

**COMPANY REGISTRATION AND MONITORING DEPARTMENT  
LIST OF CAPITAL MARKET PROFESSIONALS**

**NEW REGISTRANTS FOR SEPTEMBER 2014**

#	CR #	NAME	TYPE
<b>MUTUAL FUND DISTRIBUTOR</b>			
<b>01-2004-00033</b>		<b>COL FINANCIAL GROUP, INC.</b>	
1	02-2014-09622	FAUSTO, MARVIN VALENTON	CIS