

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER, AND CONSENT
NO. 2025086836101**

TO: Department of Enforcement
Financial Industry Regulatory Authority (FINRA)

RE: Charles J. Ehnot (Respondent)
General Securities Representative and Investment Company and Variable Contracts
Products Representative
CRD No. 872769

Pursuant to FINRA Rule 9216, Respondent Charles J. Ehnot submits this Letter of Acceptance, Waiver, and Consent (AWC) for the purpose of proposing a settlement of the alleged rule violations described below. This AWC is submitted on the condition that, if accepted, FINRA will not bring any future actions against Respondent, alleging violations based on the same factual findings described in this AWC.

I.

ACCEPTANCE AND CONSENT

- A. Respondent accepts and consents to the following findings by FINRA without admitting or denying them:

BACKGROUND

Ehnot first registered with FINRA in 1979. Since September 2019, Ehnot has been registered with FINRA as a General Securities Representative and an Investment Company and Variable Contracts Products Representative through an association with Supreme Alliance LLC (CRD No. 45348).¹

OVERVIEW

Ehnot willfully failed to timely amend his Uniform Application for Securities Industry Registration or Transfer (Form U4) to disclose an unsatisfied tax lien and an unsatisfied judgment. As a result, Ehnot violated Article V, Section 2(c) of FINRA's By-Laws and FINRA Rules 1122 and 2010. For this violation, Ehnot is suspended in all capacities for two months and fined \$5,000.

FACTS AND VIOLATIVE CONDUCT

To become registered with FINRA through an association with a member firm, an applicant is required to complete, and the member firm must file with FINRA, a Form U4. Accurate Forms U4 are critical to FINRA's function in screening and supervising

¹ For more information about the respondent, visit BrokerCheck® at www.finra.org/brokercheck.

registered representatives. Truthful and complete answers to Form U4 questions are critical because these responses may serve as an early warning mechanism and may identify individuals with troubled pasts or suspect financial histories.

Article V, Section 2(c) of FINRA's By-Laws requires that every application for registration filed with FINRA be kept current at all times by supplementary amendments to the Form U4 not later than 30 days after learning of the facts or circumstances giving rise to the amendment. FINRA Rule 1122 provides that "[n]o member or person associated with a member shall file with FINRA information with respect to membership or registration which is incomplete or inaccurate so as to be misleading, or which could in any way tend to mislead, or fail to correct such filing after notice thereof."

A violation of Article V, Section 2(c) of FINRA's By-Laws or FINRA Rule 1122 is also a violation of FINRA Rule 2010, which requires associated persons to observe high standards of commercial honor and just and equitable principles of trade in the conduct of their business.

At all relevant times, Form U4 Disclosure Question 14M required registrants to disclose whether they "have any unsatisfied judgments or liens." If a registered representative answers the question in the affirmative, he or she is required to provide detailed information concerning each judgment and lien, including the amount(s).

On or before May 25, 2025, Ehnot learned that the IRS had filed a tax lien against him totaling approximately \$37,400. On or before December 29, 2025, Ehnot learned that an unrelated civil judgment had been entered against him for approximately \$14,800. Both the lien and the judgment remain unsatisfied, and Ehnot was required to disclose them on his Form U4 within 30 days of receiving notice of their existence. Although Ehnot knew that the lien and judgment had been filed against him, he failed to amend his Form U4 to disclose them within 30 days. Ehnot did not amend his Form U4 to disclose the lien and judgment until April 24, 2026.

By willfully failing to timely disclose the lien and judgment on his Form U4, Ehnot violated Article V, Section 2(c) of FINRA's By-Laws and FINRA Rules 1122 and 2010.

B. Respondent also consents to the imposition of the following sanctions:

- a two-month suspension from associating with any FINRA member in all capacities and
- a \$5,000 fine.

Respondent agrees to pay the monetary sanction upon notice that this AWC has been accepted and that such payment is due and payable. FINRA's Finance Department will contact Respondent regarding payment. Respondent has submitted an Election of Payment form showing the method by which he proposes to pay the fine imposed.

Respondent specifically and voluntarily waives any right to claim an inability to pay, now or at any time after the execution of this AWC, the monetary sanction imposed in this matter.

Respondent understands that if he is barred or suspended from associating with any FINRA member, he becomes subject to a statutory disqualification as that term is defined in Article III, Section 4 of FINRA's By-Laws, incorporating Section 3(a)(39) of the Securities Exchange Act of 1934. Accordingly, he may not be associated with any FINRA member in any capacity, including clerical or ministerial functions, during the period of the bar or suspension. *See* FINRA Rules 8310 and 8311.

Respondent understands that this settlement includes a finding that he willfully omitted to state a material fact on a Form U4, and that under Section 3(a)(39)(F) of the Securities Exchange Act of 1934 and Article III, Section 4 of FINRA's By-Laws, this omission makes him subject to a statutory disqualification with respect to association with a member.

The sanctions imposed in this AWC shall be effective on a date set by FINRA. The suspension shall become effective three weeks after the date of the notice of acceptance of this AWC.

II.

WAIVER OF PROCEDURAL RIGHTS

Respondent specifically and voluntarily waives the following rights granted under FINRA's Code of Procedure:

- A. To have a complaint issued specifying the allegations against him;
- B. To be notified of the complaint and have the opportunity to answer the allegations in writing;
- C. To defend against the allegations in a disciplinary hearing before a hearing panel, to have a written record of the hearing made, and to have a written decision issued; and
- D. To appeal any such decision to the National Adjudicatory Council (NAC) and then to the U.S. Securities and Exchange Commission and a U.S. Court of Appeals.

Further, Respondent specifically and voluntarily waives any right to claim bias or prejudgment of the Chief Legal Officer, the NAC, or any member of the NAC, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

Respondent further specifically and voluntarily waives any right to claim that a person violated the ex parte prohibitions of FINRA Rule 9143 or the separation of functions prohibitions of FINRA Rule 9144, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

III.

OTHER MATTERS

Respondent understands that:

- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs (ODA), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against Respondent; and
- C. If accepted:
 - 1. this AWC will become part of Respondent's permanent disciplinary record and may be considered in any future action brought by FINRA or any other regulator against Respondent;
 - 2. this AWC will be made available through FINRA's public disclosure program in accordance with FINRA Rule 8313;
 - 3. FINRA may make a public announcement concerning this agreement and its subject matter in accordance with FINRA Rule 8313;
 - 4. this AWC may be taken into consideration by employers and other regulatory or licensing entities or authorities in their hiring, retention, licensing, or other decisions. This AWC may also have other adverse collateral consequences outside of FINRA's control; and
 - 5. Respondent may not take any action or make or permit to be made any public statement, including in regulatory filings or otherwise, denying, directly or indirectly, any finding in this AWC or create the impression that the AWC is without factual basis. Respondent may not take any position in any proceeding brought by or on behalf of FINRA, or to which FINRA is a party, that is inconsistent with any part of this AWC. Nothing in this provision affects Respondent's right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party. Nothing in this provision affects Respondent's testimonial obligations in any litigation or other legal proceedings.

- D. Respondent may attach a corrective action statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. Respondent understands that he may not deny the charges or make any statement that is inconsistent with the AWC in this statement. This statement does not constitute factual or legal findings by FINRA, nor does it reflect the views of FINRA.

Respondent certifies that he has read and understands all of the provisions of this AWC and has been given a full opportunity to ask questions about it; Respondent understands and acknowledges that he is permitted to retain an attorney at his expense to review and provide legal advice regarding the AWC before agreeing to the language and signing the AWC; Respondent also understands and acknowledges that FINRA does not represent or advise him and Respondent cannot rely on FINRA for legal advice. Respondent has agreed to the AWC's provisions voluntarily; and no offer, threat, inducement, or promise of any kind, other than the terms set forth in this AWC and the prospect of avoiding the issuance of a complaint, has been made to induce him to submit this AWC.

08/14/2026
Date

Charles J. Ehnor
Charles J. Ehnor
Respondent

Accepted by FINRA:

August 18, 2026
Date

Signed on behalf of the
Director of ODA, by delegated authority

Matthew M. Ryan
Matthew M. Ryan
Principal Counsel
FINRA
Department of Enforcement
1601 Market St., Suite 2700
Philadelphia, PA 19103-2339