

Attached is the Snapshot Report ("Snapshot") that you requested. Please disregard the numbering on the pages; it is for internal use only. For future Snapshot requests, you may choose one of the following options:

- Contact the licensing or compliance department of your firm if you are a currently registered individual.
- Request your individual snapshot report online. For more information visit: www.finra.org/industry/web-crd/snapshot-reports
- Complete and submit the Snapshot Report Request Form available on the FINRA Web Site at: www.finra.org/file/web-crdiand-snapshot-request-form.

FINRA mails Snapshots for currently registered individuals to the residential address of record in CRD. However, FINRA mails Snapshots for formerly registered individuals to either the residential address of record in the Central Registration Depository (CRD[®]) system or other residential address provided by you in writing.

Please be advised that Snapshots may include information from the Legacy CRD system, which is no longer the system of record for FINRA. Legacy CRD records may not be current because FINRA implemented Web CRD[®], the Internet-based Central Registration Depository system, as its system of record on August 16, 1999.

Additional information and the Snapshot Report Request Form are available on the FINRA Web Site at <http://www.finra.org/industry/web-crd/snapshot-reports>. If you need additional assistance, please contact the Regulatory Services and Operations unit at (240) 386-4182.

CRD® or IARD(TM) System Current As Of: 02/16/2016
Snapshot - Individual
CRD® or IARD(TM) System Report provided to: RESEARCH
Request Submitted: 2/17/2016 11:04:05 AM

Individual 2186655 - HOCHBERG, OLIVIER SERGE

Administrative Information
Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

<<No Employment History found for this Individual.>>

Office of Employment History

<<No Office of Employment History found for this Individual.>>

Other Business

<<No Other Business found for this Individual.>>

Exam Appointments

<<No Exam Appointments found for this Individual.>>

SEC Series 3,7
and 63 registered

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S3	20344951	Official Result	10/29/1991	10/29/1991	Passed	92	-
S7	20344954	Official Result	04/21/1992	04/21/1992	Passed	82	-
S7	20344953	Window Expired	02/19/1992			0	-
S63	20344952	Official Result	05/28/1992	05/28/1992	Passed	78	-

CE Regulatory Element Status

Current CE Status NOCESTATUS

CE Base Date

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

<<No Next CE found for this Individual.>>

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Requirement Status found for this Individual.>>

Filing History

<<No Filing History found for this Individual.>>

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.