

Investment Adviser Name	Violations	Penalty
BiscayneAmericas Advisers L.L.C.	Custody Rule Failure to Amend	\$135,000
Garrison Investment Group LP	Custody Rule Failure to Amend	\$330,000
Janus Henderson Investors US LLC	Custody Rule	\$150,000
Lend Academy Investments	Custody Rule Failure to Amend	\$75,000
Polaris Equity Management, Inc.	Custody Rule	\$50,000
QVR LLC	Failure to Amend	\$50,000
Ridgeview Asset Management Partners LLC	Custody Rule Failure to Amend	\$70,000
Steward Capital Management, Inc.	Custody Rule Failure to Amend	\$75,000
Titan Fund Management, LLC	Custody Rule Failure to Amend	\$95,000