

This brochure supplement provides information about Daniel Da Ponte that supplements the Axis Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Daniel Da Ponte, President & Chief Compliance Officer if you did not receive Axis Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Daniel Da Ponte is also available on the SEC's website at www.adviserinfo.sec.gov.

Axis Advisors, LLC

Form ADV Part 2B – Individual Disclosure Brochure

for

Daniel Da Ponte

Personal CRD Number: 4351051
Investment Adviser Representative

Axis Advisors, LLC
197 Warren Avenue, Suite 203
East Providence, Rhode Island, 02914
(401) 441-5111
(866) 441-8095 Fax
ddaponte@axisadvisorsgroup.com
www.axisadvisorsgroup.com
www.danieldaponte.com

UPDATED: 3/13/2017

Item 2: Educational Background and Business Experience

Name: Daniel Da Ponte

Born: 1978

Education Background:

Education:

BS Business Administration, University of Rhode Island - 2000

Graduate Certificate in Personal Financial Planning, Kansas State University - 2009

Master's Degree in Personal Financial Planning, Kansas State University - 2014

Designations:

Accredited Investment Fiduciary® (AIF®)

The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education. The e Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

Business Background:

03/2013 - Present	Managing Member Axis Risk Management LLC
03/2013 - Present	President & Chief Compliance Officer Axis Advisors, LLC
01/1999 - Present	State Senator State of Rhode Island
10/2005 - 03/2013	Registered Representative Axis Financial Group Inc.

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

Item 4: Other Business Activities

Daniel Da Ponte is a licensed insurance agent. He is also a Senator in the state of Rhode Island. From time to time, he will offer clients advice or products from those activities. Clients should be aware that insurance services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Axis Advisors, LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of Axis Advisors, LLC in such individual's outside capacities.

Daniel Da Ponte has been elected to the Rhode Island FPA Board of Directors.

Item 5: Additional Compensation

Other than salary, annual bonuses, or regular bonuses, Daniel Da Ponte does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Axis Advisors, LLC.

Item 6: Supervision

As the only owner and representative of Axis Advisors, LLC, Daniel Da Ponte supervises all duties and activities of the firm. Daniel Da Ponte's contact information is on the cover page of this disclosure document. Daniel Da Ponte adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

Item 7: Requirements For State Registered Advisers

This disclosure is required by Rhode Island securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

- A. Daniel Da Ponte has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
 2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
- B. Daniel Da Ponte has NOT been the subject of a bankruptcy petition in the past ten years.

This brochure supplement provides information about Joshua Sousa Pacheco that supplements the Axis Advisors LLC brochure. You should have received a copy of that brochure. Please contact Joshua Sousa Pacheco if you did not receive Axis Advisors LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Joshua Sousa Pacheco is also available on the SEC's website at www.adviserinfo.sec.gov.

Axis Advisors LLC

Form ADV Part 2B – Individual Disclosure Brochure

for

Joshua Sousa Pacheco

Personal CRD Number: 5865407

Investment Adviser Representative

Axis Advisors LLC
909 State Road
Westport, MA 02790
(508) 444-0581
(866) 441-0754 fax
(866) 441-0324 toll free
www.massadvisor.com
www.axisadvisorsgroup.com
josh@axisadvisorsgroup.com

UPDATED: 12/18/2014

Item 2: Educational Background and Business Experience

Name: Joshua Sousa Pacheco **Born:** 1985

Educational Background and Professional Designations:

Education:

Masters of Liberal Arts Management Studies, Harvard University - 2014
Bachelor of Science Finance, UMass Dartmouth - 2009

Business Background:

09/2014 - Present	Investment Adviser Representative Axis Advisors LLC
11/2014 - Present	Registered Representative Innovation Partners, LLC
06/2012 - 09/2014	Registered Representative Lincoln Investment
07/2011 - 06/2012	Registered Representative Capital Analysts
03/2011 - 05/2011	Cold caller Harvest Financial Group
11/2010 - 01/2011	Financial Advisor Trainee Merrill Lynch
03/2010 - 11/2010	Sales Consultant Ashley Ford
09/2001 - 05/2005	Student Bishop Stang High School

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

Item 4: Other Business Activities

Joshua Sousa Pacheco is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. Clients should be aware that insurance services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Axis Advisors, LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of Axis Advisors, LLC in such individual's outside capacities.

Joshua Sousa Pacheco is a registered representative. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Axis Advisors LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to utilize the services of any representative of Axis Advisors LLC in such individual's outside capacities.

Item 5: Additional Compensation

Joshua Sousa Pacheco does not receive any economic benefit from any person, company, or organization, other than Axis Advisors LLC in exchange for providing clients advisory services through Axis Advisors LLC.

Item 6: Supervision

As a representative of Axis Advisors LLC, Joshua Sousa Pacheco works closely with supervisor Daniel Da Ponte, and all advice provided to clients is reviewed by this supervisor prior to implementation. Daniel Da Ponte can be reached at (401) 441-5111. Joshua Sousa Pacheco adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

Item 7: Requirements For State Registered Advisers

This disclosure is required by Massachusetts and Rhode Island state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

A. Joshua Sousa Pacheco has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.

B. Joshua Sousa Pacheco has NOT been the subject of a bankruptcy petition in the past ten years.

This brochure supplement provides information about Jane E McAuliffe that supplements the Axis Advisors LLC brochure. You should have received a copy of that brochure. Please contact Jane E McAuliffe if you did not receive Axis Advisors LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Jane E McAuliffe is also available on the SEC's website at www.adviserinfo.sec.gov.

Axis Advisors LLC

Form ADV Part 2B – Individual Disclosure Brochure

for

Jane E McAuliffe

Personal CRD Number: 3031341

Investment Adviser Representative

Axis Advisors LLC
197 Warren Avenue, Suite 203
East Providence, RI02914
(401) 441-5111
jmcauliffe@axisadvisorsgroup.com

UPDATED: 06/26/2017

Item 2: Educational Background and Business Experience

Name: Jane E McAuliffe **Born:** 1973

Educational Background and Professional Designations:

Education:

Bachelor of Science Management, Bryant University - 1995

Designations:

CDFA®- Certified Divorce Financial Analyst

MINIMUM QUALIFICATIONS

- o In order to be considered for this designation, a professional must have at least two years experience in the financial or legal industry.
- o Must complete a series of four examinations based upon material learned from four self-study courses. Coursework outlines several key areas important in divorce proceedings; including the treatment of property during divorce, alimony and child support, and tax implications of property division. The entire program generally takes at least 4 months to complete.

Business Background:

06/2017 - Present	Investment Adviser Representative Axis Advisors LLC
07/2015 - 06/2017	Financial Advisor Forbes Financial Planning Inc.
07/2013 - 06/2015	Sales and Marketing The Shuster Group
02/2009 - 07/2013	Homemaker Home
10/2004 - 01/2009	Registered Representative Bank of America Investment Services

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

Item 4: Other Business Activities

As a Certified Divorce Financial Analyst, Jane McAuliffe provides financial Planning, analysis, accounting and financial advisory in divorce proceedings. She provides these services separately through Collaborative Divorce Strategies. Clients of Axis Advisors LLC are in no way required to use the services of Ms. McAuliffe in her outside capacity.

Item 5: Additional Compensation

Jane E McAuliffe does not receive any economic benefit from any person, company, or organization, other than Axis Advisors LLC in exchange for providing clients advisory services through Axis Advisors LLC.

Item 6: Supervision

As a representative of Axis Advisors LLC, Jane E McAuliffe is supervised by Daniel Da Ponte, the firm's Chief Compliance Officer. Daniel Da Ponte is responsible for ensuring that Jane E McAuliffe adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Daniel Da Ponte is (401) 441-5111.

Item 7: Requirements For State Registered Advisers

This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

- A. Jane E McAuliffe has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - a) an investment or an investment-related business or activity;

- b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
- a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
- B. Jane E McAuliffe has NOT been the subject of a bankruptcy.

This brochure supplement provides information about Bradford M Valois that supplements the Axis Advisors LLC brochure. You should have received a copy of that brochure. Please contact Bradford M Valois if you did not receive Axis Advisors LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Bradford M Valois is also available on the SEC's website at www.adviserinfo.sec.gov.

Axis Advisors LLC

Form ADV Part 2B – Individual Disclosure Brochure

for

Bradford M Valois

Personal CRD Number: 5918311

Investment Adviser Representative

Axis Advisors LLC
197 Warren Avenue Suite 203
East Providence, RI 02914
(401) 855-5538
bvalois@axisadvisorsgroup.com

UPDATED: 01/26/2018

Item 2: Educational Background and Business Experience

Name: Bradford M Valois **Born:** 1986

Educational Background and Professional Designations:

Education:

BA Business , URI - 2010

Business Background:

12/2017 - Present	Investment Adviser Representative Axis Advisors LLC
01/2011 – 08/2016	Advisor Valois Financial LLC
08/2005 - 01/2010	Student Valois Financial LLC

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

Item 4: Other Business Activities

Bradford M Valois is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Axis Advisors LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any representative of Axis Advisors LLC in such individual's outside capacities.

Item 5: Additional Compensation

Bradford M Valois does not receive any economic benefit from any person, company, or organization, other than Axis Advisors LLC in exchange for providing clients advisory services through Axis Advisors LLC.

Item 6: Supervision

As a representative of Axis Advisors LLC, Bradford M Valois is supervised by Daniel Da Ponte, the firm's Chief Compliance Officer. Daniel Da Ponte is responsible for ensuring that Bradford M Valois adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Daniel Da Ponte is (401) 441-5111.

Item 7: Requirements For State Registered Advisers

This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

- A. Bradford M Valois has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
 2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
- B. Bradford M Valois has NOT been the subject of a bankruptcy.

This brochure supplement provides information about Jason Matthew Dessert that supplements the Axis Advisors LLC brochure. You should have received a copy of that brochure. Please contact Jason Matthew Dessert if you did not receive Axis Advisors LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Jason Matthew Dessert is also available on the SEC's website at www.adviserinfo.sec.gov.

Axis Advisors LLC

Form ADV Part 2B – Individual Disclosure Brochure

for

Jason Matthew Dessert

Personal CRD Number: 4482002

Investment Adviser Representative

Axis Advisors LLC
197 Warren Avenue Suite 203
East Providence, RI 02914
(401) 480-0511
jdessert@axisadvisorsgroup.com

UPDATED: 04/20/2018

Item 2: Educational Background and Business Experience

Name: Jason Matthew Dessert **Born:**1974

Educational Background and Professional Designations:

Education:

BS Finance/MIS, University of Rhode Island - 1998

Business Background:

05/2018 - Present	Investment Adviser Representative Axis Advisors LLC
10/2007 - Present	Owner Sentry Tax and Financial Planning
08/2016 - Present	Account Manager Newell Brands
05/2015 - 12/2017	IAR HD Vest
10/2015 - 08/2016	Account Manager SC Johnson & Co
09/2006 - 09/2015	Account Manager Kraft Foods

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

Item 4: Other Business Activities

Jason Matthew Dessert is an accountant. From time to time, he will offer clients advice or products from this activity. Axis Advisors LLC always acts in the best interest of the client. Clients are in no way required to utilize the services of any representative of Axis Advisors LLC in their capacity as an accountant.

Jason Matthew Dessert is also an enrolled agent practicing under Sentry Tax and Financial Planning.

Item 5: Additional Compensation

Jason Matthew Dessert does not receive any economic benefit from any person, company, or organization, other than Axis Advisors LLC in exchange for providing clients advisory services through Axis Advisors LLC.

Item 6: Supervision

As a representative of Axis Advisors LLC, Jason Matthew Dessert is supervised by Daniel Da Ponte, the firm's Chief Compliance Officer. Daniel Da Ponte is responsible for ensuring that Jason Matthew Dessert adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Daniel Da Ponte is 4014415111 x 102.

Item 7: Requirements For State Registered Advisers

This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

- A. Jason Matthew Dessert has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
 2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
- B. Jason Matthew Dessert has not been the subject of a bankruptcy.

This brochure supplement provides information about David Byrne Silvia Sr. that supplements the Axis Advisors LLC brochure. You should have received a copy of that brochure. Please contact David Byrne Silvia Sr. if you did not receive Axis Advisors LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about David Byrne Silvia Sr. is also available on the SEC's website at www.adviserinfo.sec.gov.

Axis Advisors LLC

Form ADV Part 2B – Individual Disclosure Brochure

for

David Byrne Silvia Sr.

Personal CRD Number: 2605746

Investment Adviser Representative

Axis Advisors LLC
197 Warren Avenue Suite 203
East Providence, RI 02914
(401) 487-9291
dsilvia@axisadvisorsgroup.com

UPDATED: 07/02/2018

Item 2: Educational Background and Business Experience

Name: David Byrne Silvia Sr. **Born:** 1968

Educational Background and Professional Designations:

Education:

BA Political Science / Intern. Affairs, Univ of Cal at Santa Barbara - 1990

Designations:

CFP® - Certified Financial Planner

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- i. Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- ii. Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Business Background:

06/2018 - Present	Investment Adviser Representative Axis Advisors LLC
01/2016 - 05/2018	Implementation Consultant Envestnet Tamarac
02/2015 - 01/2016	Financial Planner Barry Investment Advisors
01/2011 - 02/2015	Client Service Manager Fidelity investments
06/2002 - 01/2011	Senior Investment Advisor Corrigan Financial, Inc.

Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client’s or prospective client’s evaluation of this advisory business.

Item 4: Other Business Activities

David Byrne Silvia Sr. fills in as a server at Scales and Shells, a restaurant owned by a friend. He receives no commission for this activity.

Item 5: Additional Compensation

David Byrne Silvia Sr. does not receive any economic benefit from any person, company, or organization, other than Axis Advisors LLC in exchange for providing clients advisory services through Axis Advisors LLC.

Item 6: Supervision

As a representative of Axis Advisors LLC, David Byrne Silvia Sr. is supervised by Daniel DaPonte, the firm's Chief Compliance Officer. Daniel DaPonte is responsible for ensuring that David Byrne Silvia Sr. adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Daniel DaPonte is (401) 441-5111.

Item 7: Requirements For State Registered Advisers

This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

- A. David Byrne Silvia Sr. has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
 2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - a) an investment or an investment-related business or activity;
 - b) fraud, false statement(s), or omissions;
 - c) theft, embezzlement, or other wrongful taking of property;
 - d) bribery, forgery, counterfeiting, or extortion; or
 - e) dishonest, unfair, or unethical practices.
- B. David Byrne Silvia Sr. has NOT been the subject of a bankruptcy.