

## Introduction

The following information includes a list of the Firm's designated Offices of Supervisory Jurisdiction (OSJs), Non-OSJ Branch offices and unregistered/satellite office locations. It is the responsibility of the Firm to determine a frequency of review that is reasonably designed to achieve compliance with federal, state and SRO rules and regulations.

NASD Rule 3010(c) requires each broker/dealer to conduct an internal inspection of each office, which includes the periodic examination of customer accounts to detect and prevent irregularities and abuses. The rule requires an inspection at least annually of each OSJ and cycle examinations of branch offices. The frequency and scope of inspections should be determined based on factors such as the nature and volume of business conducted at the office and the nature and extent of contact with customers. Under *NASD Rule 3010(g)(1)*, an office that is responsible for supervising one or more branch offices must be designated as an OSJ, and each OSJ is subject to an annual inspection under *NASD Rule 3010(c)*.

The following checklist details the number of designated offices of the Firm as of **02/28/22**, the address and location of such offices and the frequency of internal review and/or inspection:

<b>Offices of Supervisory Jurisdiction</b>	<b>Address/ Location</b>	<b>Frequency of Review</b>
OSJ/Main Office	San Ramon	Annually
<b>Non-OSJ Branch Offices</b>	<b>Address/ Location</b>	<b>Frequency of Review**</b>
Non-OSJ Branch Office	ALBIN - TEMECULA	Three-Year Cycle
Non-OSJ Branch Office	ALEXANDER - OAKLAND	Three-Year Cycle
Non-OSJ Branch Office	AUBUCHON - MONTEREY	Three-Year Cycle
Non-OSJ Branch Office	BAER - LOS ALTOS	Three-Year Cycle
Non-OSJ Branch Office	BAYOL - FAIRFIELD	Three-Year Cycle
Non-OSJ Branch Office	BLAIR - AUBURN	Three-Year Cycle
Non-OSJ Branch Office	BURKE - NAPA	Three-Year Cycle
Non-OSJ Branch Office	CARLINO - REDWOOD CITY	Three-Year Cycle
Non-OSJ Branch Office	CHARNEY - OAKLAND	Three-Year Cycle
Non-OSJ Branch Office	CHUNG - SAN JOSE	Three-Year Cycle
Non-OSJ Branch Office	COATE/DEL BOSCO - UKIAH	Three-Year Cycle
Non-OSJ Branch Office	COIT - WALNUT CREEK	Three-Year Cycle
Non-OSJ Branch Office	CONLEY - EUGENE, OR	Three-Year Cycle
Non-OSJ Branch Office	CORNISH - FERGUS FALLS, MN	Three-Year Cycle
Non-OSJ Branch Office	CUNNINGHAM - SAN FRANCISCO	Three-Year Cycle
Non-OSJ Branch Office	DELOSSANTOS - LONG BEACH	Three-Year Cycle
Non-OSJ Branch Office	DERBY - MODESTO	Three-Year Cycle
Non-OSJ Branch Office	DEVINNEY - WALNUT CREEK	Three-Year Cycle
Non-OSJ Branch Office	GEMMER - HEALDSBURG	Three-Year Cycle
Non-OSJ Branch Office	GRAHAM, S. - GRASS VALLEY	Three-Year Cycle
Non-OSJ Branch Office	GREEN - OAKLAND	Three-Year Cycle
Non-OSJ Branch Office	GROTJAHN - NOVATO	Three-Year Cycle
Non-OSJ Branch Office	GUTHREAU - CONCORD	Three-Year Cycle
Non-OSJ Branch Office	HARRELL - MENLO PARK	Three-Year Cycle
Non-OSJ Branch Office	HARY - CAMPBELL	Three-Year Cycle
Non-OSJ Branch Office	HAUPT - PLEASANTON	Three-Year Cycle
Non-OSJ Branch Office	HOUSTON - MONTEREY	Three-Year Cycle
Non-OSJ Branch Office	HSU - CUPERTINO	Three-Year Cycle
Non-OSJ Branch Office	JOOSSE - SANTA ROSA	Three-Year Cycle
Non-OSJ Branch Office	KAMLER - SAN RAFAEL	Three-Year Cycle
Non-OSJ Branch Office	KENNY - SONOMA	Three-Year Cycle
Non-OSJ Branch Office	KESSLER - SAN JOSE	Three-Year Cycle
Non-OSJ Branch Office	KNIGHT - MONTEREY	Three-Year Cycle
Non-OSJ Branch Office	LAFOSSE - LOS GATOS	Three-Year Cycle

Non-OSJ Branch Office	LIU - ESCONDIDO	Three-Year Cycle
Non-OSJ Branch Office	LOCOCO, JOHN - SAN JOSE/SAN RAFAEL	Three-Year Cycle
Non-OSJ Branch Office	LOOFBOURROW - SAN RAMON	Three-Year Cycle
Non-OSJ Branch Office	MADRUGA - SAN CLARA	Three-Year Cycle
Non-OSJ Branch Office	MARKEY - DANVILLE	Three-Year Cycle
Non-OSJ Branch Office	MEANS - RICHMOND	Three-Year Cycle
Non-OSJ Branch Office	MEHREN - ROCKLIN	Three-Year Cycle
Non-OSJ Branch Office	MOSHER - LAFAYETTE	Three-Year Cycle
Non-OSJ Branch Office	MOUILLE - TIBURON	Three-Year Cycle
Non-OSJ Branch Office	PADILLA - DANVILLE	Three-Year Cycle
Non-OSJ Branch Office	POLLARD - ANTIOCH	Three-Year Cycle
Non-OSJ Branch Office	PRUITT - LOS BANOS	Three-Year Cycle
Non-OSJ Branch Office	ROSE, P. - RICHMOND	Three-Year Cycle
Non-OSJ Branch Office	SHIH - OAKLAND	Three-Year Cycle
Non-OSJ Branch Office	STOCKTON - ANTIOCH	Three-Year Cycle
Non-OSJ Branch Office	WILLIAMS - PLEASANTON	Three-Year Cycle

**Unregistered (Satellite) Offices\***

**Frequency of Review\*\***

---

Unregistered (satellite) Office ≥\$50K Earnings Production	Three-Year Cycle
Unregistered (satellite) Office <\$50K Earnings Production	Five-Year Cycle

*\*Note: It is the Firm's internal policy that unregistered (satellite) office locations with annual production levels of \$50,000 or greater are examined every three years. Unregistered (satellite) office locations with annual production levels less than \$50,000 are examined every five years.*

*\*\* Note: RIA Advisory Affiliates who actively manage accounts will be audited every two years.*