

From The NASD Discipline Report – Jan 2004

Carmen George Paris, Sr. (CRD #2671001, Associated Person, Apopka, Florida) was barred from association with any NASD member in any capacity. The sanction was based on findings that Paris caused his member firm to fail to maintain the minimum required net capital and to notify the SEC and NASD of its net capital efficiencies. In addition, Paris caused his firm to fail to prepare and maintain accurate books and records, including general ledgers and FOCUS reports. The findings also stated that Paris caused his member firm to file FOCUS reports that inaccurately stated the firm's net capital. NASD also found that Paris failed to respond to NASD requests to appear for an on-the-record interview