

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

**VOICE BROKER IN SECURITIES
NEW REGISTRANTS**

#	CR #	NAME	TYPE
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SEPTEMBER 2017

		NONE	
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AUGUST 2017

		NONE	
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JULY 2017

		NONE	
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JUNE 2017

		NONE	
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MAY 2017

		NONE	
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APRIL 2017

		NONE	
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MARCH 2017

01-2008-00253		TRADITION FINANCIAL SERVICES, INC.	
1	02-2017-12637	PURUGGANAN, RAMON VICTOR BOBILA	FIMS

FEBRUARY 2017

		NONE	
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JANUARY 2017

		NONE	
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