

BrokerCheck Report

C.K. COOPER & COMPANY, INC.

CRD# 106578

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When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

What is included in a BrokerCheck report?

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

• Where did this information come from?

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

How current is this information?

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- What if I want to check the background of an investment adviser firm or investment adviser representative?
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- Are there other resources I can use to check the background of investment professionals?
- FINRA recommends that you learn as much as possible about an investment professional before
 deciding to work with them. Your state securities regulator can help you research brokers and investment adviser
 representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

www.finra.org/brokercheck
User Guidance

C.K. COOPER & COMPANY, INC.

CRD# 106578

SEC# 8-53020

Main Office Location

4 PARK PLAZA SUITE 1900 IRVINE, CA 92614

Mailing Address

4 PARK PLAZA SUITE 1900 IRVINE, CA 92614

Business Telephone Number

949-477-9300

Report Summary for this Firm



This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 04/08/1987. Its fiscal year ends in March.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm?

Yes

The following types of disclosures have been reported:

Туре	Count	
Regulatory Event	4	
Arbitration	1	

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.

FINCA

Date firm ceased business: 07/01/2013

Does this brokerage firm owe any money or securities to any customer or brokerage firm?

This firm is classified as a corporation.

This firm was formed in California on 04/08/1987.

Its fiscal year ends in March.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

C.K. COOPER & COMPANY, INC.

Doing business as C.K. COOPER & COMPANY, INC.

CRD# 106578

SEC# 8-53020

Main Office Location

4 PARK PLAZA **SUITE 1900** IRVINE, CA 92614

Mailing Address

4 PARK PLAZA **SUITE 1900 IRVINE, CA 92614**

Business Telephone Number

949-477-9300





This section provides information relating to all direct owners and executive officers of the brokerage firm.



Direct Owners and Executive Officers

Legal Name & CRD# (if any): C & K CAPITAL CORPORATION

Is this a domestic or foreign entity or an individual?

Domestic Entity

Position SOLE SHAREHOLDER

Position Start Date 09/1996

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

Legal Name & CRD# (if any): CHEN RODRIGUEZ, OTILIA DEL CARMEN

5041049

Is this a domestic or foreign entity or an individual?

Individual

Position CCO/COO/SROP/AMLCO/MANAGING DIRECTOR

Position Start Date 11/2006

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting

company?

No

Legal Name & CRD# (if any): MONTANO, ALEXANDER GENE

1961932

Is this a domestic or foreign entity or an individual?

Individual

Position PRESIDENT/CFO/FINOP/TREASURER/MANAGING DIRECTOR

Position Start Date 09/1996

User Guidance

Direct Owners and Executive Officers (continued)

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting

company?

No

This section provides information relating to any indirect owners of the brokerage firm.

FINCA

Indirect Owners

Legal Name & CRD# (if any): MONTANO, ALEXANDER GENE

1961932

Is this a domestic or foreign entity or an individual?

Individual

Company through which indirect ownership is established

C & K CAPITAL CORPORATION

Relationship to Direct Owner

PRESIDENT

Relationship Established

09/1996

Percentage of Ownership

75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting

company?

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

FINCA

No information reported.

Registrations

FINCA

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 04/30/2001 to 10/14/2013.

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 14 types of businesses.

Types of Business

Broker or dealer making inter-dealer markets in corporation securities over-the-counter

Broker or dealer retailing corporate equity securities over-the-counter

Underwriter or selling group participant (corporate securities other than mutual funds)

Mutual fund retailer

Municipal securities broker

Broker or dealer selling variable life insurance or annuities

Broker or dealer selling oil and gas interests

Put and call broker or dealer or option writer

Investment advisory services

Broker or dealer selling tax shelters or limited partnerships in primary distributions

Non-exchange member arranging for transactions in listed securities by exchange member

Trading securities for own account

Private placements of securities

Other - APPROVED IN THE STATE OF CALIFORNIA TO SELL INSURANCE, INSURANCE # 0E14675

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: APPROVED IN THE STATE OF CALIFORNIA TO SELL INSURANCE.

INSURANCE # 0E14675





Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name: COR CLEARING LLC

CRD #: 117176

Business Address: 9300 UNDERWOOD AVENUE, SUITE 400

OMAHA, NE 68114-2685

Effective Date: 01/17/2006

Description: C. K. COOPER & COMPANY, INC. CLEARS TRADES THROUGH COR

CLEARING ON A FULLY DISCLOSED BASIS. IN CONNECTION WITH THIS ARRANGEMENT, SOME ACCOUNTS, FUNDS AND SECURITIES OF C. K. COOPER & COMPANY, INC. MAY BE MAINTAINED BY COR CLEARING INC.

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: COR CLEARING LLC

CRD #: 117176

Business Address: 9300 UNDERWOOD AVENUE, SUITE 400

OMAHA, NE 68114-2685

Effective Date: 01/17/2006

Description: C. K. COOPER & COMPANY, INC. CLEARS TRADES THROUGH COR

CLEARING INC ON A FULLY DISCLOSED BASIS. IN CONNECTION WITH THIS ARRANGEMENT. SOME ACCOUNTS. FUNDS AND SECURITIES OF C.

K. COOPER & COMPANY, INC. MAY BE MAINTAINED BY LEGENT

CLEARING INC.

This firm does have accounts, funds, or securities maintained by a third party.

Name: COR CLEARING LLC

CRD #: 117176

Business Address: 9300 UNDERWOOD AVENUE, SUITE 400

OMAHA, NE 68114-2685

Effective Date: 01/17/2006

Description: C. K. COOPER & COMPANY, INC. CLEARS TRADES THROUGH LEGENT

CLEARING ON A FULLY DISCLOSED BASIS. IN CONNECTION WITH THIS ARRANGEMENT, SOME ACCOUNTS, FUNDS AND SECURITIES OF C. K. COOPER & COMPANY, INC. MAY BE MAINTAINED BY COR CLEARING INC.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: COR CLEARING LLC

CRD #: 117176

Business Address: 9300 UNDERWOOD AVENUE, SUITE 400

OMAHA, NE 68114-2685

Effective Date: 01/17/2006

Description: C. K. COOPER & COMPANY, INC. CLEARS TRADES THROUGH COR

CLEARING INC. ON A FULLY DISCLOSED BASIS. IN CONNECTION WITH THIS ARRANGEMENT, SOME ACCOUNTS, FUNDS AND SECURITIES OF C. K. COOPER & COMPANY, INC. MAY BE MAINTAINED BY COR CLEARING

INC.

Industry Arrangements (continued)

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.



This firm is, directly or indirectly:

- · in control of
- · controlled by
- · or under common control with

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

PALADIN CAPITAL PARTNERS, INC. is under common control with the firm.

CRD #: 115200

Business Address: 4 PARK PLAZA

SUITE 1900

IRVINE, CA 92614

Effective Date: 04/03/2000

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory

Yes

Activities:

Description: 100% OWNER, C&K CAPITAL ALSO OWNS 100% OF C. K. COOPER &

COMPANY

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- · state non-member bank
- · savings bank or association
- · credit union
- · or foreign bank

Disclosure Events



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	4	0
Arbitration	N/A	1	N/A



Disclosure Event Details

What you should know about reported disclosure events:

- BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.
- 2. Certain thresholds must be met before an event is reported to CRD, for example:
 - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
- 3. Disclosure events in BrokerCheck reports come from different sources:
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
- 4. There are different statuses and dispositions for disclosure events:
 - o A disclosure event may have a status of pending, on appeal, or final.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of adjudicated, settled or otherwise resolved.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter.
 Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
- 5. You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 4

Reporting Source: Regulator

Current Status: Final



Allegations: RESPONDENT C.K. COOPER & COMPANY, INC. FAILED TO PAY FEES OF

\$19,050.00 DUE TO FINRA.

Initiated By: FINRA

Date Initiated: 09/23/2013

Docket/Case Number: N/A

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Other

No

Other Sanction(s)/Relief

Sought:

CANCELLATION

Resolution: Other

Resolution Date: 10/14/2013

Does the order constitute a

final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or

deceptive conduct?

Sanctions Ordered:

Other Sanctions Ordered: CANCELLATION

Sanction Details: PURSUANT TO FINRA RULE 9553, C.K. COOPER & COMPANY, INC.'S

MEMBERSHIP WITH FINRA IS CANCELED AS OF OCTOBER 14, 2013 FOR

FAILURE TO PAY OUTSTANDING FEES.

Disclosure 2 of 4

Reporting Source: Regulator

Current Status: Final

Allegations: THE FIRM FAILED TO COMPLY WITH AN ARBITRATION AWARD OR

SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA

REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF

COMPLIANCE.

Initiated By: FINRA

Date Initiated: 07/18/2013



Docket/Case Number: <u>10-05679</u>

Principal Product Type:

No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Suspension

Other Sanction(s)/Relief

Sought:

Resolution: Other

Resolution Date: 07/18/2013

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or

No

deceptive conduct?

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: PURSUANT TO ARTICLE VI, SECTION 3 OF FINRA BY-LAWS, AND FINRA

RULE 9554, THE FIRM IS SUSPENDED JULY 18, 2013 FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR

TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE

INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

Disclosure 3 of 4

Reporting Source: Regulator

Current Status: Final

Allegations: FINRA RULE 7450 - C.K. COOPER & COMPANY, INC.TRANSMITTED

REPORTABLE ORDER EVENTS (ROES) TO THE ORDER AUDIT TRAIL SYSTEM (OATS) THAT WERE REJECTED BY OATS FOR CONTEXT OR SYNTAX ERRORS AND WERE REPAIRABLE BUT THE FIRM FAILED TO REPAIR MOST OF THE REJECTED ROES SO THAT THE FIRM FAILED TO TRANSMIT THEM TO OATS DURING THE REVIEW PERIOD. THE FIRM ALSO FAILED TO REPAIR THESE REJECTED ROES WITHIN THE REQUIRED FIVE

BUSINESS DAYS.

Initiated By: FINRA

Date Initiated: 10/22/2012



Docket/Case Number: 2011028364701

Principal Product Type:

No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Other Sanction(s)/Relief

Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

No

Resolution Date: 10/22/2012

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or

deceptive conduct?

Sanctions Ordered: Censure

Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED

TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500. FINE PAID IN

FULL ON 11/6/2012.

Reporting Source: Firm

Current Status: Final

Allegations: FINRA RULE 7450 - C.K. COOPER & COMPANY, INC.TRANSMITTED

REPORTABLE ORDER EVENTS (ROES) TO THE ORDER AUDIT TRAIL SYSTEM (OATS) THAT WERE REJECTED BY OATS FOR CONTEXT OR SYNTAX ERRORS AND WERE REPAIRABLE BUT THE FIRM FAILED TO REPAIR MOST OF THE REJECTED ROES SO THAT THE FIRM FAILED TO TRANSMIT THEM TO OATS DURING THE REVIEW PERIOD. THE FIRM ALSO FAILED TO REPAIR THESE REJECTED ROES WITHIN THE REQUIRED FIVE

BUSINESS DAYS.

Initiated By: FINRA

Date Initiated: 10/22/2012

Docket/Case Number: 2011028364701



Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Other Sanction(s)/Relief

Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/22/2012

Sanctions Ordered: Censure

Monetary/Fine \$7,500.00

Other Sanctions Ordered: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED

TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS;

THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500

Sanction Details: N/A

Firm Statement THE FIRM HAS MODIFIED THE REVIEW PROCESS TO ENSURE THE REVIEW

AND THE REJECTIONS TO BE REPAIRED, SINCE THE CASE WAS BROUGHT INTO THE FIRMS ATTENTION. THE REJECTIONS ARE NOT ONLY REPAIRED, THE CCO RESEARCH THE REASON OR REASONS FOR THE REJECTIONS IN ORDER TO AVOID PATTERNS OR FUTURE REJECTIONS FOR THE SAME

CAUSES.

Disclosure 4 of 4

Reporting Source: Regulator

Current Status: Final

Allegations: C.K. COOPER & COMPANY, INC. FAILED TO COMPLY WITH FORMAL

WRITTEN REQUESTS TO SUBMIT FINANCIAL INFORMATION TO THE NASD.

Initiated By: NASD

Date Initiated: 11/22/1996

Docket/Case Number:

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Suspension



Other Sanction(s)/Relief

Sought:

Resolution: Other

Resolution Date: 11/22/1996

Does the order constitute a final order based on violations of any laws or regulations that prohibit

fraudulent, manipulative, or

deceptive conduct?

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: C.K. COOPER & COMPANY, INC. WAS SUSPENDED FROM MEMBERSHIP IN

THE NASD FOR FAILURE TO COMPLY WITH FORMAL WRITTEN REQUESTS TO SUBMIT FINANCIAL INFORMATION TO THE NASD. THE SUSPENSION

COMMENCED NOVEMBER 22, 1996 AND WILL CONCLUDE UPON

COMPLIANCE. SUSPENSION CONCLUDED ON 12/13/96 -- ANNUAL AUDIT

RECEIVED.

Nο

Reporting Source: Firm

Current Status: Final

Allegations: C.K. COOPER & COMPANY, INC. FAILED TO COMPLY WITH FORMAL

WRITTEN REQUESTS TO SUBMIT FINANCIAL INFORMATION TO THE NASD

Initiated By: NASD

Date Initiated: 11/22/1996

Docket/Case Number:

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Suspension

Other Sanction(s)/Relief

Sought:

Resolution: Other

Resolution Date: 12/13/1996



Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: C.K. COOPER & COMPANY, INC. WAS SUSPENDED FROM MEMBERSHIP

WITH THE NASD FOR FAILURE TO COMPLY WITH FORMAL WRITTEN REQUESTS TO SUBMIT FINANCIAL INFORMATION TO THE NASD. THE SUSPENSION COMMENCED NOVEMBER 22, 1996 AND WILL CONCLUDE UPON COMPLIANCE. SUSPENSION CONCLUDED ON 12/13/96 -- ANNUAL

AUDIT RECEIVED.

Firm Statement C.K. COOPER & COMPANY, INC. WAS SUSPENDED FROM MEMBERSHIP

WITH THE NASD FOR FAILURE TO COMPLY WITH FORMAL WRITTEN REQUESTS TO SUBMIT FINANCIAL INFORMATION TO THE NASD. THE SUSPENSION COMMENCED NOVEMBER 22, 1996 AND WILL CONCLUDE UPON COMPLIANCE. SUSPENSION CONCLUDED ON 12/13/96 -- ANNUAL

AUDIT RECEIVED.



Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.

The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 1

Reporting Source: Regulator

Type of Event: ARBITRATION

Allegations: ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-

SUITABILITY; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE

Arbitration Forum: FINRA

Case Initiated: 02/11/2011

Case Number: 10-05679

Disputed Product Type: COMMON STOCK; OTHER TYPES OF SECURITIES

Sum of All Relief Requested: \$1,125,794.00

Disposition: AWARD AGAINST PARTY

Disposition Date: 04/03/2013

Sum of All Relief Awarded: \$687,644.01

There may be a non-monetary award associated with this arbitration. Please select the Case Number above to view more detailed information.

www.finra.org/brokercheck

End of Report



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