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
	JULY 2022			
	INVESTMENTS AND SECURITIES			
FARMINGTON	GLP INVESTMENT SERVICES, LLC CRD# 25450 ENF-22-020066	7/5/2022	Fine $10,000	Violation of Securities Act and/or Rule Violation