

Law Firm Announces Investigation into Seven FINRA Brokers Fired for Cause

MDF Law encourages investors to immediately contact their law office to discuss any of these individuals.

NEW YORK, NEW YORK, USA,
September 6, 2022 /EINPresswire.com/
-- [MDF Law](#), announces the investigation into seven individuals who were recently terminated for cause according to the Financial Industry Regulatory Authority, or [FINRA](#). The list includes:



- Dusty Sternadel (formerly of Ameriprise Financial Services)
- Chip Wodrich (formerly of Honor Townsend & Kent)
- Robert Mehlin (formerly of Coastal Equities, Inc.)
- Gary Chang (formally of Morgan Stanley)
- Brent Hablutzel (formally of Rockefeller Financial)
- Daniel Ballister (formally of MML Investors Services)
- Chad Barancyk (formally of Great Point Capital)

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Call me at 800-767-8040 and let's talk about your case. I exclusively represent investors in FINRA arbitration cases against stockbrokers and financial advisors.”

Marc D. Fitapelli, Esq.

MDF Law and its attorneys are actively investigating customer complaints related to these individuals. If you or someone you know lost money investing with any of these individuals, please contact MDF Law at 800-767-8040 and ask to speak with attorneys Marc Fitapelli or Jeffrey Saxon.

The following information is based on public disclosures that were last accessed on September 6, 2022.

Dusty Sternadel Terminated by Ameriprise for 'Misappropriation of Client Funds'

As of July 29, 2022, FINRA reported that Dusty Sternadel (CRD # 5872600) was terminated by Ameriprise Financial Services. According to the disclosure, Ms. Sternadel was terminated, “for violation of company policies related to misappropriation of client funds.” No further details were disclosed. She was registered with Ameriprise Financial Services from December 14, 2018

until August 22, 2022. Ms. Sternadel was also registered with Morgan Stanley and Edward Jones. Dusty Sternadel was based in Wichita Falls, Texas.

Chip Wodrich Fired by Honor Townsend Over Trading Violations

As of August 11, 2022, FINRA reported that Chip Wodrich (CRD # 2715728) was terminated by Honor Townsend & Kent, LLC. According to the disclosure, Mr. Wodrich violated Honor Townsend's procedures, "with respect to (a) client communications, including using an unapproved email address to communicate with clients; (b) use of discretion in client accounts; and (c) failure to timely forward a client complaint." Mr. Wodrich was registered with Honor, Townsend & Kent, LLC from December 5, 2013 until August 11, 2022. Chip Wodrich was based in Goodyear, Arizona.

Robert Mehlin Discharged Following FINRA Suspension

As of August 4, 2022, FINRA reported that Robert Mehlin (CRD # 736694) was terminated by Coastal Equities, Inc. According to the disclosure, he was terminated after Coastal Equities, "learned of an AWC that [Mehlin] agreed to a suspension and fine that was not reported by RR." The "AWC" refers to an August 3, 2022 fine issued by FINRA related to Mr. Mehlin's exercise of discretion in customer accounts without authorization. He was fined \$7,500 and suspended until December 5, 2022. Robert Mehlin was also previously fired by Wells Fargo Advisors in 2019 for similar conduct. According to that disclosure, there were "allegations that registered representative placed trades without appropriate client authorization."

Gary Chang Fired by Morgan Stanley Following Allegations of Misappropriation

As of July 12, 2022, FINRA reported that Gary Chang (CRD #2922898) (A/k/A Chingyuan Chang) was terminated by Morgan Stanley. According to the disclosure, he was terminated because of, "concerns regarding representative's misappropriation of funds from client accounts." No further details were provided by FINRA or Morgan Stanley. Mr. Chang was registered with Morgan Stanley in Cupertino, California since February 2, 2016.

Brent Hablutzel Fired by Rockefeller Financial

As of July 5, 2022, FINRA reported that Brent Hablutzel (CRD # 4749339) was terminated by Rockefeller Financial in Greenwood Village, Colorado. According to the disclosure, Mr. Hablutzel "Exercised discretion over certain customer trades without authority; lack of candor in internal review; and resulting loss of confidence by Management." He was registered with Rockefeller Financial from February 2022 until August 3, 2022 and was previously registered with Merrill Lynch.

Daniel Ballister Terminated by MML Investors Services

As of June 22, 2022, FINRA reported that Daniel Ballister (CRD # 5526340) was terminated by MML Investor Services in Fairfield, New Jersey. According to the disclosure, "Registered Representative did not follow company policies and procedures with respect to C Shares, discretionary trading and churning." No further details were provided.

Chad Barancyk Fired by Great Point Capital

As of June 3, 2022, FINRA reported that Chad Barancyk (CRD # 4921433) was terminated by Great Point Capital. According to the disclosure, he "failed to provide required information for a FINRA inquiry." On July 11, 2022, FINRA indefinitely suspended Mr. Barancyk for failure to timely provide information in connection with an investigation. He is also the subject of numerous customer complaints according to FINRA. Chad Barancyk was associated with Great Point Capital from February 2021 until June 2022. He was previously associated with First Allied Securities and SII Investments, Inc.

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