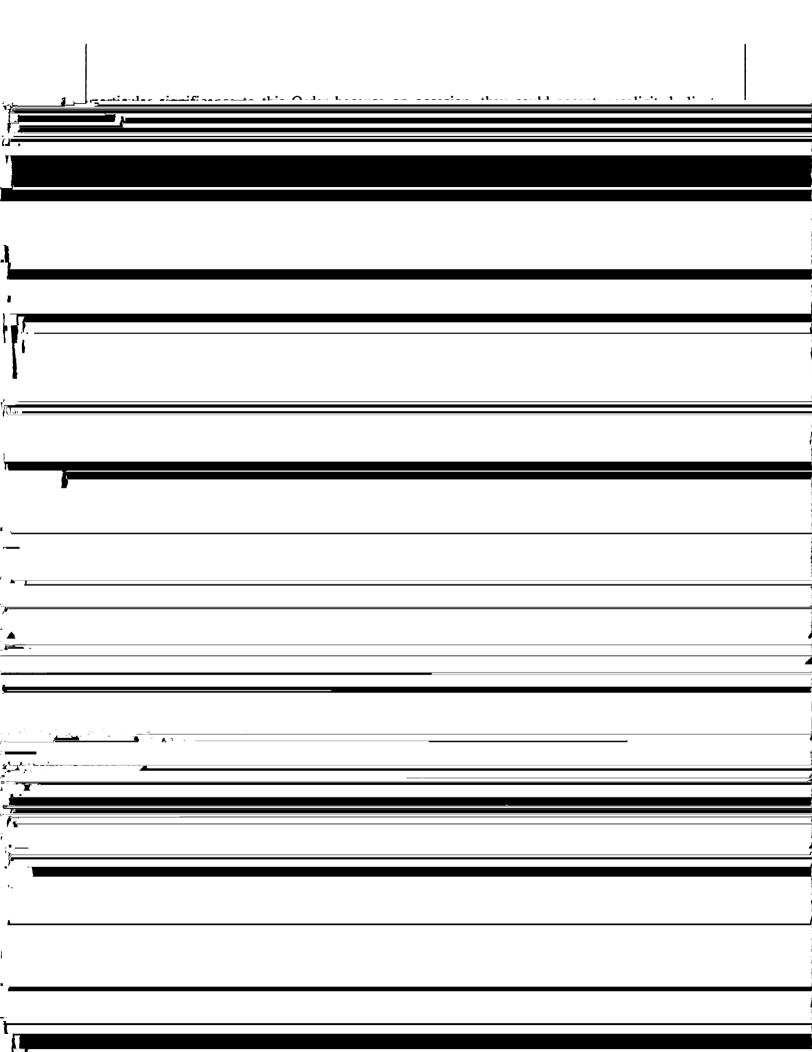
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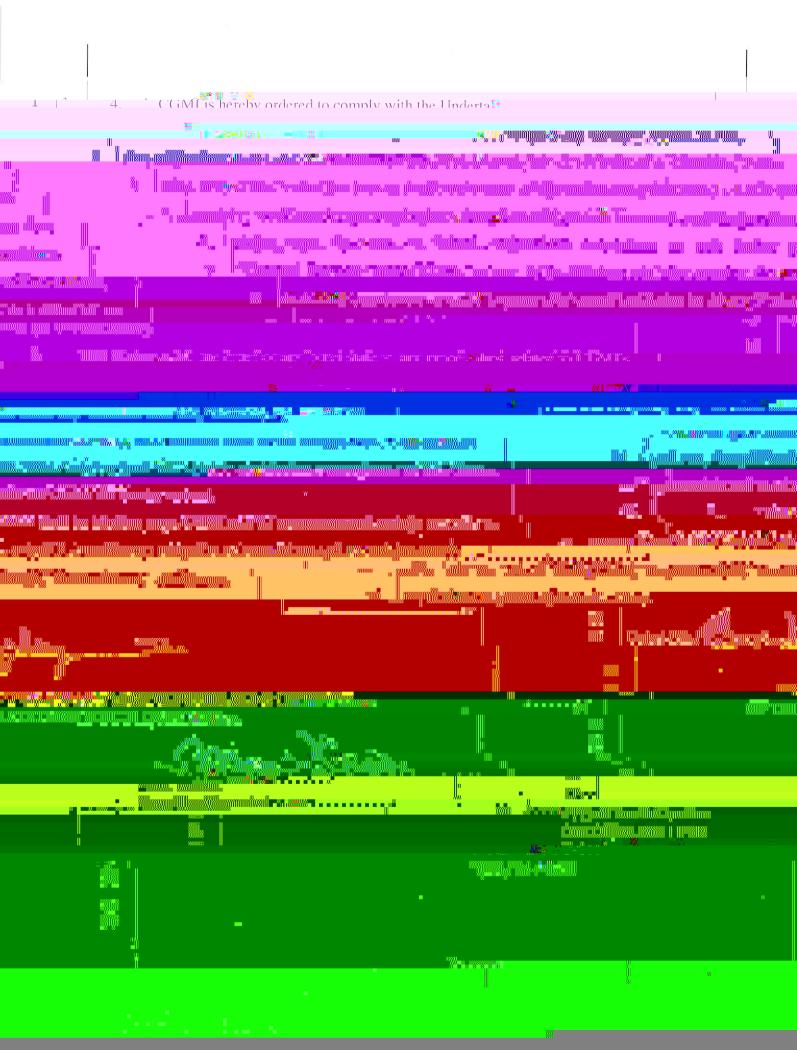


	1	nationwide basis. In June 2009, CGMI sold a majority stake in its primary retail brokerage	
	2	business to Morgan Stanley. In connection with the MSSB transaction, the retail brokerage	
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coverage were registered, and as a result, (b) it is highly likely that certain RSAs accepted 1 unsolicited orders in the State of South Carolina at times when the RSAs were not appropriately 2 licensed in the State. 3 4 **Remedial Efforts** 5 6 20. As part of a transition that was finalized in early 2011, CGMI's retail business ceased using the NextGen system and started to use in its place an order entry system licensed and 7





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