



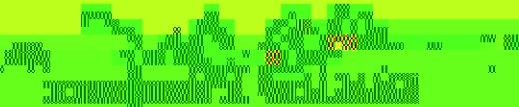
5. The Respondent failed to file an amendment to his Form U-4 disclosing the Indictment until June 21, 2017.

6. On January 10, 2019, a Charleston County jury found the Respondent guilty of Criminal Sexual Conduct in the Third Degree. The Respondent was subsequently sentenced to ten (10) years in prison.

7. On January 15, 2019, the Respondent was terminated by Vestcoak, which resulted

## VII. NOTICE OF OPPORTUNITY FOR HEARING

remedies that are available under the Act, which [apply to all securities-related](#)

**SECURITIES AND EXCHANGE COMMISSION**  
  
**Washington, D.C. 20540**  
**Assistant Secretary, Enforcement**

**Regulation**

STATE OF OHIO

DEPARTMENT OF REVENUE

NOTICE TO DEBITORS

UNEMPLOYMENT COMPENSATION

File Number 20183063

On or about 07/15/2020, the Ohio Department of Revenue received a notice from the Social Security Administration regarding the unemployment compensation benefits for the period 07/15/2020 to 07/15/2020. The amount of the benefits is \$1,000.00. The amount of the benefits is \$1,000.00. The amount of the benefits is \$1,000.00.

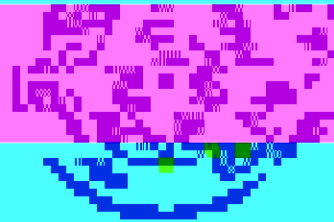
James William Thompson  
10000 Main Street  
Cincinnati, Ohio 45240

Amount(s) \$1,000.00

07/15/2020, Social Security Administration, Nathan Carlotta

The amount of the benefits is \$1,000.00. The amount of the benefits is \$1,000.00. The amount of the benefits is \$1,000.00.

Amount(s) \$1,000.00  
07/15/2020, Social Security Administration, Nathan Carlotta



Department of Revenue  
10000 Main Street  
Cincinnati, Ohio 45240

My com

*Handwritten signature*

1914