

**DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
CORPORATIONS, SECURITIES & COMMERCIAL LICENSING BUREAU
DISCIPLINARY ACTION REPORT**

Information reported in this Disciplinary Action Report [DAR] results from an Order of a Licensing Board or other appropriate issuing authority. Orders, including Final Orders, are subject to rescission, modification, or other actions subsequent to the issuance of a DAR. These actions will be reported in the subsequent DAR when issued.

CITY	LICENSEE	EFFECTIVE DATE	ACTION TAKEN	REASON
	INVESTMENTS AND SECURITIES			
LANSING	NYPPEX, LLC CRD# 47654 ENF-22-020055	12/22/2022	Broker-Dealer registration REVOKED	Violation of Securities Act and/or Rule Violation