



Report: FINRA Identifies Recently Discharged Registered Representatives

Date: September 2022



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Name	Employing Firm	Date	Reason for Discharge
Chip Wodrich	Honor Townsend & Kent	August 11, 2022	The registered representative's contract with the member firm was terminated for violation of the member firm's procedures with respect to (a) client communications, including using an unapproved email address to communicate with clients; (b) use of discretion in client accounts; and (c) failure to timely forward a client complaint.
Robert Mehlin	Coastal Equities, Inc.	August 4, 2022	Firm learned of an AWC that RR agreed to a suspension and fine that was not reported by the RR.
Dusty Sternadel	Ameriprise Financial Services, LLC	July 29, 2022	The registered representative was terminated for violation of company policies related to misappropriation of client funds.
Gary Chang	Morgan Stanley	July 12, 2022	Concerns regarding representative's misappropriation of funds from client accounts.
Brent Hablutzel	Rockefeller Financial	July 5, 2022	Exercised discretion over certain customer trades without authority; lack of candor in internal review; and resulting loss of confidence by Management.
Chad Barancyk	Great Point Capital, LLC	June 3, 2022	Failed to provide required information for a FINRA inquiry
Daniel Ballister	MML Investors Services, LLC	June 22, 2022	Registered Representative did not follow company policies and procedures with respect to C Shares, discretionary trading and churning.

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