC	ND	OH	OK	OR	PA
RI	SC	SD	TN	TX	UT	VT	VA	WA	WV	WI	WY	PR

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in Which Person Listed Has Solicited or Intends to Solicit Purchasers  
 (Check "All States" or check individual States) .....  All States

AL	AK	AZ	AR	CA	CO	CT	DE	DC	FL	GA	HI	ID
IL	IN	IA	KS	KY	LA	ME	MD	MA	MI	MN	MS	MO
MT	NE	NV	NH	NJ	NM	NY	NC	ND	OH	OK	OR	PA
RI	SC	SD	TN	TX	UT	VT	VA	WA	WV	WI	WY	PR

(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

**C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS**

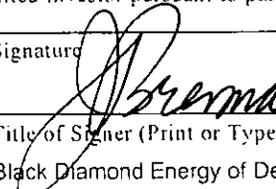
b. Enter the difference between the aggregate offering price given in response to Part C — Question 1 and total expenses furnished in response to Part C — Question 4.a. This difference is the "adjusted gross proceeds to the issuer." ..... \$ 16,183,000.00

5. Indicate below the amount of the adjusted gross proceed to the issuer used or proposed to be used for each of the purposes shown. If the amount for any purpose is not known, furnish an estimate and check the box to the left of the estimate. The total of the payments listed must equal the adjusted gross proceeds to the issuer set forth in response to Part C — Question 4.b above.

	Payments to Officers, Directors, & Affiliates	Payments to Others
Salaries and fees .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
Purchase of real estate .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
Purchase, rental or leasing and installation of machinery and equipment .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
Construction or leasing of plant buildings and facilities .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
Acquisition of other businesses (including the value of securities involved in this offering that may be used in exchange for the assets or securities of another issuer pursuant to a merger) .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
Repayment of indebtedness .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
Working capital .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
Other (specify): <u>Turnkey Intangible Drilling Costs For Oil and Gas Wells</u> .....	<input type="checkbox"/> \$ _____	<input type="checkbox"/> \$ _____
.....	<input checked="" type="checkbox"/> \$ <u>16,183,000.0</u>	<input type="checkbox"/> \$ _____
Column Totals .....	<input type="checkbox"/> \$ <u>16,183,000.0</u>	<input type="checkbox"/> \$ <u>0.00</u>
Total Payments Listed (column totals added) .....	<input type="checkbox"/> \$ <u>16,183,000.00</u>	

**D. FEDERAL SIGNATURE**

The issuer has duly caused this notice to be signed by the undersigned duly authorized person. If this notice is filed under Rule 505, the following signature constitutes an undertaking by the issuer to furnish to the U.S. Securities and Exchange Commission, upon written request of its staff, the information furnished by the issuer to any non-accredited investor pursuant to paragraph (b)(2) of Rule 502.

Issuer (Print or Type) Black Diamond Energy Partners 2007-A, Ltd.	Signature 	Date <u>4-5-07</u>
Name of Signer (Print or Type) <u>Joseph W. Breznai</u>	Title of Signer (Print or Type) Black Diamond Energy of Delaware, Inc., Managing General Partner	

**ATTENTION**

Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)

**APPENDIX**

1 State	2 Intend to sell to non-accredited investors in State (Part B-Item 1)		3 Type of security and aggregate offering price offered in state (Part C-Item 1)	4 Type of investor and amount purchased in State (Part C-Item 2)				5 Disqualification under State ULOE (if yes, attach explanation of waiver granted) (Part E-Item 1)	
	Yes	No		Number of Accredited Investors	Amount	Number of Non-Accredited Investors	Amount	Yes	No
AL									
AK									
AZ									
AR									
CA									
CO									
CT									
DE									
DC									
FL									
GA	x		250,000.	0	-0-	0	-0-		x
HI									
ID									
IL									
IN									
IA									
KS	x		250,000.	1	12,500.	0	-0-		x
KY									
LA									
ME									
MD									
MA									
MI									
MN									
MS									

**APPENDIX**

1	2		3	4				5	
	Intend to sell to non-accredited investors in State (Part B-Item 1)			Type of security and aggregate offering price offered in state (Part C-Item 1)	Type of investor and amount purchased in State (Part C-Item 2)				Disqualification under State ULOE (if yes, attach explanation of waiver granted) (Part E-Item 1)
State	Yes	No		Number of Accredited Investors	Amount	Number of Non-Accredited Investors	Amount	Yes	No
WY									
PR									

Document Title

Page 1 of 1

File for:

Data Current as of: 10/25/2005

CRD# 130933

ALTERNATIVE WEALTH STRATEGIES, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	ALTERNATIVE WEALTH STRATEGIES, INC.
<b>CRD Number</b>	130933
<b>SEC Number</b>	8-066410
<b>Applicant Name on Form BD</b>	ALTERNATIVE WEALTH STRATEGIES, INC.
<b>Business Phone Number</b>	856-755-0707
<b>Main Office</b>	Located In NASD District: 9- Woodbridge
<b>Main Office Address</b>	1040 N. KINGS HIGHWAY, SUITE 302 CHERRY HILL, NJ 08034
<b>Mailing Address</b>	1040 N. KINGS HIGHWAY, SUITE 302 CHERRY HILL, NJ 08034

*Exhibit "A"*

Document Title

Page 1 of 1

File for:  
CRD# 130933

Data Current as of: 10/17/2005

ALTERNATIVE WEALTH STRATEGIES, INC. \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b>Status As Of Date</b>
CA	Broker Dealer	Approved	09/21/2005
CT	Broker Dealer	Approved	07/28/2005
FL	Broker Dealer	Approved	04/22/2005
GA	Broker Dealer	Approved	07/08/2005
HI	Broker Dealer	Approved	04/22/2005
MA	Broker Dealer	Approved	01/26/2005
MD	Broker Dealer	Approved	03/01/2005
NASD	Broker Dealer	Approved	08/13/2004
NJ	Broker Dealer	Approved	08/27/2004
NY	Broker Dealer	Approved	09/21/2004
OH	Broker Dealer	Approved	07/05/2005
PA	Broker Dealer	Approved	10/21/2004
SC	Broker Dealer	Approved	09/28/2005
SEC	Broker Dealer	Approved	08/13/2004
TX	Broker Dealer	Approved	08/18/2005
VA	Broker Dealer	Approved	02/24/2005

Document Title

Data Current as of: 01/05/2006

File for:  
CRD# 113679  
AZROC SECURITIES, INC.

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	AZROC SECURITIES, INC.
<b>CRD Number</b>	113679
<b>SEC Number</b>	8-051976
<b>Applicant Name on Form BD</b>	AZROC SECURITIES, INC.
<b>Prior Business Names</b>	AZROC CAPITAL MANAGEMENT, INC
<b>Business Phone Number</b>	412-372-1750
<b>Main Office</b>	Located in NASD District: 9- Philadelphia
<b>Main Office Address</b>	4055 MONROEVILLE BLVD BUILDING 1, SUITE 410 MONROEVILLE, PA 15146
<b>Mailing Address</b>	4055 MONROEVILLE BLVD BUILDING 1, SUITE 410 MONROEVILLE, PA 15146

Document Title

Data Current as of: 01/05/2006

File for:

CRD# 113679

AZROC SECURITIES, INC.

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b>Status As Of Date</b>
NASD	Broker Dealer	Approved	02/10/2000
PA	Broker Dealer	Approved	03/09/2000
SEC	Broker Dealer	Approved	02/10/2000

CRD# 13609

BERTHEL, FISHER &amp; COMPANY FINANCIAL SERVICES, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.
<b>CRD Number</b>	13609
<b>SEC Number</b>	8-029426
<b>Applicant Name on Form BD</b>	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.
<b>Prior Business Names</b>	BERTHEL, FISHER & FLEISCHMAN FINANCIAL SERVICES, INC. MORAMERICA FINANCIAL SERVICES, INC.
<b>Business Phone Number</b>	319-447-5700
<b>Main Office</b>	Located in NASD District: 4-Kansas City
<b>Main Office Address</b>	701 TAMA STREET BUILDING B MARION, IA 52302-0609
<b>Mailing Address</b>	P. O. BOX 609 MARION, IA 52302-0609

File for:

Data Current as of: 11/08/2005

CRD# 13609

BERTHEL, FISHER &amp; COMPANY FINANCIAL SERVICES, INC.

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of Date</u></b>
AK	Broker Dealer	Approved	05/20/1998
AL	Broker Dealer	Approved	02/15/1994
AR	Broker Dealer	Approved	04/24/1989
AZ	Broker Dealer	Approved	04/10/1986
CA	Broker Dealer	Approved	09/22/1986
CO	Broker Dealer	Approved	12/13/1985
CT	Broker Dealer	Approved	04/03/1995
DC	Broker Dealer	Approved	02/23/1992
DE	Broker Dealer	Approved	08/14/1998
FL	Broker Dealer	Approved	07/01/1987
GA	Broker Dealer	Approved	06/16/1987
HI	Broker Dealer	Approved	03/18/1991
IA	Broker Dealer	Approved	09/07/1983
ID	Broker Dealer	Approved	05/31/1994
IL	Broker Dealer	Approved	01/23/1984
IN	Broker Dealer	Approved	01/06/1988
KS	Broker Dealer	Approved	01/22/1985
KY	Broker Dealer	Approved	03/16/1987
LA	Broker Dealer	Approved	08/23/1994
MA	Broker Dealer	Approved	04/28/1995
MD	Broker Dealer	Approved	02/26/1992
ME	Broker Dealer	Approved	04/07/1993
MI	Broker Dealer	Approved	03/08/1988
MN	Broker Dealer	Approved	09/17/1986
MO	Broker Dealer	Approved	04/30/1985
MS	Broker Dealer	Approved	10/20/1992
MT	Broker Dealer	Approved	12/17/1993
NASD	Broker Dealer	Approved	08/16/1983
NC	Broker Dealer	Approved	08/07/1991
ND	Broker Dealer	Approved	05/15/1992
NE	Broker Dealer	Approved	08/29/1984
NH	Broker Dealer	Approved	03/20/1997
NJ	Broker Dealer	Approved	12/17/1992
NM	Broker Dealer	Approved	07/07/1987
NV	Broker Dealer	Approved	05/22/1987
NY	Broker Dealer	Approved	06/11/1987

OH	Broker Dealer	Approved	11/27/1990
OK	Broker Dealer	Approved	06/24/1987
OR	Broker Dealer	Approved	04/15/1994
PA	Broker Dealer	Approved	11/16/1990
RI	Broker Dealer	Approved	06/12/1998
SC	Broker Dealer	Approved	07/24/1987
SD	Broker Dealer	Approved	07/05/1990
SEC	Broker Dealer	Approved	06/10/1983
TN	Broker Dealer	Approved	07/01/1994
TX	Broker Dealer	Approved	01/20/1987
UT	Broker Dealer	Approved	10/15/1996
VA	Broker Dealer	Approved	10/01/1984
VT	Broker Dealer	Approved	06/02/1995
WA	Broker Dealer	Approved	08/24/1992
WI	Broker Dealer	Approved	08/20/1986
WV	Broker Dealer	Approved	05/29/1998
WY	Broker Dealer	Approved	08/16/1990

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 14667

BROOKSTREET SECURITIES CORPORATION

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	BROOKSTREET SECURITIES CORPORATION
<b>CRD Number</b>	14667
<b>SEC Number</b>	8-031032
<b>Applicant Name on Form BD</b>	BROOKSTREET SECURITIES CORPORATION
<b>Prior Business Names</b>	FINANCIAL MANAGEMENT ADVISORS, INC. TMG SECURITIES, INC.
<b>Business Phone Number Main Office</b>	(949) 852-6800 Located in NASD District: 2-Los Angeles
<b>Main Office Address</b>	2361 CAMPUS DR. #210 IRVINE, CA 92612
<b>Mailing Address</b>	2361 CAMPUS DR. #210 IRVINE, CA 92612

File for:

Data Current as of: 10/26/2005

CRD# 14667

BROOKSTREET SECURITIES CORPORATION

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of</u> <u>Date</u></b>
AK	Broker Dealer	Approved	02/14/1992
AL	Broker Dealer	Approved	08/03/1992
AR	Broker Dealer	Approved	06/06/1994
AZ	Broker Dealer	Approved	07/01/1991
BSE	Broker Dealer	Approved	10/01/1990
CA	Broker Dealer	Approved	08/15/1985
CO	Broker Dealer	Approved	05/21/1991
CT	Broker Dealer	Approved	12/16/1992
DC	Broker Dealer	Approved	06/25/1994
DE	Broker Dealer	Approved	05/17/1995
FL	Broker Dealer	Approved	05/10/1991
GA	Broker Dealer	Approved	04/15/1991
HI	Broker Dealer	Approved	02/03/1994
IA	Broker Dealer	Approved	07/01/1992
ID	Broker Dealer	Approved	02/19/1992
IL	Broker Dealer	Approved	06/19/1991
IN	Broker Dealer	Approved	03/25/1992
KS	Broker Dealer	Approved	09/16/1992
KY	Broker Dealer	Approved	01/21/1992
LA	Broker Dealer	Approved	05/21/1993
MA	Broker Dealer	Approved	11/27/1991
MD	Broker Dealer	Approved	08/05/1993
ME	Broker Dealer	Approved	01/04/2000
MI	Broker Dealer	Approved	10/29/1992
MN	Broker Dealer	Approved	12/05/1991
MO	Broker Dealer	Approved	03/12/1993
MS	Broker Dealer	Approved	06/15/1995
MT	Broker Dealer	Approved	06/26/1992
NASD	Broker Dealer	Approved	01/15/1985
NC	Broker Dealer	Approved	07/17/1992
ND	Broker Dealer	Approved	11/18/1994
NE	Broker Dealer	Approved	06/17/1992
NH	Broker Dealer	Approved	12/12/1991
NJ	Broker Dealer	Approved	07/27/1992
NM	Broker Dealer	Approved	03/19/1993
NV	Broker Dealer	Approved	06/07/1991

NY	Broker Dealer	Approved	07/09/1990
OH	Broker Dealer	Approved	08/15/1991
OK	Broker Dealer	Approved	04/01/1992
OR	Broker Dealer	Approved	09/03/1991
PA	Broker Dealer	Approved	11/12/1992
PCX	Broker Dealer	Term Requested	10/28/2003
PR	Broker Dealer	Term Requested	12/31/2002
RI	Broker Dealer	Approved	05/12/1992
SC	Broker Dealer	Approved	08/14/1992
SD	Broker Dealer	Approved	02/04/1994
SEC	Broker Dealer	Approved	06/19/1984
TN	Broker Dealer	Approved	05/16/1991
TX	Broker Dealer	Approved	06/07/1991
UT	Broker Dealer	Approved	08/29/1990
VA	Broker Dealer	Approved	07/18/1991
VT	Broker Dealer	Approved	01/10/1994
WA	Broker Dealer	Approved	02/04/1992
WI	Broker Dealer	Approved	02/03/1995
WV	Broker Dealer	Approved	06/09/1992
WY	Broker Dealer	Approved	08/23/1993

Document Title

Data Current as of: 10/25/2005

File for:  
CRD# 11899  
BRYAN FUNDING, INC.

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	BRYAN FUNDING, INC.
<b>CRD Number</b>	11899
<b>SEC Number</b>	8-027880
<b>Applicant Name on Form BD</b>	BRYAN FUNDING, INC.
<b>Prior Business Names</b>	BRYAN FUNDING INC
<b>Business Phone Number</b>	412-276-9393
<b>Main Office</b>	Located in NASD District: 9-Philadelphia
<b>Main Office Address</b>	393 VANADIUM ROAD PITTSBURGH, PA 15243-1427
<b>Mailing Address</b>	393 VANADIUM ROAD PITTSBURGH, PA 15243-1427

Document Title

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Data Current as of: 10/17/2005

File for:

CRD# 11899

BRYAN FUNDING, INC. \*

393 Vandium Road  
Pittsburgh, PA 15243-1457**Registrations**

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
CA	Broker Dealer	Approved	05/26/1995
DE	Broker Dealer	Approved	10/06/2005
FL	Broker Dealer	Approved	10/08/1993
MD	Broker Dealer	Approved	08/09/2005
MN	Broker Dealer	Approved	09/30/1993
NASD	Broker Dealer	Approved	12/05/1985
NC	Broker Dealer	Term Requested	12/31/2001
NH	Broker Dealer	Approved	10/31/1996
NJ	Broker Dealer	Approved	06/18/1996
NV	Broker Dealer	Approved	12/18/2000
NY	Broker Dealer	Approved	10/12/2005
OH	Broker Dealer	Approved	09/01/1993
PA	Broker Dealer	Approved	08/31/1982
SEC	Broker Dealer	Approved	06/30/1982

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 130116

BROKERBANK SECURITIES, INC.

### ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	BROKERBANK SECURITIES, INC.
<b>CRD Number</b>	130116
<b>SEC Number</b>	8-066310
<b>Applicant Name on Form BD</b>	BROKERBANK SECURITIES, INC.
<b>Business Phone Number</b>	952-943-3925
<b>Main Office</b>	Located in NASD District: 4-Kansas City
<b>Main Office Address</b>	SUITE 508 - 7825 WASHINGTON AVENUE BLOOMINGTON / EDEN PRAIRIE, MN 55439
<b>Mailing Address</b>	9484 PAINTERS RIDGE SUITE 100 EDEN PRAIRIE, MN 55347-2831

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 130116

BROKERBANK SECURITIES, INC. \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b>Status As Of Date</b>
FL	Broker Dealer	Approved	05/16/2005
MN	Broker Dealer	Approved	05/21/2004
NASD	Broker Dealer	Approved	05/20/2004
NV	Broker Dealer	Approved	04/14/2005
SEC	Broker Dealer	Approved	05/20/2004
WI	Broker Dealer	Approved	06/15/2004

Document Title

Data Current as of: 10/25/2005

File for:  
CRD# 20999  
CALTON & ASSOCIATES, INC.

### ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	CALTON & ASSOCIATES, INC.
<b>CRD Number</b>	20999
<b>SEC Number</b>	8-038635
<b>Applicant Name on Form BD</b>	CALTON & ASSOCIATES, INC.
<b>Business Phone Number</b>	813-264-0440
<b>Main Office</b>	Located in NASD District: Florida
<b>Main Office Address</b>	14497 N. DALE MABRY HWY STE. 215 TAMPA, FL 33618
<b>Mailing Address</b>	14497 N. DALE MABRY HWY STE. 215 TAMPA, FL 33618

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 20999

CALTON &amp; ASSOCIATES, INC. \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b>Status As Of Date</b>
AK	Broker Dealer	Approved	02/24/1995
AL	Broker Dealer	Approved	02/25/1988
AR	Broker Dealer	Approved	04/23/1991
AZ	Broker Dealer	Approved	05/18/1988
CA	Broker Dealer	Approved	04/11/1988
CO	Broker Dealer	Approved	01/22/1988
CT	Broker Dealer	Approved	02/22/1988
DC	Broker Dealer	Approved	11/08/1993
DE	Broker Dealer	Approved	01/20/1988
FL	Broker Dealer	Approved	12/14/1987
GA	Broker Dealer	Approved	01/20/1988
HI	Broker Dealer	Approved	08/13/1993
IA	Broker Dealer	Approved	03/26/1991
ID	Broker Dealer	Approved	03/16/1992
IL	Broker Dealer	Approved	01/27/1988
IN	Broker Dealer	Approved	01/20/1988
KS	Broker Dealer	Approved	05/11/1992
KY	Broker Dealer	Approved	01/20/1988
LA	Broker Dealer	Approved	01/29/1988
MA	Broker Dealer	Approved	02/14/1991
MD	Broker Dealer	Approved	01/22/1988
ME	Broker Dealer	Approved	02/02/1988
MI	Broker Dealer	Approved	03/02/1988
MN	Broker Dealer	Approved	02/18/1988
MO	Broker Dealer	Approved	03/04/1988
MS	Broker Dealer	Approved	02/28/1990
MT	Broker Dealer	Approved	06/02/1992
NASD	Broker Dealer	Approved	12/15/1987
NC	Broker Dealer	Approved	02/04/1988
ND	Broker Dealer	Approved	03/08/1991
NE	Broker Dealer	Approved	01/18/1990
NH	Broker Dealer	Approved	04/04/1988
NJ	Broker Dealer	Approved	05/27/1988
NM	Broker Dealer	Approved	06/11/1992
NV	Broker Dealer	Approved	02/15/1990
NY	Broker Dealer	Approved	03/24/1988

## Document Title

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OH	Broker Dealer	Approved	06/30/1988
OK	Broker Dealer	Approved	05/15/1991
OR	Broker Dealer	Approved	03/18/1992
PA	Broker Dealer	Approved	03/30/1988
RI	Broker Dealer	Approved	10/29/1991
SC	Broker Dealer	Approved	03/10/1988
SD	Broker Dealer	Approved	03/23/1992
SEC	Broker Dealer	Approved	11/20/1987
TN	Broker Dealer	Approved	01/28/1988
TX	Broker Dealer	Approved	03/10/1988
UT	Broker Dealer	Approved	02/17/1993
VA	Broker Dealer	Approved	01/21/1988
VT	Broker Dealer	Approved	03/22/1995
WA	Broker Dealer	Approved	06/14/1991
WI	Broker Dealer	Approved	04/26/1988
WV	Broker Dealer	Approved	05/22/1991
WY	Broker Dealer	Approved	01/30/1995

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 7779

CAPITAL GROWTH RESOURCES

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	CAPITAL GROWTH RESOURCES
<b>CRD Number</b>	7779
<b>SEC Number</b>	8-026590
<b>Applicant Name on Form BD</b>	CAPITAL GROWTH RESOURCES
<b>Business Phone Number</b>	(619) 440-7023
<b>Main Office</b>	Located in NASD District: 2-Los Angeles
<b>Main Office Address</b>	405 E. LEXINGTON AVENUE SUITE 201 EL CAJON, CA 92020
<b>Mailing Address</b>	P.O. BOX 69 EL CAJON, CA 92020

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 7779

CAPITAL GROWTH RESOURCES \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AZ	Broker Dealer	Approved	08/25/1987
CA	Broker Dealer	Approved	02/21/1984
CO	Broker Dealer	Approved	12/07/1983
CT	Broker Dealer	Approved	11/25/1985
FL	Broker Dealer	Approved	05/03/1994
HI	Broker Dealer	Approved	07/14/1997
IL	Broker Dealer	Approved	06/27/1989
IN	Broker Dealer	Approved	09/12/1985
LA	Broker Dealer	Approved	09/16/1985
MA	Broker Dealer	Approved	03/20/2002
MI	Broker Dealer	Approved	04/04/1994
MN	Broker Dealer	Approved	09/06/1989
NASD	Broker Dealer	Approved	09/25/1979
NC	Broker Dealer	Approved	11/17/1998
NM	Broker Dealer	Approved	09/06/1996
NV	Broker Dealer	Approved	12/13/1994
NY	Broker Dealer	Approved	12/18/1998
OK	Broker Dealer	Approved	03/09/1994
OR	Broker Dealer	Approved	05/04/1998
PA	Broker Dealer	Approved	03/20/1991
RI	Broker Dealer	Approved	05/16/2001
SD	Broker Dealer	Approved	12/18/1984
SEC	Broker Dealer	Approved	09/22/1981
TN	Broker Dealer	Approved	09/21/1997
TX	Broker Dealer	Approved	03/20/1995
UT	Broker Dealer	Approved	07/13/1994
VA	Broker Dealer	Approved	06/29/2001
WA	Broker Dealer	Approved	07/08/1997
WI	Broker Dealer	Approved	05/18/1984
WV	Broker Dealer	Approved	02/02/1995

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 30833

CENTAURUS FINANCIAL, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	CENTAURUS FINANCIAL, INC.
<b>CRD Number</b>	30833
<b>SEC Number</b>	8-045185
<b>Applicant Name on Form BD</b>	CENTAURUS FINANCIAL, INC.
<b>Business Phone Number</b>	714-456-1790
<b>Main Office</b>	Located in NASD District: 2-Los Angeles
<b>Main Office Address</b>	333 CITY BLVD WEST SUITE #2010 ORANGE, CA 92868
<b>Mailing Address</b>	333 CITY BLVD WEST SUITE #2010 ORANGE, CA 92868

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 30833

CENTAURUS FINANCIAL, INC. ✱

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AK	Broker Déaler	Approved	11/09/1993
AL	Broker Déaler	Approved	12/03/1993
AR	Broker Déaler	Approved	04/13/1994
AZ	Broker Déaler	Approved	11/09/1993
CA	Broker Déaler	Approved	04/22/1993
CO	Broker Déaler	Approved	06/02/1993
CT	Broker Déaler	Approved	09/07/1993
DC	Broker Déaler	Approved	07/30/1993
DE	Broker Déaler	Approved	01/26/1994
FL	Broker Déaler	Approved	08/18/1993
GA	Broker Déaler	Approved	10/13/1993
HI	Broker Déaler	Approved	10/20/1993
IA	Broker Dealer	Approved	06/30/1993
ID	Broker Dealer	Approved	12/07/1993
IL	Broker Dealer	Approved	08/31/1993
IN	Broker Dealer	Approved	06/21/1993
KS	Broker Dealer	Approved	10/28/1993
KY	Broker Dealer	Approved	07/02/1993
LA	Broker Dealer	Approved	10/29/1993
MA	Broker Déaler	Approved	10/22/1993
MD	Broker Deàler	Approved	06/29/1993
ME	Broker Deàler	Approved	01/31/1994
MI	Broker Dealer	Approved	06/02/1993
MN	Broker Deàler	Approved	11/02/1993
MO	Broker Deàler	Approved	10/25/1994
MS	Broker Deàler	Approved	09/08/1993
MT	Broker Deàler	Approved	06/08/1993
NASD	Broker Deàler	Approved	04/15/1993
NC	Broker Deàler	Approved	06/23/1993
ND	Broker Deàler	Approved	03/07/1994
NE	Broker Deàler	Approved	01/01/1994
NH	Broker Deàler	Approved	11/15/1993
NJ	Broker Deàler	Approved	08/18/1993
NM	Broker Deàler	Approved	11/10/1993
NV	Broker Deàler	Approved	11/05/1993
NY	Broker Deàler	Approved	10/28/1993

## Document Title

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OH	Broker Dealer	Approved	10/20/1993
OK	Broker Dealer	Approved	07/07/1993
OR	Broker Dealer	Approved	07/21/1993
PA	Broker Dealer	Approved	02/01/1994
RI	Broker Dealer	Approved	09/02/1993
SC	Broker Dealer	Approved	10/19/1993
SD	Broker Dealer	Approved	10/20/1993
SEC	Broker Dealer	Approved	01/21/1993
TN	Broker Dealer	Approved	03/22/1995
TX	Broker Dealer	Approved	08/13/1993
UT	Broker Dealer	Approved	07/09/1993
VA	Broker Dealer	Approved	10/21/1993
VT	Broker Dealer	Approved	09/20/1993
WA	Broker Dealer	Approved	06/15/1993
WI	Broker Dealer	Approved	06/11/1993
WV	Broker Dealer	Approved	07/06/1993
WY	Broker Dealer	Approved	07/08/1993

CRD# 6312

CROWN CAPITAL SECURITIES, L.P.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	CROWN CAPITAL SECURITIES, L.P.
<b>CRD Number</b>	6312
<b>SEC Number</b>	8-017264
<b>Applicant Name on Form BD</b>	CROWN CAPITAL SECURITIES, L.P.
<b>Prior Business Names</b>	ERIC EQUITIES, INC.
<b>Business Phone Number</b>	714-547-9481
<b>Main Office</b>	Located in NASD District: 2-Los Angeles
<b>Main Office Address</b>	725 TOWN & COUNTRY ROAD SUITE 530 ORANGE, CA 92868
<b>Mailing Address</b>	725 TOWN & COUNTRY ROAD SUITE 530 ORANGE, CA 92868

CRD# 6312

CROWN CAPITAL SECURITIES, L.P.

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of Date</u></b>
AK	Broker Dealer	Approved	05/14/1999
AL	Broker Dealer	Approved	11/16/1999
AR	Broker Dealer	Approved	05/10/1999
AZ	Broker Dealer	Approved	05/21/1999
CA	Broker Dealer	Approved	07/16/1999
CO	Broker Dealer	Approved	05/12/1999
CT	Broker Dealer	Approved	05/27/1999
DC	Broker Dealer	Approved	05/23/1999
DE	Broker Dealer	Approved	05/21/1999
FL	Broker Dealer	Approved	05/13/1999
GA	Broker Dealer	Approved	05/18/1999
HI	Broker Dealer	Approved	10/20/1999
IA	Broker Dealer	Approved	06/01/1999
ID	Broker Dealer	Approved	05/04/1999
IL	Broker Dealer	Approved	05/13/1999
IN	Broker Dealer	Approved	08/16/1999
KS	Broker Dealer	Approved	06/11/1999
KY	Broker Dealer	Approved	04/21/1999
LA	Broker Dealer	Approved	05/07/1999
MA	Broker Dealer	Approved	06/02/1999
MD	Broker Dealer	Approved	04/27/1999
ME	Broker Dealer	Approved	05/13/1999
MI	Broker Dealer	Approved	05/27/1999
MN	Broker Dealer	Approved	05/11/1999
MO	Broker Dealer	Approved	09/27/1999
MS	Broker Dealer	Approved	06/09/1999
MT	Broker Dealer	Approved	04/26/1999
NASD	Broker Dealer	Approved	09/20/1972
NC	Broker Dealer	Approved	07/15/1999
ND	Broker Dealer	Approved	08/05/1999
NE	Broker Dealer	Approved	06/18/1999
NH	Broker Dealer	Approved	06/17/1999
NJ	Broker Dealer	Approved	05/14/1999
NM	Broker Dealer	Approved	05/17/1999
NV	Broker Dealer	Approved	05/06/1999
NY	Broker Dealer	Approved	05/10/1999
OH	Broker Dealer	Approved	05/18/1999
OK	Broker Dealer	Approved	04/30/1999

OR	Broker Dealer	Approved	05/13/1999
PA	Broker Dealer	Approved	04/30/1999
RI	Broker Dealer	Approved	05/17/1999
SC	Broker Dealer	Approved	05/05/1999
SD	Broker Dealer	Approved	04/27/1999
SEC	Broker Dealer	Approved	08/29/1972
TN	Broker Dealer	Approved	05/07/1999
TX	Broker Dealer	Approved	05/21/1999
UT	Broker Dealer	Approved	04/23/1999
VA	Broker Dealer	Approved	04/19/1999
VT	Broker Dealer	Approved	06/01/1999
WA	Broker Dealer	Approved	04/26/1999
WI	Broker Dealer	Approved	05/21/1999
WV	Broker Dealer	Approved	04/26/1999
WY	Broker Dealer	Approved	05/06/1999

File for:

CRD# 45670

DAVID HARRIS &amp; CO., INC.

Data Current as of: 12/21/2006

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	DAVID HARRIS & CO., INC.
<b>CRD Number</b>	45670
<b>SEC Number</b>	8-051118
<b>Applicant Name on Form BD</b>	DAVID HARRIS & CO., INC.
<b>Prior Business Names</b>	PAPILLON SECURITIES, INC.
<b>Business Phone Number</b>	914-683-8400
<b>Main Office</b>	Located in NASD District: 9- Woodbridge
<b>Main Office Address</b>	222 MAMARONECK AVENUE WHITE PLAINS, NY 10605
<b>Mailing Address</b>	P.O. BOX 668 WHITE PLAINS, NY 10602

File for:

CRD# 45670

DAVID HARRIS &amp; CO., INC.

Data Current as of: 12/21/2006

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of</u> <u>Date</u></b>
AZ	Broker Dealer	Approved	05/22/2000
CA	Broker Dealer	Approved	11/17/1998
CT	Broker Dealer	Approved	02/02/1999
FL	Broker Dealer	Approved	11/17/1998
HI	Broker Dealer	Approved	10/02/2000
IL	Broker Dealer	Approved	01/04/1999
MA	Broker Dealer	Approved	01/04/1998
MD	Broker Dealer	Approved	08/29/2006
ME	Broker Dealer	Approved	06/13/2000
MI	Broker Dealer	Approved	09/29/2006
NASD	Broker Dealer	Approved	11/12/1998
NJ	Broker Dealer	Approved	06/08/2000
NY	Broker Dealer	Approved	11/19/1998
PA	Broker Dealer	Approved	05/12/2000
SC	Broker Dealer	Approved	01/12/2006
SEC	Broker Dealer	Approved	11/12/1998
TX	Broker Dealer	Approved	10/14/1998
VA	Broker Dealer	Approved	05/15/2003

Document Title

Data Current as of: 10/25/2005

File for:  
CRD# 45254  
EAGLE ONE INVESTMENTS, LLC

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	EAGLE ONE INVESTMENTS, LLC
<b>CRD Number</b>	45254
<b>SEC Number</b>	8-051002
<b>Applicant Name on Form BD</b>	EAGLE ONE INVESTMENTS, LLC
<b>Business Phone Number</b>	701-223-5394
<b>Main Office</b>	Located in NASD District: 4-Kansas City
<b>Main Office Address</b>	401 WESTVIEW COURT WASHINGTON, IA 52353-0886
<b>Mailing Address</b>	P.O. BOX 886 WASHINGTON, IA 52353-0886

File for:

CRD# 45254

EAGLE ONE INVESTMENTS, LLC \*

Data Current as of: 10/17/2005

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AL	Broker Dealer	Approved	09/28/2001
AR	Broker Dealer	Approved	10/06/1999
AZ	Broker Dealer	Approved	07/24/1998
CA	Broker Dealer	Approved	08/09/1999
CO	Broker Dealer	Approved	06/04/1999
DC	Broker Dealer	Approved	09/06/2005
FL	Broker Dealer	Approved	07/23/1998
GA	Broker Dealer	Approved	03/29/2000
IA	Broker Dealer	Approved	07/14/1998
ID	Broker Dealer	Approved	06/22/2000
IL	Broker Dealer	Approved	07/15/1998
IN	Broker Dealer	Approved	11/18/1999
KS	Broker Dealer	Approved	08/12/1998
KY	Broker Dealer	Approved	11/09/1998
LA	Broker Dealer	Approved	05/04/1999
MD	Broker Dealer	Approved	06/23/2003
MI	Broker Dealer	Approved	11/14/2000
MN	Broker Dealer	Approved	07/27/1998
MO	Broker Dealer	Approved	07/28/1998
MS	Broker Dealer	Approved	02/24/2005
MT	Broker Dealer	Approved	01/08/2001
NASD	Broker Dealer	Approved	07/14/1998
NC	Broker Dealer	Approved	10/12/1999
ND	Broker Dealer	Approved	09/21/1998
NE	Broker Dealer	Approved	07/28/1998
NJ	Broker Dealer	Approved	01/26/2005
NM	Broker Dealer	Approved	08/31/2001
NV	Broker Dealer	Approved	11/02/1999
NY	Broker Dealer	Approved	02/28/2004
OH	Broker Dealer	Approved	02/09/1999
OK	Broker Dealer	Approved	11/16/1998
OR	Broker Dealer	Approved	04/28/1999
PA	Broker Dealer	Approved	12/07/2004
RI	Broker Dealer	Approved	11/18/2004
SD	Broker Dealer	Approved	07/14/1998
SEC	Broker Dealer	Approved	07/14/1998

Document Title

TX	Broker Dealer	Approved	07/07/1998
UT	Broker Dealer	Approved	06/29/2000
VA	Broker Dealer	Approved	08/30/2000
WA	Broker Dealer	Approved	04/15/1999
WI	Broker Dealer	Approved	08/31/1998
WY	Broker Dealer	Approved	08/23/1999

Document Title

Data Current as of: 10/25/2005

File for:  
CRD# 46000  
EPLANNING SECURITIES, INC.

### ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	EPLANNING SECURITIES, INC.
<b>CRD Number</b>	46000
<b>SEC Number</b>	8-051271
<b>Applicant Name on Form BD</b>	EPLANNING SECURITIES, INC.
<b>Prior Business Names</b>	E-PLANNING.COM SECURITIES, INC.
<b>Business Phone Number</b>	916-677-0177
<b>Main Office</b>	Located in NASD District: 1-San Francisco
<b>Main Office Address</b>	3721 DOUGLAS BLVD. SUITE 200 ROSEVILLE, CA 95661
<b>Mailing Address</b>	3721 DOUGLAS BLVD. #200 ROSEVILLE, CA 95661

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 46000

EPLANNING SECURITIES, INC. \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AK	Broker Déaler	Approved	12/17/1999
AL	Broker Déaler	Approved	01/26/2000
AR	Broker Déaler	Approved	12/03/1999
AZ	Broker Déaler	Approved	12/14/1999
CA	Broker Déaler	Approved	05/26/1999
CO	Broker Déaler	Approved	08/17/1999
CT	Broker Déaler	Approved	02/07/2000
DC	Broker Déaler	Approved	01/05/2000
DE	Broker Déaler	Approved	11/09/1999
FL	Broker Déaler	Approved	12/16/1999
GA	Broker Déaler	Approved	11/05/1999
HI	Broker Déaler	Approved	01/03/2000
IA	Broker Déaler	Approved	11/15/1999
ID	Broker Déaler	Approved	08/06/1999
IL	Broker Déaler	Approved	12/17/1999
IN	Broker Déaler	Approved	01/26/2000
KS	Broker Déaler	Approved	12/10/1999
KY	Broker Déaler	Approved	11/08/1999
LA	Broker Déaler	Approved	12/15/1999
MA	Broker Déaler	Approved	10/25/1999
MD	Broker Déaler	Approved	10/04/1999
ME	Broker Déaler	Approved	01/27/2000
MI	Broker Déaler	Approved	02/02/2000
MN	Broker Déaler	Approved	01/28/2000
MO	Broker Déaler	Approved	01/03/2000
MS	Broker Déaler	Approved	11/26/1999
MT	Broker Déaler	Approved	11/01/1999
NASD	Broker Déaler	Approved	03/11/1999
NC	Broker Déaler	Approved	12/14/1999
ND	Broker Déaler	Approved	12/09/1999
NE	Broker Déaler	Approved	12/16/1999
NH	Broker Déaler	Approved	02/29/2000
NJ	Broker Déaler	Approved	03/14/2000
NM	Broker Déaler	Approved	01/03/2000
NV	Broker Déaler	Approved	10/15/1999
NY	Broker Déaler	Approved	12/14/1999

## Document Title

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OH	Broker Dealer	Approved	02/11/2000
OK	Broker Dealer	Approved	12/06/1999
OR	Broker Dealer	Approved	12/03/1999
PA	Broker Dealer	Approved	11/10/1999
PR	Broker Dealer	Approved	01/12/2000
RI	Broker Dealer	Approved	11/03/1999
SC	Broker Dealer	Approved	11/02/1999
SD	Broker Dealer	Approved	08/26/1999
SEC	Broker Dealer	Approved	03/11/1999
TN	Broker Dealer	Approved	12/21/1999
TX	Broker Dealer	Approved	12/20/1999
UT	Broker Dealer	Approved	09/27/1999
VA	Broker Dealer	Approved	12/14/1999
VT	Broker Dealer	Approved	12/14/1999
WA	Broker Dealer	Approved	08/02/1999
WI	Broker Dealer	Approved	12/14/1999
WV	Broker Dealer	Approved	10/28/1999
WY	Broker Dealer	Approved	11/04/1999

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 135398

EQUINOX SECURITIES, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	EQUINOX SECURITIES, INC.
<b>CRD Number</b>	135398
<b>SEC Number</b>	8-066916
<b>Applicant Name on Form BD</b>	EQUINOX SECURITIES, INC.
<b>Business Phone Number</b>	760 868-5859
<b>Main Office</b>	Located In NASD District: 2-Los Angeles
<b>Main Office Address</b>	4050 PHELAN ROAD, SUITE 9 PHELAN, CA 92371
<b>Mailing Address</b>	4050 PHELAN ROAD, SUITE 9 PHELAN, CA 92371

 File for:

CRD# 135398

EQUINOX SECURITIES, INC.

Data Current as of: 10/26/2005

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of Date</u></b>
AL	Broker Dealer	Approved	07/22/2005
AZ	Broker Dealer	Approved	08/19/2005
CA	Broker Dealer	Approved	06/29/2005
CO	Broker Dealer	Approved	08/22/2005
CT	Broker Dealer	Approved	08/15/2005
DC	Broker Dealer	Approved	07/11/2005
DE	Broker Dealer	Approved	08/11/2005
FL	Broker Dealer	Approved	07/19/2005
GA	Broker Dealer	Approved	08/17/2005
IL	Broker Dealer	Approved	08/02/2005
KS	Broker Dealer	Approved	07/19/2005
MA	Broker Dealer	Approved	07/07/2005
MI	Broker Dealer	Approved	08/29/2005
MN	Broker Dealer	Approved	07/27/2005
NASD	Broker Dealer	Approved	06/29/2005
NC	Broker Dealer	Approved	07/15/2005
NJ	Broker Dealer	Approved	08/10/2005
NM	Broker Dealer	Approved	07/21/2005
NV	Broker Dealer	Approved	07/08/2005
NY	Broker Dealer	Approved	08/22/2005
OH	Broker Dealer	Approved	07/14/2005
OK	Broker Dealer	Approved	07/06/2005
PA	Broker Dealer	Approved	07/11/2005
SC	Broker Dealer	Approved	08/17/2005
SEC	Broker Dealer	Approved	06/29/2005
TN	Broker Dealer	Approved	10/06/2005
TX	Broker Dealer	Approved	07/18/2005
VA	Broker Dealer	Approved	07/12/2005
WA	Broker Dealer	Approved	07/05/2005
WI	Broker Dealer	Approved	07/22/2005

 File for:

CRD# 16337

FFP SECURITIES, INC.

Data Current as of: 11/07/2006

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	FFP SECURITIES, INC.
<b>CRD Number</b>	16337
<b>SEC Number</b>	8-033728
<b>Applicant Name on Form BD</b>	FFP SECURITIES, INC.
<b>Business Phone Number</b>	636-537-1040
<b>Main Office</b>	Located in NASD District: 4-Kansas City
<b>Main Office Address</b>	15455 CONWAY ROAD ST. LOUIS, MO 63017-2022
<b>Mailing Address</b>	15455 CONWAY ROAD ST. LOUIS, MO 63017-2022

File for:  
 CRD# 16337  
 FFP SECURITIES, INC.

Data Current as of: 11/07/2006

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of</u> <u>Date</u></b>
AK	Broker Dealer	Approved	07/09/1990
AL	Broker Dealer	Approved	05/08/1986
AR	Broker Dealer	Approved	04/07/1986
AZ	Broker Dealer	Approved	04/07/1986
CA	Broker Dealer	Approved	03/26/1986
CO	Broker Dealer	Approved	03/18/1986
CT	Broker Dealer	Approved	04/23/1986
DC	Broker Dealer	Approved	08/18/1988
DE	Broker Dealer	Approved	05/19/1986
FL	Broker Dealer	Approved	06/18/1986
GA	Broker Dealer	Approved	04/17/1986
HI	Broker Dealer	Approved	03/29/1990
IA	Broker Dealer	Approved	04/09/1986
ID	Broker Dealer	Approved	05/01/1986
IL	Broker Dealer	Approved	01/02/1986
IN	Broker Dealer	Approved	06/03/1986
KS	Broker Dealer	Approved	04/15/1986
KY	Broker Dealer	Approved	05/27/1986
LA	Broker Dealer	Approved	05/08/1986
MA	Broker Dealer	Approved	06/29/1986
MD	Broker Dealer	Approved	04/23/1986
ME	Broker Dealer	Approved	04/15/1986
MI	Broker Dealer	Approved	08/25/1986
MN	Broker Dealer	Approved	06/04/1986
MO	Broker Dealer	Approved	05/10/1985
MS	Broker Dealer	Approved	04/30/1986
MT	Broker Dealer	Approved	04/09/1986
NASD	Broker Dealer	Approved	06/24/1985
NC	Broker Dealer	Approved	03/20/1986
ND	Broker Dealer	Approved	04/28/1986
NE	Broker Dealer	Approved	05/28/1986
NH	Broker Dealer	Approved	04/11/1986
NJ	Broker Dealer	Approved	09/02/1986
NM	Broker Dealer	Approved	05/13/1986
NV	Broker Dealer	Approved	04/04/1986
NY	Broker Dealer	Approved	08/06/1986

OH	Broker Dealer	Approved	03/26/1986
OK	Broker Dealer	Approved	03/26/1986
OR	Broker Dealer	Approved	04/29/1986
PA	Broker Dealer	Approved	04/18/1986
RI	Broker Dealer	Approved	05/20/1986
SC	Broker Dealer	Approved	09/23/1985
SD	Broker Dealer	Approved	04/25/1986
SEC	Broker Dealer	Approved	04/22/1985
TN	Broker Dealer	Approved	04/10/1986
TX	Broker Dealer	Approved	03/24/1986
UT	Broker Dealer	Approved	05/13/1986
VA	Broker Dealer	Approved	06/16/1986
VT	Broker Dealer	Approved	08/13/1986
WA	Broker Dealer	Approved	04/28/1986
WI	Broker Dealer	Approved	07/30/1986
WV	Broker Dealer	Approved	05/07/1986
WY	Broker Dealer	Approved	04/14/1986

Document Title

Data Current as of: 10/25/2005

File for:  
CRD# 16668  
FINANCIAL WEST GROUP

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	FINANCIAL WEST GROUP
<b>CRD Number</b>	16668
<b>SEC Number</b>	8-034448
<b>Applicant Name on Form BD</b>	FINANCIAL WEST INVESTMENT GROUP, INC.
<b>Prior Business Names</b>	PACIFIC ASSET GROUP, INC.
<b>Business Phone Number</b>	805-497-9222
<b>Main Office</b>	Located in NASD District: 2-Los Angeles
<b>Main Office Address</b>	4510 E. THOUSAND OAKS BLVD. WESTLAKE VILLAGE, CA 91362
<b>Mailing Address</b>	P.O. BOX 5123 THOUSAND OAKS, CA 91359-5123

Document Title

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Data Current as of: 10/17/2005

File for:

CRD# 16668

FINANCIAL WEST GROUP \*

1276003 To or From Regal  
 11/11/2004 Village, CA 91301

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AK	Broker Déaler	Approved	06/15/1990
AL	Broker Déaler	Approved	04/11/1995
AR	Broker Déaler	Approved	05/18/1995
AZ	Broker Déaler	Approved	06/05/1989
CA	Broker Déaler	Approved	05/08/1986
CO	Broker Dealer	Approved	02/12/1990
CT	Broker Déaler	Approved	09/13/1989
DC	Broker Dealer	Approved	08/21/1988
DE	Broker Dealer	Approved	01/30/1995
FL	Broker Dealer	Approved	08/10/1988
GA	Broker Dealer	Approved	01/10/1991
HI	Broker Dealer	Approved	11/05/1987
IA	Broker Déaler	Approved	05/14/1990
ID	Broker Déaler	Approved	08/01/1994
IL	Broker Dealer	Approved	09/09/1988
IN	Broker Dealer	Approved	05/29/1992
KS	Broker Dealer	Approved	08/28/1991
KY	Broker Déaler	Approved	07/26/1994
LA	Broker Déaler	Approved	01/26/1995
MA	Broker Déaler	Approved	07/12/1990
MD	Broker Déaler	Approved	08/05/1988
ME	Broker Dealer	Approved	08/16/1999
MI	Broker Dealer	Approved	08/20/1990
MN	Broker Dealer	Approved	03/26/1992
MO	Broker Dealer	Approved	01/29/1991
MS	Broker Dealer	Approved	02/27/1995
MT	Broker Déaler	Approved	09/10/1991
NASD	Broker Déaler	Approved	03/21/1986
NC	Broker Déaler	Approved	01/26/1989
ND	Broker Déaler	Approved	11/29/1999
NE	Broker Dealer	Approved	03/27/1992
NH	Broker Dealer	Approved	08/30/1995
NJ	Broker Dealer	Approved	09/14/1990
NM	Broker Déaler	Approved	09/23/1988
NV	Broker Déaler	Approved	03/25/1989
NY	Broker Dealer	Approved	08/04/1988

## Document Title

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OH	Broker Dealer	Approved	02/07/1992
OK	Broker Dealer	Approved	09/23/1988
OR	Broker Dealer	Approved	06/04/1990
PA	Broker Dealer	Approved	09/20/1989
RI	Broker Dealer	Approved	02/14/1995
SC	Broker Dealer	Approved	02/08/1995
SD	Broker Dealer	Approved	02/14/1992
SEC	Broker Dealer	Approved	09/30/1985
TN	Broker Dealer	Approved	05/03/1995
TX	Broker Dealer	Approved	03/22/1989
UT	Broker Dealer	Approved	05/31/1989
VA	Broker Dealer	Approved	08/05/1988
VT	Broker Dealer	Approved	07/18/1995
WA	Broker Dealer	Approved	11/08/1991
WI	Broker Dealer	Approved	07/13/1992
WV	Broker Dealer	Approved	02/07/1995
WY	Broker Dealer	Approved	02/13/1995

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 35567

IMS SECURITIES, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	IMS SECURITIES, INC.
<b>CRD Number</b>	35567
<b>SEC Number</b>	8-046722
<b>Applicant Name on Form BD</b>	IMS SECURITIES, INC.
<b>Business Phone Number</b>	713-266-2993
<b>Main Office</b>	Located in NASD District: 6-Dallas
<b>Main Office Address</b>	1500 CITY WEST BLVD. SUITE 500 HOUSTON, TX 77042
<b>Mailing Address</b>	1500 CITY WEST BLVD. SUITE 500 HOUSTON, TX 77042

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 35567

IMS SECURITIES, INC. \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AK	Broker Dealer	Approved	08/11/2004
AL	Broker Dealer	Approved	11/27/1995
AR	Broker Dealer	Approved	03/12/1999
AZ	Broker Dealer	Approved	01/31/1997
CA	Broker Dealer	Approved	05/26/1994
CO	Broker Dealer	Approved	06/10/1994
CT	Broker Dealer	Approved	03/06/1998
DC	Broker Dealer	Approved	02/15/2002
DE	Broker Dealer	Approved	10/27/2004
FL	Broker Dealer	Approved	06/30/1994
GA	Broker Dealer	Approved	01/30/1998
HI	Broker Dealer	Approved	05/26/2004
IA	Broker Dealer	Approved	09/27/2000
ID	Broker Dealer	Approved	03/12/1997
IL	Broker Dealer	Approved	06/03/1994
IN	Broker Dealer	Approved	06/22/1994
KS	Broker Dealer	Approved	08/26/2002
KY	Broker Dealer	Approved	09/26/2002
LA	Broker Dealer	Approved	05/26/1994
MA	Broker Dealer	Approved	02/05/2001
MD	Broker Dealer	Approved	06/03/1994
MI	Broker Dealer	Approved	06/06/1994
MN	Broker Dealer	Approved	04/08/1997
MO	Broker Dealer	Approved	06/16/1995
MS	Broker Dealer	Approved	04/04/1995
NASD	Broker Dealer	Approved	02/14/1994
NC	Broker Dealer	Approved	06/07/1994
NE	Broker Dealer	Approved	11/14/2001
NH	Broker Dealer	Approved	11/14/2000
NJ	Broker Dealer	Approved	05/09/1995
NM	Broker Dealer	Approved	06/13/1994
NV	Broker Dealer	Approved	02/07/1995
NY	Broker Dealer	Approved	06/15/1994
OH	Broker Dealer	Approved	06/07/1994
OK	Broker Dealer	Approved	03/17/1994
OR	Broker Dealer	Approved	03/11/1999

## Document Title

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PA	Broker Dealer	Approved	04/04/1995
SC	Broker Dealer	Approved	01/29/1996
SD	Broker Dealer	Approved	12/07/1999
SEC	Broker Dealer	Approved	12/06/1993
TN	Broker Dealer	Approved	11/05/1997
TX	Broker Dealer	Approved	01/18/1994
UT	Broker Dealer	Approved	03/13/1996
VA	Broker Dealer	Approved	06/06/1994
VT	Broker Dealer	Approved	08/04/2000
WA	Broker Dealer	Approved	01/19/1996
WI	Broker Dealer	Approved	12/10/2001
WV	Broker Dealer	Approved	11/12/2002
WY	Broker Dealer	Approved	05/05/2005

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 16164

INTERSECURITIES, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	INTERSECURITIES, INC.
<b>CRD Number</b>	16164
<b>SEC Number</b>	8-033429
<b>Applicant Name on Form BD</b>	INTERSECURITIES, INC.
<b>Prior Business Names</b>	IDEX DISTRIBUTORS, INC. PIONEER WESTERN DISTRIBUTORS, INC.
<b>Business Phone Number</b>	727-299-1800
<b>Main Office</b>	Located in NASD District: Florida
<b>Main Office Address</b>	570 CARILLON PARKWAY ST. PETERSBURG, FL 33716-1202
<b>Mailing Address</b>	P.O. BOX 9053 CLEARWATER, FL 33758-9053

File for:

Data Current as of: 10/26/2005

CRD# 16164

INTERSECURITIES, INC.

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of</u> <u>Date</u></b>
AK	Broker Dealer	Approved	04/01/1985
AL	Broker Dealer	Approved	02/22/1985
AR	Broker Dealer	Approved	12/17/1985
AZ	Broker Dealer	Approved	04/02/1985
CA	Broker Dealer	Approved	04/10/1985
CO	Broker Dealer	Approved	04/19/1985
CT	Broker Dealer	Approved	07/01/1985
DC	Broker Dealer	Approved	03/08/1985
DE	Broker Dealer	Approved	04/03/1985
FL	Broker Dealer	Approved	03/04/1985
GA	Broker Dealer	Approved	03/25/1985
HI	Broker Dealer	Approved	08/26/1985
IA	Broker Dealer	Approved	04/18/1985
ID	Broker Dealer	Approved	05/21/1985
IL	Broker Dealer	Approved	02/21/1985
IN	Broker Dealer	Approved	02/20/1985
KS	Broker Dealer	Approved	04/16/1985
KY	Broker Dealer	Approved	02/26/1985
LA	Broker Dealer	Approved	06/07/1985
MA	Broker Dealer	Approved	03/25/1985
MD	Broker Dealer	Approved	02/19/1985
ME	Broker Dealer	Approved	03/25/1985
MI	Broker Dealer	Approved	03/19/1985
MN	Broker Dealer	Approved	02/20/1985
MO	Broker Dealer	Approved	04/09/1990
MS	Broker Dealer	Approved	04/19/1985
MT	Broker Dealer	Approved	03/20/1985
NASD	Broker Dealer	Approved	03/19/1985
NC	Broker Dealer	Approved	03/28/1985
ND	Broker Dealer	Approved	03/08/1985
NE	Broker Dealer	Approved	03/11/1985
NH	Broker Dealer	Approved	03/27/1985
NJ	Broker Dealer	Approved	04/11/1985
NM	Broker Dealer	Approved	03/20/1985
NV	Broker Dealer	Approved	02/05/1985
NY	Broker Dealer	Approved	03/06/1985

OH	Broker Dealer	Approved	02/20/1985
OK	Broker Dealer	Approved	02/28/1985
OR	Broker Dealer	Approved	03/21/1985
PA	Broker Dealer	Approved	03/04/1985
PR	Broker Dealer	Approved	09/10/1999
RI	Broker Dealer	Approved	03/29/1985
SC	Broker Dealer	Approved	04/29/1985
SD	Broker Dealer	Approved	05/06/1985
SEC	Broker Dealer	Approved	02/14/1985
TN	Broker Dealer	Approved	03/26/1985
TX	Broker Dealer	Approved	02/25/1985
UT	Broker Dealer	Approved	05/03/1985
VA	Broker Dealer	Approved	02/21/1985
VT	Broker Dealer	Approved	03/22/1985
WA	Broker Dealer	Approved	06/26/1991
WI	Broker Dealer	Approved	05/14/1985
WV	Broker Dealer	Approved	03/25/1985
WY	Broker Dealer	Approved	03/28/1985

 File for:

CRD# 12984

INVEST FINANCIAL CORPORATION

Data Current as of: 11/21/2006

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	INVEST FINANCIAL CORPORATION
<b>CRD Number</b>	12984
<b>SEC Number</b>	8-027691
<b>Applicant Name on Form BD</b>	IFC HOLDINGS, INC.
<b>Prior Business Names</b>	INVEST FINANCIAL CORPORATION ISFA CORPORATION
<b>Business Phone Number</b>	800-242-4732
<b>Main Office</b>	Located in NASD District: Florida
<b>Main Office Address</b>	8745 HENDERSON ROAD SUITE 300 TAMPA, FL 33634
<b>Mailing Address</b>	8745 HENDERSON ROAD SUITE 300 TAMPA, FL 33634

File for:

Data Current as of: 11/21/2006

CRD# 12984

INVEST FINANCIAL CORPORATION

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of Date</u></b>
AK	Broker Dealer	Approved	05/19/1983
AL	Broker Dealer	Approved	12/01/1982
AR	Broker Dealer	Approved	05/10/1983
AZ	Broker Dealer	Approved	12/08/1982
CA	Broker Dealer	Approved	10/01/1982
CO	Broker Dealer	Approved	02/01/1983
CT	Broker Dealer	Approved	01/28/1983
DC	Broker Dealer	Approved	04/21/1983
DE	Broker Dealer	Approved	01/01/1983
FL	Broker Dealer	Approved	04/27/1983
GA	Broker Dealer	Approved	12/06/1982
HI	Broker Dealer	Approved	11/26/1982
IA	Broker Dealer	Approved	07/14/1983
ID	Broker Dealer	Approved	06/08/1983
IL	Broker Dealer	Approved	12/07/1982
IN	Broker Dealer	Approved	02/15/1983
KS	Broker Dealer	Approved	11/24/1982
KY	Broker Dealer	Approved	02/14/1983
LA	Broker Dealer	Approved	04/20/1983
MA	Broker Dealer	Approved	12/01/1982
MD	Broker Dealer	Approved	12/01/1982
ME	Broker Dealer	Approved	02/09/1984
MI	Broker Dealer	Approved	02/02/1983
MN	Broker Dealer	Approved	12/01/1982
MO	Broker Dealer	Approved	07/18/1983
MS	Broker Dealer	Approved	04/18/1983
MT	Broker Dealer	Approved	04/20/1983
NASD	Broker Dealer	Approved	12/01/1982
NC	Broker Dealer	Approved	01/07/1983
ND	Broker Dealer	Approved	04/15/1983
NE	Broker Dealer	Approved	01/13/1983
NH	Broker Dealer	Approved	02/02/1983
NJ	Broker Dealer	Approved	07/13/1983
NM	Broker Dealer	Approved	04/01/1983
NV	Broker Dealer	Approved	07/15/1983
NY	Broker Dealer	Approved	12/01/1982

OH	Broker Dealer	Approved	12/01/1982
OK	Broker Dealer	Approved	05/19/1983
OR	Broker Dealer	Approved	12/01/1982
PA	Broker Dealer	Approved	11/23/1982
PR	Broker Dealer	Approved	09/01/1984
RI	Broker Dealer	Approved	04/01/1983
SC	Broker Dealer	Approved	05/05/1983
SD	Broker Dealer	Approved	04/01/1983
SEC	Broker Dealer	Approved	07/08/1982
TN	Broker Dealer	Approved	11/16/1982
TX	Broker Dealer	Approved	07/25/1983
UT	Broker Dealer	Approved	05/06/1983
VA	Broker Dealer	Approved	12/15/1982
VT	Broker Dealer	Approved	02/13/1984
WA	Broker Dealer	Approved	04/20/1983
WI	Broker Dealer	Approved	06/15/1983
WV	Broker Dealer	Approved	03/09/1983
WY	Broker Dealer	Approved	12/21/1982

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 47536

INVESTMENT SECURITY CORPORATION

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	INVESTMENT SECURITY CORPORATION
<b>CRD Number</b>	47536
<b>SEC Number</b>	8-051832
<b>Applicant Name on Form BD</b>	INVESTMENT SECURITY CORPORATION
<b>Business Phone Number</b>	818-222-1210
<b>Main Office</b>	Located in NASD District: 2-Los Angeles
<b>Main Office Address</b>	23945 CALABASAS ROAD SUITE 113-C CALABASAS, CA 91302
<b>Mailing Address</b>	23945 CALABASAS ROAD SUITE 113-C CALABASAS, CA 91302

Data Current as of: 10/17/2005

File for:  
CRD# 47536  
INVESTMENT SECURITY CORPORATION \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b>Status As Of Date</b>
CA	Broker Dealer	Approved	04/27/2000
NASD	Broker Dealer	Approved	11/29/1999
SEC	Broker Dealer	Approved	11/29/1999

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 46338

IRON STREET SECURITIES INC.

### ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	IRON STREET SECURITIES INC.
<b>CRD Number</b>	46338
<b>SEC Number</b>	8-051387
<b>Applicant Name on Form BD</b>	IRON STREET SECURITIES INC.
<b>Business Phone Number</b>	785-827-7700
<b>Main Office</b>	Located in NASD District: 4-Kansas City
<b>Main Office Address</b>	112 EAST IRON AVE SALINA, KS 67401
<b>Mailing Address</b>	P.O. BOX 1186 SALINA, KS 67402-1186

File for:

CRD# 46338

IRON STREET SECURITIES INC. \*

Data Current as of: 10/17/2005

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AZ	Broker Dealer	Approved	03/17/2003
CA	Broker Dealer	Approved	01/11/2000
CO	Broker Dealer	Approved	06/21/1999
FL	Broker Dealer	Approved	11/08/1999
GA	Broker Dealer	Approved	06/18/2004
IA	Broker Dealer	Approved	06/25/1999
IL	Broker Dealer	Approved	02/01/2000
IN	Broker Dealer	Approved	07/05/2005
KS	Broker Dealer	Approved	03/22/1999
KY	Broker Dealer	Approved	06/11/2002
MI	Broker Dealer	Approved	11/09/2000
MN	Broker Dealer	Approved	02/16/2000
MO	Broker Dealer	Approved	10/08/1999
NASD	Broker Dealer	Approved	03/19/1999
ND	Broker Dealer	Approved	10/25/1999
NE	Broker Dealer	Approved	06/22/1999
NY	Broker Dealer	Approved	01/29/2001
OH	Broker Dealer	Approved	05/18/2001
OK	Broker Dealer	Approved	01/07/2000
SD	Broker Dealer	Approved	01/03/2005
SEC	Broker Dealer	Approved	03/19/1999
TX	Broker Dealer	Approved	10/25/1999
WI	Broker Dealer	Approved	05/23/2005
WY	Broker Dealer	Approved	01/18/2000

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 45314

MEDALLION INVESTMENT SERVICES, INC.

### ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	MEDALLION INVESTMENT SERVICES, INC.
<b>CRD Number</b>	45314
<b>SEC Number</b>	8-051029
<b>Applicant Name on Form BD</b>	MEDALLION INVESTMENT SERVICES, INC.
<b>Business Phone Number</b>	410-544-8400
<b>Main Office</b>	Located in NASD District: 9-Philadelphia
<b>Main Office Address</b>	811 GOVERNOR RITCHIE HGWY STE. 25 SEVERNA PARK, MD 21146
<b>Mailing Address</b>	811 GOVERNOR RITCHIE HGWY STE. 25 SEVERNA PARK, MD 21146

Document Title

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Data Current as of: 10/17/2005

File for:

CRD# 45314

MEDALLION INVESTMENT SERVICES, INC. \*

§11 Governor Ritchie Highway, Suite 25  
Severna Park, MD 21146

**Registrations**

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AK	Broker Dealer	Approved	03/21/2001
AL	Broker Dealer	Approved	04/30/1999
AR	Broker Dealer	Approved	01/15/1999
AZ	Broker Dealer	Approved	03/29/1999
CA	Broker Dealer	Approved	01/20/1999
CO	Broker Dealer	Approved	01/27/1999
CT	Broker Dealer	Approved	03/17/2000
DC	Broker Dealer	Approved	08/19/1998
DE	Broker Dealer	Approved	11/25/1998
FL	Broker Dealer	Approved	11/25/1998
GA	Broker Dealer	Approved	11/24/1998
HI	Broker Dealer	Approved	07/01/2004
IA	Broker Dealer	Approved	03/15/1999
ID	Broker Dealer	Approved	01/07/2005
IL	Broker Dealer	Approved	11/25/1998
IN	Broker Dealer	Approved	01/21/2000
KY	Broker Dealer	Approved	06/29/1998
LA	Broker Dealer	Approved	05/28/1999
MA	Broker Dealer	Approved	03/19/1999
MD	Broker Dealer	Approved	11/24/1998
ME	Broker Dealer	Approved	05/07/2004
MI	Broker Dealer	Approved	10/29/1998
MN	Broker Dealer	Approved	12/01/1998
MO	Broker Dealer	Approved	12/04/1998
MS	Broker Dealer	Approved	11/24/1998
MT	Broker Dealer	Approved	08/29/2001
NASD	Broker Dealer	Approved	11/23/1998
NC	Broker Dealer	Approved	11/25/1998
NH	Broker Dealer	Approved	03/10/1999
NJ	Broker Dealer	Approved	12/15/1998
NM	Broker Dealer	Approved	03/20/2001
NV	Broker Dealer	Approved	01/07/1999
NY	Broker Dealer	Approved	12/21/1998
OH	Broker Dealer	Approved	11/25/1998
OK	Broker Dealer	Approved	01/08/2003
OR	Broker Dealer	Approved	04/20/1999

PA	Broker Dealer	Approved	11/25/1998
RI	Broker Dealer	Approved	03/24/1999
SC	Broker Dealer	Approved	01/05/1999
SD	Broker Dealer	Approved	01/08/1999
SEC	Broker Dealer	Approved	11/23/1998
TN	Broker Dealer	Approved	01/01/1999
TX	Broker Dealer	Approved	09/09/1998
UT	Broker Dealer	Approved	07/17/2002
VA	Broker Dealer	Approved	08/25/1998
VT	Broker Dealer	Approved	02/10/2005
WA	Broker Dealer	Approved	11/24/1998
WI	Broker Dealer	Approved	02/25/1999
WV	Broker Dealer	Approved	11/30/1998

Document Title

Data Current as of: 10/25/2005

File for:

CRD# 101600

MICHIGAN SECURITIES, INC.

### ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	MICHIGAN SECURITIES, INC.
<b>CRD Number</b>	101600
<b>SEC Number</b>	8-052094
<b>Applicant Name on Form BD</b>	MICHIGAN SECURITIES, INC.
<b>Business Phone Number</b>	248-358-4393
<b>Main Office</b>	Located in NASD District: 8-Chicago
<b>Main Office Address</b>	21415 CIVIC CENTER DR STE 200 SOUTHFIELD, MI 48076-1901
<b>Mailing Address</b>	21415 CIVIC CENTER DR STE 200 SOUTHFIELD, MI 48076-1901

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 101600

MICHIGAN SECURITIES, INC. \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AZ	Broker Dealer	Approved	03/14/2003
CA	Broker Dealer	Approved	06/21/2000
CT	Broker Dealer	Approved	07/24/2003
FL	Broker Dealer	Approved	06/29/2000
GA	Broker Dealer	Approved	01/14/2004
IN	Broker Dealer	Approved	02/08/2005
MI	Broker Dealer	Approved	06/19/2000
NASD	Broker Dealer	Approved	05/22/2000
NJ	Broker Dealer	Approved	01/02/2004
NY	Broker Dealer	Approved	10/27/2004
OH	Broker Dealer	Approved	09/02/2003
OR	Broker Dealer	Approved	03/07/2003
SC	Broker Dealer	Approved	01/29/2004
SEC	Broker Dealer	Approved	05/22/2000
TX	Broker Dealer	Approved	02/23/2005
VA	Broker Dealer	Approved	03/10/2005
WI	Broker Dealer	Approved	03/11/2003

 File for:

CRD# 29604

NATIONAL PLANNING CORPORATION

Data Current as of: 11/02/2006

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	NATIONAL PLANNING CORPORATION
<b>CRD Number</b>	29604
<b>SEC Number</b>	8-044435
<b>Applicant Name on Form BD</b>	NATIONAL PLANNING CORPORATION
<b>Prior Business Names</b>	JACKSON NATIONAL FINANCIAL SERVICES, INC.
<b>Business Phone Number</b>	310-899-7975
<b>Main Office</b>	Located in NASD District: 2-Los Angeles
<b>Main Office Address</b>	401 WILSHIRE BLVD.-STE. 1100 SANTA MONICA, CA 90401
<b>Mailing Address</b>	401 WILSHIRE BLVD.-STE. 1100 SANTA MONICA, CA 90401

 File for:

CRD# 29604

NATIONAL PLANNING CORPORATION

Data Current as of: 11/02/2006

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of Date</u></b>
AK	Broker Dealer	Approved	09/25/1992
AL	Broker Dealer	Approved	04/09/1992
AR	Broker Dealer	Approved	09/25/1992
AZ	Broker Dealer	Approved	09/29/1992
CA	Broker Dealer	Approved	10/09/1992
CO	Broker Dealer	Approved	09/29/1992
CT	Broker Dealer	Approved	11/05/1992
DC	Broker Dealer	Approved	02/22/1992
DE	Broker Dealer	Approved	04/30/1992
FL	Broker Dealer	Approved	12/09/1992
GA	Broker Dealer	Approved	09/25/1992
HI	Broker Dealer	Approved	03/27/1992
IA	Broker Dealer	Approved	10/16/1992
ID	Broker Dealer	Approved	10/06/1992
IL	Broker Dealer	Approved	09/25/1992
IN	Broker Dealer	Approved	10/19/1992
KS	Broker Dealer	Approved	10/12/1992
KY	Broker Dealer	Approved	02/24/1992
LA	Broker Dealer	Approved	10/27/1992
MA	Broker Dealer	Approved	09/29/1992
MD	Broker Dealer	Approved	10/09/1992
ME	Broker Dealer	Approved	04/07/1992
MI	Broker Dealer	Approved	02/28/1992
MN	Broker Dealer	Approved	10/30/1992
MO	Broker Dealer	Approved	03/13/1992
MS	Broker Dealer	Approved	10/01/1992
MT	Broker Dealer	Approved	10/28/1992
NASD	Broker Dealer	Approved	09/25/1992
NC	Broker Dealer	Approved	09/28/1992
ND	Broker Dealer	Approved	10/06/1992
NE	Broker Dealer	Approved	06/16/1998
NH	Broker Dealer	Approved	04/15/1992
NJ	Broker Dealer	Approved	10/16/1992
NM	Broker Dealer	Approved	11/03/1992
NV	Broker Dealer	Approved	10/02/1992
NY	Broker Dealer	Approved	01/27/1992

OH	Broker Dealer	Approved	02/24/1992
OK	Broker Dealer	Approved	10/12/1992
OR	Broker Dealer	Approved	10/05/1992
PA	Broker Dealer	Approved	03/11/1992
PR	Broker Dealer	Approved	04/07/2000
RI	Broker Dealer	Approved	10/07/1992
SC	Broker Dealer	Approved	09/29/1992
SD	Broker Dealer	Approved	09/29/1992
SEC	Broker Dealer	Approved	01/08/1992
TN	Broker Dealer	Approved	10/08/1992
TX	Broker Dealer	Approved	10/02/1992
UT	Broker Dealer	Approved	09/18/1992
VA	Broker Dealer	Approved	03/24/1992
VT	Broker Dealer	Approved	03/06/1992
WA	Broker Dealer	Approved	09/30/1992
WI	Broker Dealer	Approved	10/16/1992
WV	Broker Dealer	Approved	02/05/1992
WY	Broker Dealer	Approved	01/24/1992

Document Title

Data Current as of: 10/25/2005

File for:  
CRD# 14754  
QA3 FINANCIAL CORP.

## ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	QA3 FINANCIAL CORP.
<b>CRD Number</b>	14754
<b>SEC Number</b>	8-031155
<b>Applicant Name on Form BD</b>	QA3 FINANCIAL CORP.
<b>Prior Business Names</b>	INVESTORS FIRST SECURITIES, LTD.
<b>Business Phone Number</b>	402-964-3702
<b>Main Office</b>	Located in NASD District: 4-Kansas City
<b>Main Office Address</b>	ONE VALMONT PLAZA 4TH FLOOR OMAHA, NE 68154-5203
<b>Mailing Address</b>	ONE VALMONT PLAZA-4TH FL. OMAHA, NE 68154-5203

Document Title

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File for:

Data Current as of: 10/17/2005

CRD# 14754

QA3 FINANCIAL CORP. \*

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AK	Broker Dealer	Approved	01/28/2002
AL	Broker Dealer	Approved	08/12/1999
AR	Broker Dealer	Approved	01/12/1999
AZ	Broker Dealer	Approved	03/17/1999
CA	Broker Dealer	Approved	01/29/1999
CO	Broker Dealer	Approved	03/02/1998
CT	Broker Dealer	Approved	06/29/1999
DC	Broker Dealer	Approved	08/05/1999
DE	Broker Dealer	Approved	07/28/1999
FL	Broker Dealer	Approved	03/09/1999
GA	Broker Dealer	Approved	02/11/1999
HI	Broker Dealer	Approved	07/26/1999
IA	Broker Dealer	Approved	03/09/1984
ID	Broker Dealer	Approved	07/13/1999
IL	Broker Dealer	Approved	01/13/1999
IN	Broker Dealer	Approved	01/13/1999
KS	Broker Dealer	Approved	02/16/1999
KY	Broker Dealer	Approved	06/23/1999
LA	Broker Dealer	Approved	07/08/1999
MA	Broker Dealer	Approved	07/29/1999
MD	Broker Dealer	Approved	01/04/1999
ME	Broker Dealer	Approved	01/11/2001
MI	Broker Dealer	Approved	04/25/1999
MN	Broker Dealer	Approved	03/10/1999
MO	Broker Dealer	Approved	04/23/1999
MS	Broker Dealer	Approved	07/28/1999
MT	Broker Dealer	Approved	05/25/1999
NASD	Broker Dealer	Approved	03/22/1984
NC	Broker Dealer	Approved	06/08/1999
ND	Broker Dealer	Approved	07/06/1999
NE	Broker Dealer	Approved	08/25/1986
NH	Broker Dealer	Approved	03/16/2001
NJ	Broker Dealer	Approved	08/24/1999
NM	Broker Dealer	Approved	02/26/1999
NV	Broker Dealer	Approved	02/11/1999
NY	Broker Dealer	Approved	01/28/1999

## Document Title

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OH	Broker Dealer	Approved	01/27/1999
OK	Broker Dealer	Approved	02/08/1999
OR	Broker Dealer	Approved	06/30/1999
PA	Broker Dealer	Approved	03/17/1999
RI	Broker Dealer	Approved	07/08/1999
SC	Broker Dealer	Approved	07/29/1999
SD	Broker Dealer	Approved	07/19/1999
SEC	Broker Dealer	Approved	03/01/1984
TN	Broker Dealer	Approved	02/08/1999
TX	Broker Dealer	Approved	03/05/1999
UT	Broker Dealer	Approved	05/26/1999
VA	Broker Dealer	Approved	06/28/1999
VT	Broker Dealer	Approved	05/06/2002
WA	Broker Dealer	Approved	12/29/1998
WI	Broker Dealer	Approved	08/02/1999
WV	Broker Dealer	Approved	06/08/1999
WY	Broker Dealer	Approved	01/04/1999

Document Title

Data Current as of: 10/25/2005

File for:  
CRD# 43100  
QUESTAR CAPITAL CORPORATION

### ADDRESS/GENERAL INFORMATION

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	QUESTAR CAPITAL CORPORATION
<b>CRD Number</b>	43100
<b>SEC Number</b>	8-050174
<b>Applicant Name on Form BD</b>	QUESTAR CAPITAL CORPORATION
<b>Business Phone Number</b>	734-213-6000
<b>Main Office</b>	Located in NASD District: 8-Chicago
<b>Main Office Address</b>	655 FAIRFIELD COURT SUITE 200 ANN ARBOR, MI 48108
<b>Mailing Address</b>	655 FAIRFIELD COURT SUITE 200 ANN ARBOR, MI 48108-2263

Data Current as of: 10/17/2005

File for:

CRD# 43100

QUESTAR CAPITAL CORPORATION



## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

Jurisdiction/SRO	Category	Status	Status As Of Date
AK	Broker Dealer	Approved	10/01/1997
AL	Broker Dealer	Approved	07/02/1998
AR	Broker Dealer	Approved	05/23/2001
AZ	Broker Dealer	Approved	09/03/1997
CA	Broker Dealer	Approved	09/02/1997
CO	Broker Dealer	Approved	07/24/1997
CT	Broker Dealer	Approved	02/03/1999
DC	Broker Dealer	Approved	08/30/1997
DE	Broker Dealer	Approved	05/03/1999
FL	Broker Dealer	Approved	08/07/1997
GA	Broker Dealer	Approved	08/18/1997
HI	Broker Dealer	Approved	01/24/2002
IA	Broker Dealer	Approved	05/13/1998
ID	Broker Dealer	Approved	05/13/1999
IL	Broker Dealer	Approved	08/07/1997
IN	Broker Dealer	Approved	09/02/1997
KS	Broker Dealer	Approved	04/10/1998
KY	Broker Dealer	Approved	02/17/1998
LA	Broker Dealer	Approved	12/07/2000
MA	Broker Dealer	Approved	10/01/1997
MD	Broker Dealer	Approved	09/16/1997
ME	Broker Dealer	Approved	07/31/2000
MI	Broker Dealer	Approved	07/18/1997
MN	Broker Dealer	Approved	03/03/1998
MO	Broker Dealer	Approved	06/24/1998
MS	Broker Dealer	Approved	07/13/1999
MT	Broker Dealer	Approved	04/17/1998
NASD	Broker Dealer	Approved	07/07/1997
NC	Broker Dealer	Approved	10/30/1997
ND	Broker Dealer	Approved	08/04/2000
NE	Broker Dealer	Approved	07/02/1999
NH	Broker Dealer	Approved	10/24/1997
NJ	Broker Dealer	Approved	09/03/1997
NM	Broker Dealer	Approved	08/21/1998
NV	Broker Dealer	Approved	10/20/1998
NY	Broker Dealer	Approved	09/12/1997

Document Title

OH	Broker Dealer	Approved	07/16/1997
OK	Broker Dealer	Approved	06/04/1998
OR	Broker Dealer	Approved	01/11/1999
PA	Broker Dealer	Approved	09/16/1997
RI	Broker Dealer	Approved	03/23/1998
SC	Broker Dealer	Approved	08/19/1997
SD	Broker Dealer	Approved	12/06/1999
SEC	Broker Dealer	Approved	07/07/1997
TN	Broker Dealer	Approved	08/11/1997
TX	Broker Dealer	Approved	10/17/1997
UT	Broker Dealer	Approved	09/18/1997
VA	Broker Dealer	Approved	08/27/1997
VT	Broker Dealer	Approved	07/16/2001
WA	Broker Dealer	Approved	01/01/1999
WI	Broker Dealer	Approved	09/04/1997
WV	Broker Dealer	Approved	11/10/1997
WY	Broker Dealer	Approved	04/07/1998

File for:

Data Current as of: 10/26/2005

CRD# 3538

SUNSET FINANCIAL SERVICES, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	SUNSET FINANCIAL SERVICES, INC.
<b>CRD Number</b>	3538
<b>SEC Number</b>	8-014148
<b>Applicant Name on Form BD</b>	SUNSET FINANCIAL SERVICES, INC.
<b>Business Phone Number</b>	816-753-7000
<b>Main Office</b>	Located in NASD District: 4-Kansas City
<b>Main Office Address</b>	3520 BROADWAY KANSAS CITY, MO 64111
<b>Mailing Address</b>	P.O. BOX 219365 KANSAS CITY, MO 64141-9365

File for:

Data Current as of: 10/26/2005

CRD# 3538

SUNSET FINANCIAL SERVICES, INC.

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b><u>Status As Of Date</u></b>
AK	Broker Dealer	Approved	04/16/1969
AL	Broker Dealer	Approved	04/21/1995
AR	Broker Dealer	Approved	02/07/1995
AZ	Broker Dealer	Approved	03/30/1995
CA	Broker Dealer	Approved	01/01/1970
CO	Broker Dealer	Approved	09/05/1986
CT	Broker Dealer	Approved	04/24/1995
DC	Broker Dealer	Approved	04/22/1995
DE	Broker Dealer	Approved	03/27/1995
FL	Broker Dealer	Approved	04/10/1995
GA	Broker Dealer	Approved	03/28/1995
HI	Broker Dealer	Approved	04/23/1984
IA	Broker Dealer	Approved	02/07/1995
ID	Broker Dealer	Approved	10/15/1992
IL	Broker Dealer	Approved	02/08/1995
IN	Broker Dealer	Approved	04/18/1995
KS	Broker Dealer	Approved	03/08/1995
KY	Broker Dealer	Approved	01/31/1995
LA	Broker Dealer	Approved	03/23/1995
MA	Broker Dealer	Approved	05/03/1995
MD	Broker Dealer	Approved	02/21/1995
ME	Broker Dealer	Approved	09/02/1997
MI	Broker Dealer	Approved	02/06/1995
MN	Broker Dealer	Approved	04/19/1995
MO	Broker Dealer	Approved	05/28/1993
MS	Broker Dealer	Approved	03/17/1995
MT	Broker Dealer	Approved	09/25/1984
NASD	Broker Dealer	Approved	12/10/1968
NC	Broker Dealer	Approved	02/17/1995
ND	Broker Dealer	Approved	04/07/1995
NE	Broker Dealer	Approved	04/25/1995
NH	Broker Dealer	Approved	05/23/1995
NJ	Broker Dealer	Approved	05/02/1995
NM	Broker Dealer	Approved	05/09/1995
NV	Broker Dealer	Approved	01/05/1987
NY	Broker Dealer	Approved	10/31/1996

OH	Broker Dealer	Approved	02/07/1995
OK	Broker Dealer	Approved	02/16/1995
OR	Broker Dealer	Approved	10/24/1981
PA	Broker Dealer	Approved	03/07/1995
RI	Broker Dealer	Approved	05/04/1995
SC	Broker Dealer	Approved	04/07/1995
SD	Broker Dealer	Approved	04/13/1995
SEC	Broker Dealer	Approved	04/24/1977
TN	Broker Dealer	Approved	02/02/1995
TX	Broker Dealer	Approved	02/16/1988
UT	Broker Dealer	Approved	04/21/1983
VA	Broker Dealer	Approved	03/28/1995
VT	Broker Dealer	Approved	05/17/1995
WA	Broker Dealer	Approved	04/20/1983
WI	Broker Dealer	Approved	02/07/1995
WV	Broker Dealer	Approved	03/23/1995
WY	Broker Dealer	Approved	02/27/1992

## Document Title

Data Current as of: 10/25/2005

File for:

CRD# 18923

TRANSAM SECURITIES, INC.

**ADDRESS/GENERAL INFORMATION**

This section provides the brokerage firm's name, CRD number, SEC number, Applicant Name on Form BD, NASD District where the brokerage firm is located, and the brokerage firm's main and mailing addresses.

<b>NASD Member Firm</b>	TRANSAM SECURITIES, INC.
<b>CRD Number</b>	18923
<b>SEC Number</b>	8-037065
<b>Applicant Name on Form BD</b>	TRANSAM SECURITIES, INC.
<b>Business Phone Number</b>	407/869-5608
<b>Main Office</b>	Located in NASD District: Florida
<b>Main Office Address</b>	1111 DOUGLAS AVENUE ALTAMONTE SPRINGS, FL 32714
<b>Mailing Address</b>	1111 DOUGLAS AVENUE ALTAMONTE SPRINGS, FL 32714

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File for:

Data Current as of: 10/17/2005

CRD# 18923

TRANSAM SECURITIES, INC. ✖

## Registrations

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b>Status As Of Date</b>
AL	Broker Dealer	Approved	01/02/2002
CA	Broker Dealer	Approved	04/01/1987
CO	Broker Dealer	Approved	02/05/1999
CT	Broker Dealer	Approved	05/13/2002
FL	Broker Dealer	Approved	03/19/1987
GA	Broker Dealer	Approved	09/03/1992
IN	Broker Dealer	Approved	08/18/1999
KS	Broker Dealer	Approved	05/08/2001
LA	Broker Dealer	Approved	04/23/2004
MA	Broker Dealer	Approved	10/13/2000
MD	Broker Dealer	Approved	01/14/2004
MI	Broker Dealer	Approved	02/25/1999
MT	Broker Dealer	Approved	03/28/2005
NASD	Broker Dealer	Approved	03/20/1987
NC	Broker Dealer	Approved	09/06/2000
NJ	Broker Dealer	Approved	03/16/1999
NY	Broker Dealer	Approved	04/12/2005
OH	Broker Dealer	Approved	03/17/1999
SC	Broker Dealer	Approved	01/21/1998
SEC	Broker Dealer	Approved	03/06/1987
TN	Broker Dealer	Approved	01/01/1993
TX	Broker Dealer	Approved	07/27/2000
UT	Broker Dealer	Approved	01/15/2004
VA	Broker Dealer	Approved	06/05/1987



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File for:

Data Current as of: 10/17/2005

CRD# 14503

VSR FINANCIAL SERVICES, INC. \*

8620 West 110th St.  
Overland Park, KS 66210**Registrations**

This section provides the jurisdictions in which the brokerage firm is registered or licensed to do business, the category of each registration, and the date on which the registration was granted.

<b>Jurisdiction/SRO</b>	<b>Category</b>	<b>Status</b>	<b>Status As Of Date</b>
AK	Broker Dealer	Approved	09/24/1986
AL	Broker Dealer	Approved	09/10/1985
AR	Broker Dealer	Approved	10/31/1985
AZ	Broker Dealer	Approved	03/23/1984
CA	Broker Dealer	Approved	10/26/1984
CO	Broker Dealer	Approved	02/14/1984
CT	Broker Dealer	Approved	05/29/1985
DC	Broker Dealer	Approved	04/27/1985
DE	Broker Dealer	Approved	04/03/1985
FL	Broker Dealer	Approved	02/19/1985
GA	Broker Dealer	Approved	09/04/1984
HI	Broker Dealer	Approved	03/09/1989
IA	Broker Dealer	Approved	03/27/1985
ID	Broker Dealer	Approved	10/02/1990
IL	Broker Dealer	Approved	03/25/1985
IN	Broker Dealer	Approved	04/25/1985
KS	Broker Dealer	Approved	01/23/1984
KY	Broker Dealer	Approved	08/05/1985
LA	Broker Dealer	Approved	03/17/1988
MA	Broker Dealer	Approved	04/12/1985
MD	Broker Dealer	Approved	04/25/1985
ME	Broker Dealer	Approved	11/08/1991
MI	Broker Dealer	Approved	05/16/1985
MN	Broker Dealer	Approved	01/24/1985
MO	Broker Dealer	Approved	01/17/1984
MS	Broker Dealer	Approved	04/05/1985
MT	Broker Dealer	Approved	05/15/1989
NASD	Broker Dealer	Approved	01/25/1984
NC	Broker Dealer	Approved	09/05/1984
ND	Broker Dealer	Approved	09/06/1988
NE	Broker Dealer	Approved	03/29/1985
NH	Broker Dealer	Approved	04/09/1990
NJ	Broker Dealer	Approved	08/28/1985
NM	Broker Dealer	Approved	02/05/1986
NV	Broker Dealer	Approved	04/15/1986
NY	Broker Dealer	Approved	04/22/1985

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OH	Broker Dealer	Approved	03/19/1985
OK	Broker Dealer	Approved	03/09/1984
OR	Broker Dealer	Approved	03/22/1985
PA	Broker Dealer	Approved	03/26/1985
PR	Broker Dealer	Approved	02/06/2004
RI	Broker Dealer	Approved	05/09/1989
SC	Broker Dealer	Approved	07/23/1986
SD	Broker Dealer	Approved	10/24/1986
SEC	Broker Dealer	Approved	12/15/1983
TN	Broker Dealer	Approved	03/12/1985
TX	Broker Dealer	Approved	05/01/1984
UT	Broker Dealer	Approved	01/03/1991
VA	Broker Dealer	Approved	04/22/1985
VT	Broker Dealer	Approved	01/29/1997
WA	Broker Dealer	Approved	04/08/1985
WI	Broker Dealer	Approved	03/16/1987
WV	Broker Dealer	Approved	01/14/1991
WY	Broker Dealer	Approved	09/27/1989

**END**