

BrokerCheck Report

AMSOUTH INVESTMENT SERVICES, INC.

CRD# 15692

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), 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
 - 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.



AMSOUTH INVESTMENT SERVICES,
INC.

CRD# 15692

SEC# 8-32565

Main Office Location

250 RIVERCHASE PKWY E RCS4
BIRMINGHAM, AL 35244

Mailing Address

250 RIVERCHASE PKWY E RCS4
BIRMINGHAM, AL 35244

Business Telephone Number

205-560-7535

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 Alabama on 08/27/1984.
Its fiscal year ends in December.

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:

Type	Count
Regulatory Event	8

The number of disclosures from non-registered control affiliates is 2

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.



Date firm ceased business: 09/24/2007

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in Alabama on 08/27/1984.

Its fiscal year ends in December.

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.

AMSOUTH INVESTMENT SERVICES, INC.

Doing business as AMSOUTH INVESTMENT SERVICES, INC.

CRD# 15692

SEC# 8-32565

Main Office Location

250 RIVERCHASE PKWY E RCS4
BIRMINGHAM, AL 35244

Mailing Address

250 RIVERCHASE PKWY E RCS4
BIRMINGHAM, AL 35244

Business Telephone Number

205-560-7535



Firm Profile

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): AMSOUTH BANK

Is this a domestic or foreign entity or an individual? Domestic Entity

Position OWNER

Position Start Date 08/1984

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): BAGBY, CANDICE WAGGENER
2700657

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 01/1996

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): DANIEL, MICHAEL CURTIS
4476150

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 10/2001

Firm Profile



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

Legal Name & CRD# (if any): HALL, O B GRAYSON
5059448

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 11/2005

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): MAYER, W CHARLES III
2801550

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 08/1996

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): PARKS, KEVIN WILLIAM

Firm Profile



Direct Owners and Executive Officers (continued)

	2933659
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/CEO, CCO, FINOP, CFO
Position Start Date	04/2003
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	

Legal Name & CRD# (if any): PIHERA, JIM A
5070878

Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	10/2005
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): SAAB, PETER THOMAS
2058539

Is this a domestic or foreign entity or an individual?	Individual
Position	SRP, CROP
Position Start Date	04/2006
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): STEPHENSON, ERNEST WINN JR
2801549

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 08/1996

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): TWITTY, THOMAS BARTON
4657089

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 10/2005

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

Firm Profile

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



Indirect Owners

Legal Name & CRD# (if any):	AMSOUTH BANCORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AMSOUTH BANK
Relationship to Direct Owner	PARENT, STOCKHOLDER
Relationship Established	08/1984
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Firm History

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

No information reported.



Firm Operations

Registrations

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 11/01/1984 to 11/26/2007.





Firm Operations

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 13 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities dealer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account

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: 13B THE APPLICANT SHALL, THROUGH SELECTED INSURANCE COMPANIES, ACT AS THEIR AGENT TO OFFER FIXED RATE ANNUITIES AND CERTAIN INSURANCE PRODUCTS.



Firm Operations

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:	PERSHING LLC
CRD #:	7560
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	12/15/2003
Description:	APPLICANT WILL ON BEHALF OF ITS CUSTOMERS, PLACE ORDERS TO BUY AND SELL SECURITIES WITH PERSHING, LLC AND ALL TRANSACTIONS WILL BE CLEARED BY AND ALL ACCOUNTS WILL BE CARRIED BY PERSHING LLC ON A FULLY DISCLOSED BASIS. PERSHING LLC WILL GENERATE CONFIRMATIONS WHICH WILL BE MAILED BY APPLICANT TO ITS CUSTOMERS. ALL OTHER REPORTS WILL BE MAILED BY PERSHING LLC TO THE CUSTOMERS.

Name:	NATIONAL FINANCIAL SERVICES LLC
CRD #:	13041
Business Address:	82 DEVONSHIRE ST. BOSTON, MA 02109
Effective Date:	05/30/1986
Description:	APPLICANT WILL ON BEHALF OF ITS CUSTOMERS, PLACE ORDERS TO BUY AND SELL SECURITIES WITH NATIONAL FINANCIAL SERVICES, LLC(NFS). ALL TRANSACTIONS WILL BE CLEARED BY AND ALL ACCOUNTS WILL BE CARRIED BY NFS ON A FULLY DISCLOSED BASIS. NFS WILL GENERATE CONFIRMATIONS WHICH WILL BE MAILED BY APPLICANT TO ITS CUSTOMERS. ALL OTHER REPORTS WILL BE MAILED BY NFS TO THE CUSTOMERS.

Firm Operations

Industry Arrangements

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

Name: AMSOUTH BANK

Business Address: 1900 5TH AVE. N.
BIRMINGHAM, AL 35203

Effective Date: 08/27/1984

Description: AMSOUTH BANK WILL PERFORM PAYROLL RELATED FUNCTIONS AND GENERAL LEDGER ACCOUNTING FOR APPLICANT AND WILL MAINTAIN THE RECORDS OF APPLICANT RELATING TO THOSE ACTIVITIES. GENERAL LEDGER AND OTHER CORPORATION DOCUMENTS WILL BE READILY ACCESSIBLE IN APPLICANT'S OFFICE.

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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 12/15/2003

Description: APPLICANT WILL ON BEHALF OF ITS CUSTOMERS, PLACE ORDERS TO BUY AND SELL SECURITIES WITH PERSHING, LLC AND ALL TRANSACTIONS WILL BE CLEARED BY AND ALL ACCOUNTS WILL BE CARRIED BY PERSHING LLC ON A FULLY DISCLOSED BASIS. PERSHING LLC WILL GENERATE CONFIRMATIONS WHICH WILL BE MAILED BY APPLICANT TO ITS CUSTOMERS. ALL OTHER REPORTS WILL BE MAILED BY PERSHING LLC TO THE CUSTOMERS.

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: 82 DEVONSHIRE ST.
BOSTON, MA 02109

Effective Date: 05/30/1986

Description: APPLICANT WILL ON BEHALF OF ITS CUSTOMERS, PLACE ORDERS TO BUY AND SELL SECURITIES WITH NATIONAL FINANCIAL SERVICES, LLC(NFS). ALL TRANSACTIONS WILL BE CLEARED BY AND ALL ACCOUNTS WILL BE CARRIED BY NFS ON A FULLY DISCLOSED BASIS. NFS WILL GENERATE CONFIRMATIONS WHICH WILL BE MAILED BY APPLICANT TO ITS CUSTOMERS. ALL OTHER REPORTS WILL BE

Firm Operations



Industry Arrangements (continued)

MAILED BY NFS TO THE CUSTOMERS.

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

Name: PERSHING LLC

CRD #: 7560

Business Address: ONE PERSHING PLAZA
JERSEY CITY, NJ 07399

Effective Date: 12/15/2003

Description: APPLICANT WILL ON BEHALF OF ITS CUSTOMERS, PLACE ORDERS TO BUY AND SELL SECURITIES WITH PERSHING, LLC AND ALL TRANSACTIONS WILL BE CLEARED BY AND ALL ACCOUNTS WILL BE CARRIED BY PERSHING LLC ON A FULLY DISCLOSED BASIS. PERSHING LLC WILL GENERATE CONFIRMATIONS WHICH WILL BE MAILED BY APPLICANT TO ITS CUSTOMERS. ALL OTHER REPORTS WILL BE MAILED BY PERSHING LLC TO THE CUSTOMERS.

Name: NATIONAL FINANCIAL SERVICES LLC

CRD #: 13041

Business Address: 82 DEVONSHIRE ST.
BOSTON, MA 02109

Effective Date: 05/30/1986

Description: APPLICANT WILL ON BEHALF OF ITS CUSTOMERS PLACE ORDERS TO BUY AND SELL SECURITIES WITH NATIONAL FINANCIAL SERVICES, LLC(NFS). ALL TRANSACTIONS WILL BE CLEARED BY AND ALL ACCOUNTS WILL BE CARRIED BY NFS ON A FULLY DISCLOSED BASIS. NFS WILL GENERATE CONFIRMATIONS WHICH WILL BE MAILED BY APPLICANT TO ITS CUSTOMERS. ALL OTHER REPORTS WILL BE MAILED BY NFS TO THE CUSTOMERS.

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.



Firm Operations

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.

MORGAN KEEGAN & COMPANY, INC. is under common control with the firm.

CRD #:	4161
Business Address:	50 FRONT STREET MORGAN KEEGAN TOWER MEMPHIS, TN 38103-9980
Effective Date:	11/06/2006
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	MORGAN KEEGAN & COMPANY, INC. IS A REGISTERED BROKER/ DEALER WHICH IS 100% OWNED BY REGIONS FINANCIAL CORPORATION.

REGIONS BANK controls the firm.

Business Address:	1900 5TH AVENUE NORTH BIRMINGHAM, AL 35203
Effective Date:	08/27/1984
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No
Description:	REGIONS BANK OWNS 100% OF AMSOUTH BANK WHICH OWNS 100% OF AMSOUTH INVESTMENT SERVICES, INC.

Firm Operations



Organization Affiliates (continued)

AMSOUTH INVESTMENT MANAGEMENT COMPANY LLC is under common control with the firm.

CRD #:	111757
Business Address:	1901 SIXTH AVENUE NORTH SUITE 620 BIRMINGHAM, AL 35203
Effective Date:	05/12/2001
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AMSOUTH INVESTMENT MANAGEMENT CO. LLC IS A REGISTERED INVESTMENT ADVISOR AND 100% OWNED BY AMSOUTH BANK.

OAKBROOK INVESTMENTS, LLC is under common control with the firm.

Business Address:	303 PEACHTREE ST N.W. ATLANTA, GA 30308
Effective Date:	04/07/1998
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	OAKBROOK INVESTMENTS, LLC IS A REGISTERED INVESTMENT ADVISOR, 50% OWNED BY AMSOUTH BANK.

SAWGRASS ASSET MANAGEMENT, LLC. is under common control with the firm.

Business Address:	4337 PABLO OAK CT. JACKSONVILLE, FL 32224
Effective Date:	01/15/1998
Foreign Entity:	No
Country:	
Securities Activities:	No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: SAWGRASS ASSET MANAGEMENT, LLC. IS A REGISTERED INVESTMENT ADVISOR, 50% OWNED BY AMSOUTH BANK.

ROCKHAVEN ASSET MANAGEMENT is under common control with the firm.

Business Address: 100 1ST AVE. SUITE 1050
PITTSBURG, PA 15222

Effective Date: 02/07/1997

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: ROCKHAVEN ASSET MANAGEMENT, LLC. IS A REGISTERED INVESTMENT ADVISOR, AND 50% OWNED BY AMSOUTH BANK.

AMSOUTH ASSET MANAGEMENT, INC. is under common control with the firm.

CRD #: 111554

Business Address: 1901 6TH AVE N
BIRMINGHAM, AL 35203

Effective Date: 08/28/1996

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: FIVE POINTS CAPITAL ADVISORY SERVICES IS A REGISTERED INVESTMENT ADVISOR AND 100% OWNED BY AMSOUTH BANK.

AMSOUTH BANK controls the firm.

Business Address: 1900 5TH AVE. N.
BIRMINGHAM, AL 35203

Effective Date: 08/27/1984

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No
Description:	100% OWNER OF AMSOUTH INVESTMENT SERVICES, INC.

This firm is 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

REGIONS FINANCIAL CORPORATION is a Bank Holding Company and controls the firm.

Business Address:	1900 5TH AVENUE NORTH BIRMINGHAM, AL 35206
Effective Date:	02/03/1972
Description:	REGIONS FINANCIAL CORPORATION OWNS 100% OF AMSOUTH BANK CORPORATION WHICH OWNS 100% OF AMSOUTH BANK WHO OWNS 100% OF AMSOUTH INVESTMENT SERVICES, INC.

AMSOUTH BANCORPORATION is a Bank Holding Company and controls the firm.

Business Address:	1900 5TH AVE N BIRMINGHAM, AL 35203
Effective Date:	02/03/1972
Description:	AMSOUTH BANCORPORATION IS 100% OWNED BY REGIONS FINANCIAL CORPORATION WHO OWNS 100% OF REGIONS BANK WHO OWNS 100% OF AMSOUTH BANK WHICH OWNS 100% OF AMSOUTH INVESTMENT SERVICES, INC.



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	1	7	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **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:**
 - 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.
 - 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 7

Reporting Source: Regulator

Current Status: Final



Allegations:	NASD RULE 2110, 3010(A) - RESPONDENT MEMBER FAILED AND NEGLECTED TO ESTABLISH AND MAINTAIN A SYSTEM REASONABLY DESIGNED TO SUPERVISE ITS REGISTERED REPRESENTATIVES' CIRCUMVENTION OF THE FIRM'S SUITABILITY REVIEW PROCEDURES.
Initiated By:	NASD
Date Initiated:	05/24/2006
Docket/Case Number:	E052004025802
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/24/2006
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine \$100,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, AMSOUTH INVESTMENT SERVICES, INC., CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS CENSURED AND FINED \$100,000.
<hr/>	
Reporting Source:	Firm
Current Status:	Final
Allegations:	ALLEGED AIS FAILED TO REASONABLY SUPERVISE REPRESENTATIVE, JAMES B. MOOREHEAD AND OTHER REPRESENTATIVES IN REMOTE BRANCH LOCATIONS.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS



Date Initiated: 02/10/2006

Docket/Case Number: [E052004025802](#)

Principal Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/24/2006

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00

Other Sanctions Ordered:

Sanction Details: FINE OF \$100,000.00, PAID 06/05/2006

Firm Statement LETTER OF ACCEPTANCE, WAIVER AND CONSENT AGREED TO WITH \$100,000.00 FINE.

Disclosure 2 of 7

Reporting Source: Regulator

Current Status: Final

Allegations: AMSOUTH INVESTMENT SERVICES FAILED TO REASONABLY SUPERVISE THE AGENT, JIM MOOREHEAD, IN ITS STARKVILLE, MS BRANCH OFFICE. AMSOUTH INVESTMENT SERVICES FAILED TO MAINTAIN AND ENFORCE WRITTEN PROCEDURES IN THE TUSCALOOSA, AL BRANCH OFFICE.

Initiated By: MISSISSIPPI SECRETARY OF STATE
ALABAMA SECURITIES COMMISSION

Date Initiated: 12/09/2002

Docket/Case Number: S-03-0163 AND CO-2004-0005

URL for Regulatory Action:

Principal Product Type: Annuity(ies) - Variable

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)



Other Sanction(s)/Relief Sought:	1. RESTITUTION 2. COMPLIANCE AND SUPERVISORY REVIEW BY AN INDEPENDENT CONSULTANT.
Resolution:	Consent
Resolution Date:	03/16/2004
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine \$225,000.00 Disgorgement/Restitution
Other Sanctions Ordered:	AMSOUTH INVESTMENT SERVICES SHALL RETAIN AN INDEPENDENT CONSULTANT TO CONDUCT A REVIEW OF ITS SUPERVISORY, COMPLIANCE, AND OTHER POLICIES/PROCEDURES DESIGNED TO PREVENT AND DETECT SECURITIES LAW VIOLATIONS. AMSOUTH INVESTMENT SERVICES WILL TAKE ALL NECESSARY STEPS TO IMPLEMENT ALL RECOMMENDATIONS IN THE CONSULTANT'S FINAL REPORT.
Sanction Details:	AMSOUTH INVESTMENT SERVICES MUST OFFER ALL CUSTOMERS THAT PURCHASED A VARIABLE ANNUITY FROM ITS FORMER AGENT, JIM MOOREHEAD, THE OPPORTUNITY TO SURRENDER THEIR VARIABLE ANNUITIES WITHOUT INCURRING ANY DEFERRED SALES CHARGES.
Regulator Statement	THE JOINT EXAM ON 12/9/2004 WAS PRECIPITATED BY A ROUTINE EXAMINATION OF THE STARKVILLE, MS BRANCH OF AMSOUTH INVESTMENT SERVICES ON 6/28/2001. APPROXIMATELY 215 CLIENTS INVESTED ALMOST \$16 MILLION INTO VARIABLE ANNUITIES SOLD BY JIM MOOREHEAD DURING A 15 MONTH PERIOD. AMSOUTH INVESTMENT SERVICES NEITHER ADMITS NOR DENIES VIOLATING SECURITIES LAWS AND RULES OF EITHER MISSISSIPPI OR ALABAMA.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	ALLEGED AIS FAILED TO REASONABLY SUPERVISE THE AGENT, JIM MOOREHEAD, IN STARKVILLE, MS BRANCH OFFICE. ALLEGED AIS FAILED TO MAINTAIN AND ENFORCE WRITTEN PROCEDURES IN THE TUSCALOOSA, AL BRANCH OFFICE.
Initiated By:	MISSISSIPPI SECRETARY OF STATE; ALABAMA SECURITIES COMMISSION



Date Initiated:	12/09/2002
Docket/Case Number:	S-03-0163 AND CO-2004-0005
Principal Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	1. RESTITUTION 2. COMPLIANCE NAD SUPERVISORY REVIEW BY AN INDEPENDENT CONSULTANT
Resolution:	Consent
Resolution Date:	03/16/2004
Sanctions Ordered:	Monetary/Fine \$225,000.00
Other Sanctions Ordered:	AIS SHALL RETAIN AN INDEPENDENT CONSULTANT TO CONDUCT A REVIEW OF ITS SUPERVISORY, COMPLIANCE, AND OTHER POLICIES/PROCEDURES DESIGNED TO PREVENT AND DETECT SECURITIES LAW VIOLATIONS. AIS WILL TAKE ALL NECESSARY STEPS TO IMPLEMENT ALL RECOMMENDATIONS IN THE CONSULTANT'S FINAL REPORT.
Sanction Details:	AIS WILL OFFER ALL CUSTOMERS WHO PURCHASED A VARIABLE ANNUITY FROM THE FORMER AGENT, JIM MOOREHEAD, THE OPPORTUNITY TO SURRENDER THEIR VARIABLE ANNUITY WITHOUT INCURRING ANY DEFERRED SALES CHARGES.
Firm Statement	THE JOINT EXAM ON 12/9/2004 WAS PRECIPITATED BY A ROUTINE EXAMINATION OF THE STARKVILLE, MS BRANCH OF AIS ON 6/28/2001. AIS NEITHER ADMIST NOR DENIES VIOLATING SECURITIES LAWS AND RULES OF EITHER MISSISSIPPI OR ALABAMA.

Disclosure 3 of 7

Reporting Source:	Regulator
Current Status:	Final
Allegations:	AMSOUTH INVESTMENT SERVICES, INC. DID NOT COMPLY WITH CERTAIN REQUIREMENTS SET FORTH IN THE STIPULATION AND CONSENT AGREEMENT BETWEEN THE DEPARTMENT AND AMSOUTH, EXECUTED ON 11/21/94.
Initiated By:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECTION



Date Initiated:	03/21/1997
Docket/Case Number:	2458-S-2/97
URL for Regulatory Action:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	03/21/1997
Sanctions Ordered:	Monetary/Fine \$20,000.00
Other Sanctions Ordered:	
Sanction Details:	ON 3/21/97, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED A FINAL ORDER ENTERING INTO A STIPULATION AND CONSENT AGREEMENT REGARDING THE RESPONDENT AMSOUTH INVESTMENT SERVICES, INC. THE FINAL ORDER INCORPORATES THE STIPULATION AND CONSENT AGREEMENT, DATED 3/17/97, IN WHICH THE RESPONDENT NEITHER ADMITS NOR DENIES THE ALLEGATIONS. IN ACCORDANCE WITH THE AGREEMENT, AMSOUTH AGREED TO PAY A \$20,000 ADMINISTRATIVE FINE AND THE DEPARTMENT AGREED TO APPROVE THE FIRMS PENDING BRANCH OFFICE APPLICATIONS. IN ADDITION, THE DEPARTMENT FURTHER AGREES THAT THE STIPULATION AND CONSENT AGREEMENT BETWEEN THE DEPARTMENT AND AMSOUTH DATED 11/21/94 SHALL BE TERMINATED AND RELEASED.
Regulator Statement	CONTACT: PLEASE CONTACT NANCY WOOD (904) 488-9805.
Reporting Source:	Firm
Current Status:	Final
Allegations:	THE DEPARTMENT FOUND THAT AMSOUTH INVESTMENT SERVICES, INC. FAILED TO NOTIFY THE DEPARTMENT OF ITS COMPLIANCE WITH CERTAIN PROVISIONS OF THE STIPULATION AND CONSENT AGREEMENT DATED



NOVEMBER 21, 1994.

Initiated By: FL DIVISION OF SEC. AND INVESTOR PROTECTION

Date Initiated: 11/21/1994

Docket/Case Number: 2458- S-2/97

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: CIVIL AND ADMINISTRATIVE PENALTY(IES)/FINE(S)

Resolution: Stipulation and Consent

Resolution Date: 03/21/1997

Sanctions Ordered: Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: ADMINISTRATIVE FINE OF \$20,000.00 PAID ON 03/12/1997

Firm Statement AMSOUTH INVESTMENT SERVICES, INC. NEITHER ADMITS NOR DENIES THE ALLEGATIONS, BUT CONSENTS TO PAYING THE FINE OF \$20,000.00. THE DEPARTMENT AGREES THAT THE STIPULATION AND CONSENT AGREEMENT BETWEEN THE DEPARTMENT AND AMSOUTH DATED 11/21/1994 SHALL BE TERMINATED AND RELEASED.

Disclosure 4 of 7

Reporting Source: Regulator

Current Status: Final

Allegations: AMSOUTH INVESTMENT SERVICES, SHEILA P. SMITH AND WALTER YOST HOOPER, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS ENTERED INTO A CONSENT ORDER WITH THE ALABAMA SECURITIES COMMISSION. THE CONSENT ORDER FOUND THAT AMSOUTH FAILED TO DILIGENTLY SUPERVISE ITS AGENTS, FILED A MISLEADING AMENDED APPLICATION AND EMPLOYED AN UNREGISTERED AGENT. THE CONSENT ORDER FURTHER FOUND THAT SMITH AND HOOPER COMMITTED VIOLATIONS OF THE ALABAMA ADMINISTRATIVE CODE BY RECOMMENDING AND SELLING SECURITIES TO THEIR CLIENTS WITHOUT A REASONABLE



BASIS TO DETERMINE THE SUITABILITY OF THE SECURITIES HOOPER WAS FINED \$15,000.00 AND SMITH \$10,000.00. AMSOUTH RECEIVED A FINE OF \$50,000.00 AND WAS DIRECTED TO PAY \$25,000.00 FOR REIMBURSEMENT OF INVESTIGATIVE COSTS.

Initiated By: AL

Date Initiated: 01/22/1998

Docket/Case Number: CO-95-0079

URL for Regulatory Action:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 01/22/1998

Sanctions Ordered: Monetary/Fine \$50,000.00

Other Sanctions Ordered:

Sanction Details: SEE ALLEGATIONS.

Regulator Statement SEE ALLEGATIONS. CONTACT: CHRISTOPHER P. YOUNG, (334) 242-2984

Reporting Source: Firm

Current Status: Final

Allegations: ALLEGATIONS OF FAILURE TO SUPERVISE, FILING A MISLEADING REGULATORY REPORT AND IMPROPER SALES REFERRAL PROGRAM.

Initiated By: ALABAMA SECURITIES COMMISSION

Date Initiated: 10/10/1995

Docket/Case Number: CO-95-0079

Principal Product Type: No Product

Other Product Type(s):


Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought: CIVIL AND ADMINISTRATIVE PENALTY(IES)/FINE(S)

Resolution: Consent

Resolution Date: 01/22/1998

Sanctions Ordered: Monetary/Fine \$50,000.00

Other Sanctions Ordered:

Sanction Details: AMSOUTH INVESTMENT SERVICES, INC. PAID \$90,000.00 TO THE ALABAMA SECURITIES COMMISSION AS FOLLOWS: FINE \$50,000.00 INVESTIGATIVE COSTS \$25,000.00- WALTER YOST HOOPER FINE \$15,000.00- SHEILA P. SMITH WAS FINED \$10,000.00 BUT WAS WAIVED AS LONG AS MS. SMITH IS NO LONGER IN THE INDUSTRY. CHECKS WERE PAID ON 01/08/1998.

Firm Statement ORIGINALLY WAS SHOW CAUSE ORDER DATED 10/10/95-RESULTS AS FOLLOWS:
WITHOUT ADMITTING OR DENYING THE CONCLUSION OF LAW, AMSOUTH INVESTMENT SERVICES, INC. AGREED AND CONSENTED TO THE CONSENT ORDER FOR BUSINESS REASONS.

Disclosure 5 of 7

Reporting Source: Regulator

Current Status: Final

Allegations: ARTICLE III, SECTIONS 1, 2, 21, 25, 26, 27, 35 AND 50 OF THE RULES OF FAIR PRACTICE

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 07/18/1996

Docket/Case Number: C05960044

Principal Product Type: Mutual Fund(s)

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)



Resolution Date:	07/18/1996
Sanctions Ordered:	Censure Monetary/Fine \$150,000.00
Other Sanctions Ordered:	MUST SUBMIT A REVISED SUPERVISION AND COMPLIANCE MANUAL SATISFACTORY TO THE NASD WHICH INCLUDES A CLEARLY DEFINED ORGANIZATIONAL STRUCTURE WHICH INDICATES THE VARIOUS AREAS OF SUPERVISORY RESPONSIBILITY AND THE INDIVIDUAL CHARGED WITH THAT RESPONSIBILITY, AND WHICH HAS BEEN REVIEWED BY AN INDEPENDENT PARTY WITHIN 90 DAYS OF THE FINAL ACCEPTANCE OF THIS AWC, AND WITHIN SIX MONTHS OF THE FINAL ACCEPTANCE OF THIS AWC, A COMPLIANCE AUDIT MUST BE PERFORMED BY AN INDEPENDENT PARTY, IN A MANNER SATISFACTORY TO NASD. AN ENGAGEMENT LETTER SHALL BE PROVIDED TO NASD WITHIN 30 DAYS AND A WRITTEN REPORT SUBMITTED TO NASD WITHIN 30 DAYS OF THE COMPLETION OF THE AUDIT.***\$
Sanction Details:	\$150,000.00 PAID ON 08/02/96, INVOICE #96-05-565***
Regulator Statement	[TOP] ON 07/18/1996, DISTRICT NO. 5 NOTIFIED RESPONDENT AMSOUTH INVESTMENTS SERVICES, INC. THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05960044 WAS ACCEPTED; THEREFORE, THE FIRM IS CENSURED, FINED \$150,000, MUST SUBMIT A REVISED SUPERVISION AND COMPLIANCE MANUAL SATISFACTORY TO THE NASD WHICH INCLUDES A CLEARLY DEFINED ORGANIZATIONAL STRUCTURE WHICH INDICATES THE VARIOUS AREAS OF SUPERVISORY RESPONSIBILITY AND THE INDIVIDUAL CHARGED WITH THAT RESPONSIBILITY, AND WHICH HAS BEEN REVIEWED BY AN INDEPENDENT PARTY WITHIN 90 DAYS OF THE FINAL ACCEPTANCE OF THIS AWC, AND WITHIN SIX MONTHS OF THE FINAL ACCEPTANCE OF THIS AWC, A COMPLIANCE AUDIT MUST BE PERFORMED BY AN INDEPENDENT PARTY, IN A MANNER SATISFACTORY TO NASD. AN ENGAGEMENT LETTER SHALL BE PROVIDED TO NASD WITHIN 30 DAYS AND A WRITTEN REPORT SUBMITTED TO NASD WITHIN 30 DAYS OF THE COMPLETION OF THE AUDIT ? (ARTICLE III, SECTIONS 1, 2, 21, 25, 26, 27, 35 AND 50 OF THE RULES OF FAIR PRACTICE ? AMONG THE NUMEROUS WRONGS IN CONNECTION WITH AMSOUTH'S OFFER AND SALE OF MUTUAL FUNDS ARE THAT AMSOUTH FAILED AND NEGLECTED TO DOCUMENT ITS PERFORMANCE OF DUE DILIGENCE ON THE RISKS ASSOCIATED WITH THE FUNDS; MADE OR CAUSED TO BE MADE MISLEADING WRITTEN STATEMENTS ABOUT A FUND; FAILED AND NEGLECTED TO RETAIN DOCUMENTATION EVIDENCING THE DISCLOSURE OF CONTINGENT DEFERRED SALES CHARGES ON CUSTOMER CONFIRMATIONS; FAILED AND NEGLECTED TO ENFORCE ITS WRITTEN SUPERVISORY PROCEDURES IN THAT NO WRITTEN REPORT EVIDENCING ITS ANNUAL REVIEW OF ITS BRANCH OFFICES WAS SUBMITTED TO THE FIRM'S BOARD



OF DIRECTORS; FAILED AND NEGLECTED TO REPORT TO THE NASD STATISTICAL AND SUMMARY INFORMATION REGARDING CUSTOMER COMPLAINTS; AND, MAINTAINED AN ARRANGEMENT WITH ITS AFFILIATE BANK, WHEREBY COMPENSATION WAS PAID TO UNREGISTERED EMPLOYEES OF ITS AFFILIATE BANK IN CONNECTION WITH THE REFERRAL OF BANK CUSTOMERS TO THE FIRM).***\$150,000.00 PAID ON 08/02/96, INVOICE #96-05-565***

Reporting Source: Firm

Current Status: Final

Allegations: ALLEGED VIOLATIONS OF THE NASD RULES OF FAIR PRACTICE - ARTICLE III SECTIONS 1,2,21,25,26,27,35 AND 50.

Initiated By: NASD INC DISTRICT 5

Date Initiated: 07/18/1996

Docket/Case Number: C 05960044

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: CIVIL AND ADMINISTRATIVE PENALTY(IES)/FINE(S)

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/18/1996

Sanctions Ordered: Censure
Monetary/Fine \$150,000.00

Other Sanctions Ordered: WITHIN 90 DAYS OF ACCEPTANCE OF AWC- AMSOUTH INVESTMENT SERVICES, INC MUST SUBMIT A REVISED SUPERVISION AND COMPLIANCE MANUAL SATISFACTORY TO THE ASSOCIATION, WHICH INCLUDES CLEARLY DEFINED ORGANIZATIONAL STRUCTURE, REVIEWED BY AN INDEPENDENT PARTY MUST AUDIT AMSOUTH AND PROVIDE A WRITTEN REPORT TO NASD.

Sanction Details: AMSOUTH INVESTMENT SERVICES, INC WAS FINED \$150,000.00 AND PAID ON 08/02/1996 ALL OF THE OTHER SANCTIONS WERE COMPLETED AND DONE WITHIN THE TIME PARAMETERS AND ACCEPTED BY THE ASSOCIATION.

Firm Statement LETTER OF ACCEPTANCE, WAIVER AND CONSENT AGREED TO, PLUS



\$150,000.00 FINE.

Disclosure 6 of 7

Reporting Source:	Regulator
Current Status:	Final
Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	10/19/1995
Docket/Case Number:	CO5950055
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/19/1995
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	<p>ON OCTOBER 19, 1995 THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05950055 (DISTRICT NO. 5) SUBMITTED BY AMSOUTH INVESTMENT SERVICES, INC, LINCOLN B. YERSIN, GREGORY J. MILES, AND KRIKOR NACCAHIAN WAS ACCEPTED: THEREFORE, RESPONDENT MEMBER</p> <p>IS CENSURED AND FINED \$7,500; RESPONDENTS YERSIN, MILES AND NACCAHIAN ARE EACH CENSURED AND FINED \$5,000 - (ARTICLE III, SECTIONS 1, 21 AND 27 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT MILES, IN CONTRAVENTION OF SEC RULE 17a-3, FAILED AND NEGLECTED TO PREPARE ACCURATE BOOKS AND RECORDS IN THAT CUSTOMER DEBITS AND</p> <p>CREDITS, AND THE BALANCE IN THE FIRM'S CUSTOMER CLEARING ACCOUNT WERE NOT RECORDED ON THE FIRM'S GENERAL LEDGER</p>



RESULTING IN AN NACCURATE TRIAL BALANCE SHEET, BALANCE SHEET,
NET CAPITAL COMPUTATION, AND ACCOUNT RECONCILIATIONS;
CONTRAVENED SEC RULES 17a-3 AND 17a-4, FAILED AND NEGLECTED TO
PREPARE AND MAINTAIN A SECURITIES POSITION BLOTTER, A CASH
RECEIVED AND DISBURSEMENT BLOTTER AND A QUARTERLY BOX COUNT
ON
THE SECURITIES HELD BY THE PARENT BANK IN THE FIRM'S
SAFEKEEPING ACCOUNT; FAILED AND NEGLECTED TO PREPARE
ACCURATE
RESERVE FORMULA COMPUTATIONS; FAILED AND NEGLECTED TO
PREPARE
AND MAINTAIN A WEEKLY RESERVE FORMULA COMPUTATION; FAILED AND
NEGLECTED TO FILE ACCURATE FOCUS PART I AND PART II REPORTS;
RESPONDENT MEMBER, ACTING THROUGH RESPONDENT YERSIN, FAILED
AND
NEGLECTED TO ESTABLISH, MAINTAIN AND ENFORCE PROPER
SUPERVISORY
PROCEDURES REGARDING THE PREPARATION AND MAINTENANCE OF
THE
FIRM'S BOOKS AND RECORDS; RESPONDENT MEMBER, ACTING THROUGH
RESPONDENT NACCACHIAN, FAILED AND NEGLECTED TO CONDUCT AN
ANNUAL COMPLIANCE MEETING FOR REGISTERED REPRESENTATIVES
EMPLOYED BY THE FIRM.)

****\$7,500.00 PAID ON 10/30/95, INVOICE #95-05-699****



Reporting Source:	Firm
Current Status:	Final
Allegations:	ALLEGATIONS THAT AMSOUTH INVESTMENT SERVICES,INC. FAILED TO MAINTAIN PROPER BOOKS AND RECORDS, FAILED TO CONDUCT ANNUAL COMPLIANCE MEETING FOR ALL LICENSED INDIVIDUALS.
Initiated By:	NASD INC DISTRICT 5
Date Initiated:	10/19/1995
Docket/Case Number:	C-05950055
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure



Other Sanction(s)/Relief Sought:	CIVIL AND ADMINISTRATIVE PENALTY(IES)/FINE(S)
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/19/1995
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	AMSOUTH INVESTMENT SERVICES, INC. WAS CENSURED AND FINED \$7,500.00. THE FINE \$7,500.00 WAS PAID ON 10/30/1995.
Firm Statement	THE BOOKS AND RECORDS VIOLATION CONSISTED OF THE FAILURE TO BALANCE OUT CUSTOMER ACCOUNTS FOR A FOUR MONTH PERIOD AND FAILURE TO MAINTAIN SUBLEDGERS ADEQUATELY. NONE OF THESE VIOLATIONS RESULTED IN A NET CAPITAL DEFICIENCY OR ANY HARM TO CUSTOMERS. ALL BOOKS AND RECORDS DEFICIENCIES HAVE BEEN CURED.

Disclosure 7 of 7

Reporting Source:	Regulator
Current Status:	Final
Allegations:	AMSOUTH INVESTMENT SERVICES, INC. DID NOT COMPLY WITH CERTAIN REQUIREMENTS SET FORTH IN THE STIPULATION AND CONSENT AGREEMENT BETWEEN THE DEPARTMENT AND AMSOUTH, EXECUTED ON 11/21/94.
Initiated By:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECTION
Date Initiated:	08/15/1994
Docket/Case Number:	26985D
URL for Regulatory Action:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent



Resolution Date:	11/21/1994
Sanctions Ordered:	Monetary/Fine \$24,000.00 Disgorgement/Restitution
Other Sanctions Ordered:	
Sanction Details:	ON 3/21/97, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED A FINAL ORDER ENTERING INTO A STIPULATION AND CONSENT AGREEMENT REGARDING THE RESPONDENT AMSOUTH INVESTMENT SERVICES, INC. THE FINAL ORDER INCORPORATES THE STIPULATION AND CONSENT AGREEMENT, DATED 3/17/97, IN WHICH THE RESPONDENT NEITHER ADMITS NOR DENIES THE ALLEGATIONS. IN ACCORDANCE WITH THE AGREEMENT, AMSOUTH AGREED TO PAY A \$20,000 ADMINISTRATIVE FINE AND THE DEPARTMENT AGREED TO APPROVE THE FIRMS PENDING BRANCH OFFICE APPLICATIONS. IN ADDITION, THE DEPARTMENT FURTHER AGREES THAT THE STIPULATION AND CONSENT AGREEMENT BETWEEN THE DEPARTMENT AND AMSOUTH DATED 11/21/94 SHALL BE TERMINATED AND RELEASED.
Regulator Statement	CONTACT: PLEASE CONTACT NANCY WOOD (904) 488-9805.

Reporting Source:	Firm
Current Status:	Final
Allegations:	AMSOUTH INVESTMENT SERVICES, INC HAD NOT PROPERLY LICENSED ALL FLORIDA BRANCH OFFICE LOCATIONS WITH THE FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECTION.
Initiated By:	FL DIVISION OF SECURITIES AND INVESTOR PROTECTION
Date Initiated:	08/15/1994
Docket/Case Number:	1961-S-11/93
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Disgorgement
Other Sanction(s)/Relief Sought:	CIVIL AND ADMINISTRATIVE PENALTY(IES)/FINE(S)



Resolution:	Stipulation and Consent
Resolution Date:	11/21/1994
Sanctions Ordered:	Monetary/Fine \$24,000.00 Disgorgement/Restitution
Other Sanctions Ordered:	DISGORGE COMMISSIONS EARNED OF \$12,000.00. SUBMIT A WRITTEN REPORT TO THE DEPARTMENT THAT DEMONSTRATES SATISFACTORY CONTROL AND SUPERVISORY PROCEDURES. HAVE NO MORE THAN 138 TOTAL BRANCH OFFICES REGISTERED IN FLORIDA. MAINTAIN CRITERIA SET FORTH IN AGREEMENT FOR THE NUMBER ASSOCIATED PERSONS IN FLORIDA, UNDER DUAL EMPLOYMENT, SUPERVISOR/ASSOCIATED PERSON RATIO AND 4 OSJ IN FLORIDA
Sanction Details:	AMSOUTH INVESTMENT SERVICES, INC. PAID \$36,000.00 TO THE FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECTION.
Firm Statement	ALTHOUGH ALL BRANCHES IN QUESTION WERE REGISTERED WITH THE NASD, CURRENT MANAGEMENT OF AMSOUTH INVESTMENT SERVICES, INC. WAS NOT AWARE OFFICES WERE NOT REGISTERED WITH THE STATE OF FLORIDA. AMSOUTH INVESTMENT SERVICES, INC. CEASED ALL OPERATIONS FROM THOSE BRANCHES PENDING FINAL APPROVAL ON 11/21/1994.



Regulatory - Pending

This type of disclosure event may include a pending formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory agency such as the Securities and Exchange Commission, foreign financial regulatory body) for alleged violations of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Pending
Allegations:	THE ALABAMA SECURITIES COMMISSION ISSUED AN ORDER TO SHOW CAUSE WHY THE REGISTRATIONS OF AMSOUTH INVESTMENT SERVICES AND ITS FORMER AGENT, WALTER Y. HOOPER, SHOULD NOT SUSPENDED OR REVOKED IN THE STATE OF ALABAMA. THE ORDER WAS ISSUED BASED ON ALLEGATIONS, FROM ALABAMA RESIDENTS, THAT HOOPER HAD ENGAGED IN DISHONEST OR UNETHICAL BUSINESS PRACTICES AS THEIR ACCOUNT REPRESENTATIVE. THE COMMISSION'S ORDER ALLEGES THAT AMSOUTH FAILED TO SUPERVISE THE ACTIVITIES OF HOOPER DURING THE TIME OF THE ALLEGED ACTIVITY.
Initiated By:	AL
Date Initiated:	10/10/1995
Docket/Case Number:	SC-95-0079
URL for Regulatory Action:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	ORDER TO SHOW CAUSE WAS ISSUED BY ALABAMA SECURITIES COMMISSION ON 10/10/95
Regulator Statement	SAME AS ALLEGATIONS CONTACT: ALABAMA SECURITIES COMMISSION (334)242-2984

Disclosure Events for Non-Registered Control Affiliates



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	1	0
Criminal	0	1	0



Disclosure Event Details

Regulatory - Final

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	AMSOUTH BANCORPORATION
Current Status:	Final
Allegations:	<p>ON OCTOBER 12, 2004, AMSOUTH ENTERED INTO A CEASE AND DESIST ORDER WITH THE FEDERAL RESERVE AND THE ALABAMA DEPARTMENT OF BANKING, AND AN ORDER WITH FINCEN RELATING TO DEFICIENCIES IN AMSOUTH'S COMPLIANCE WITH THE BANK SECRECY ACT. IN CONNECTION WITH THE FEDERAL RESERVE AND FINCEN ORDERS, AMSOUTH HAS BEEN ASSESSED A CIVIL MONEY PENALTY IN THE AMOUNT OF \$10 MILLION. WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL RESERVE HAS INDICATED IT WILL RESTRICT THE COMPANY'S EXPANSION ACTIVITIES UNTIL SUCH TIME AS IT BELIEVES THE COMPANY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER. IN CONNECTION WITH THESE ORDERS, AMSOUTH HAS AGREED TO TAKE ADDITIONAL ACTIONS TO ENSURE COMPLIANCE WITH THE BANK SECRECY ACT, INCLUDING INDEPENDENT THIRD-PARTY REVIEWS OF ITS ACTIVITIES, ENHANCED TRAINING OF PERSONNEL, SUBMISSION OF WRITTEN PLANS, AND ADOPTION OF APPROVED POLICIES AND PROCEDURES.</p>
Initiated By:	FEDERAL RESERVE, THE ALABAMA DEPARTMENT OF BANKING, FINCEN
Date Initiated:	10/12/2004
Docket/Case Number:	04-021-B-HC&SM:04-021-CMP-HC&SM
Principal Product Type:	Other
Other Product Type(s):	DEFICIENCIES IN AMSOUTH'S COMPLIANCE WITH THE BANK SECRECY ACT
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	10/12/2004
Sanctions Ordered:	<p>Monetary/Fine \$10,000,000.00</p> <p>Cease and Desist/Injunction</p>



Other Sanctions Ordered: WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL RESERVE HAS INDICATED IT WILL RESTRICT THE COMPANY'S EXPANSION ACTIVITIES UNTIL SUCH TIME AS IT BELIEVES THE COMPANY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER. IN CONNECTION WITH THESE ORDERS, AMSOUTH HAS AGREED TO TAKE ADDITIONAL ACTIONS TO ENSURE COMPLIANCE WITH THE BANK SECRECY ACT, INCLUDING INDEPENDENT THIRD-PARTY REVIEWS OF ITS ACTIVITIES, ENHANCED TRAINING OF PERSONNEL, SUBMISSION OF WRITTEN PLANS, AND ADOPTION OF APPROVED POLICIES AND PROCEDURES.

Sanction Details: WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL RESERVE HAS INDICATED IT WILL RESTRICT THE COMPANY'S EXPANSION ACTIVITIES UNTIL SUCH TIME AS IT BELIEVES THE COMPANY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER. IN CONNECTION WITH THESE ORDERS, AMSOUTH HAS AGREED TO TAKE ADDITIONAL ACTIONS TO ENSURE COMPLIANCE WITH THE BANK SECRECY ACT, INCLUDING INDEPENDENT THIRD-PARTY REVIEWS OF ITS ACTIVITIES, ENHANCED TRAINING OF PERSONNEL, SUBMISSION OF WRITTEN PLANS, AND ADOPTION OF APPROVED POLICIES AND PROCEDURES.

Firm Statement ON OCTOBER 12, 2004, AMSOUTH ENTERED INTO A CEASE AND DESIST ORDER WITH THE FEDERAL RESERVE AND THE ALABAMA DEPARTMENT OF BANKING, AND AN ORDER WITH FINCEN RELATING TO DEFICIENCIES IN AMSOUTH'S COMPLIANCE WITH THE BANK SECRECY ACT. IN CONNECTION WITH THE FEDERAL RESERVE AND FINCEN ORDERS, AMSOUTH HAS BEEN ASSESSED A CIVIL MONEY PENALTY IN THE AMOUNT OF \$10 MILLION. WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL RESERVE HAS INDICATED IT WILL RESTRICT THE COMPANY'S EXPANSION ACTIVITIES UNTIL SUCH TIME AS IT BELIEVES THE COMPANY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER. IN CONNECTION WITH THESE ORDERS, AMSOUTH HAS AGREED TO TAKE ADDITIONAL ACTIONS TO ENSURE COMPLIANCE WITH THE BANK SECRECY ACT, INCLUDING INDEPENDENT THIRD-PARTY REVIEWS OF ITS ACTIVITIES, ENHANCED TRAINING OF PERSONNEL, SUBMISSION OF WRITTEN PLANS, AND ADOPTION OF APPROVED POLICIES AND PROCEDURES.

Reporting Source: Firm

Affiliate: AMSOUTH BANK

Current Status: Final

Allegations: ON OCTOBER 12, 2004, AMSOUTH ENTERED INTO A CEASE AND DESIST



ORDER WITH THE FEDERAL RESERVE AND THE ALABAMA DEPARTMENT OF BANKING, AND AN ORDER WITH FINCEN RELATING TO DEFICIENCIES IN AMSOUTH'S COMPLIANCE WITH THE BANK SECRECY ACT. IN CONNECTION WITH THE FEDERAL RESERVE AND FINCEN ORDERS, AMSOUTH HAS BEEN ASSESSED A CIVIL MONEY PENALTY IN THE AMOUNT OF \$10 MILLION. WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL RESERVE HAS INDICATED IT WILL RESTRICT THE COMPANY'S EXPANSION ACTIVITIES UNTIL SUCH TIME AS IT BELIEVES THE COMPANY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER. IN CONNECTION WITH THESE ORDERS, AMSOUTH HAS AGREED TO TAKE ADDITIONAL ACTIONS TO ENSURE COMPLIANCE WITH THE BANK SECRECY ACT, INCLUDING INDEPENDENT THIRD-PARTY REVIEWS OF ITS ACTIVITIES, ENHANCED TRAINING OF PERSONNEL, SUBMISSION OF WRITTEN PLANS, AND ADOPTION OF APPROVED POLICIES AND PROCEDURES.

Initiated By: FEDERAL RESERVE, THE ALABAMA DEPARTMENT OF BANKING, FINCEN

Date Initiated: 10/12/2004

Docket/Case Number: 04-021-B-HC&SM:04-021-CMP-HC&SM

Principal Product Type: Other

Other Product Type(s): DEFICIENCIES IN AMSOUTH'S COMPLIANCE WITH THE BANK SECRECY ACT

Principal Sanction(s)/Relief Sought: Cease and Desist

Other Sanction(s)/Relief Sought:

Resolution: Other

Resolution Date: 10/12/2004

Sanctions Ordered: Monetary/Fine \$10,000,000.00
Cease and Desist/Injunction

Other Sanctions Ordered: WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL RESERVE HAS INDICATED IT WILL RESTRICT THE COMPANY'S EXPANSION ACTIVITIES UNTIL SUCH TIME AS IT BELIEVES THE COMPANY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER. IN CONNECTION WITH THESE ORDERS, AMSOUTH HAS AGREED TO TAKE ADDITIONAL ACTIONS TO ENSURE COMPLIANCE WITH THE BANK SECRECY ACT, INCLUDING INDEPENDENT THIRD-PARTY REVIEWS OF ITS ACTIVITIES, ENHANCED TRAINING OF PERSONNEL, SUBMISSION OF WRITTEN PLANS, AND ADOPTION OF APPROVED POLICIES AND PROCEDURES.

Sanction Details: WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL



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Firm Statement

ON OCTOBER 12, 2004, AMSOUTH ENTERED INTO A CEASE AND DESIST ORDER WITH THE FEDERAL RESERVE AND THE ALABAMA DEPARTMENT OF BANKING, AND AN ORDER WITH FINCEN RELATING TO DEFICIENCIES IN AMSOUTH'S COMPLIANCE WITH THE BANK SECRECY ACT. IN CONNECTION WITH THE FEDERAL RESERVE AND FINCEN ORDERS, AMSOUTH HAS BEEN ASSESSED A CIVIL MONEY PENALTY IN THE AMOUNT OF \$10 MILLION. WITH RESPECT TO THE CEASE AND DESIST ORDER, THE FEDERAL RESERVE HAS INDICATED IT WILL RESTRICT THE COMPANY'S EXPANSION ACTIVITIES UNTIL SUCH TIME AS IT BELIEVES THE COMPANY IS IN SUBSTANTIAL COMPLIANCE WITH THE REQUIREMENTS OF THE ORDER. IN CONNECTION WITH THESE ORDERS, AMSOUTH HAS AGREED TO TAKE ADDITIONAL ACTIONS TO ENSURE COMPLIANCE WITH THE BANK SECRECY ACT, INCLUDING INDEPENDENT THIRD-PARTY REVIEWS OF ITS ACTIVITIES, ENHANCED TRAINING OF PERSONNEL, SUBMISSION OF WRITTEN PLANS, AND ADOPTION OF APPROVED POLICIES AND PROCEDURES.



Criminal - Final Disposition

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	AMSOUTH BANK
Current Status:	Final
Status Date:	10/12/2004
Charge Details:	<p>ON OCT 12, 2004 AMSOUTH BANCORPORATION AND AMSOUTH BANK ENTERED INTO A DEFERRED PROSECUTION AGREEMENT WITH THE U.S. ATTORNEY FOR THE SOUTHERN DISTRICT OF MISSISSIPPI RELATING TO DEFICIENCIES IN THE BANK'S REPORTING OF SUSPICIOUS ACTIVITIES UNDER THE BANK SECRECY ACT THAT PROVIDES FOR THE FILING OF A ONE COUNT INFORMATION CHARGE IN A FAILURE TO FILE SUSPICIOUS ACTIVITY REPORTS AND THE STAYING OF THAT ACTION. THE MATTER INITIALLY AROSE OUT OF A FRAUDULENT NOTE SCHEME COMMITTED BY TWO BANK CUSTOMERS, LOUIS HAMRIC AND VICTOR NANCE, BEGINNING IN 2000, BUT WAS SUBSEQUENTLY EXPANDED TO INCLUDE CERTAIN OTHER SPECIFIC MATTERS, INCLUDING AMSOUTH'S GENERAL POLICIES AND PROCEDURES FOR BANK SECRECY ACT COMPLIANCE. UNDER THE AGREEMENT, AMSOUTH HAS AGREED TO MAKE A PAYMENT OF \$40 MILLION TO THE UNITED STATES. PROVIDED AMSOUTH COMPLIES WITH ITS OBLIGATIONS UNDER THE DEFERRED PROSECUTION AGREEMENT FOR A PERIOD OF 12 MONTHS, THE U.S. ATTORNEY HAS AGREED TO DISMISS THE INFORMATION AND NOT TO TAKE FURTHER</p>
Felony:	Yes
Court Details:	US DISTRICT COURT, DISTRICT OF MISSISSIPPI (JACKSON, MS), DOCKET #3:04CR67LSA
Charge Date:	10/12/2004
Disposition Details:	<p>ON OCT 12, 2004 AMSOUTH BANCORPORATION AND AMSOUTH BANK ENTERED INTO A DEFERRED PROSECUTION AGREEMENT WITH THE U.S. ATTORNEY FOR THE SOUTHERN DISTRICT OF MISSISSIPPI RELATING TO DEFICIENCIES IN THE BANK'S REPORTING OF SUSPICIOUS ACTIVITIES UNDER THE BANK SECRECY ACT THAT PROVIDES FOR THE FILING OF A ONE COUNT INFORMATION CHARGE IN A FAILURE TO FILE SUSPICIOUS ACTIVITY REPORTS AND THE STAYING OF THAT ACTION. BEGINNING IN 2000, BUT WAS SUBSEQUENTLY EXPANDED TO INCLUDE CERTAIN OTHER SPECIFIC MATTERS, INCLUDING AMSOUTH'S GENERAL POLICIES AND PROCEDURES FOR BANK SECRECY ACT COMPLIANCE. UNDER THE AGREEMENT, AMSOUTH HAS AGREED TO MAKE A PAYMENT OF \$40 MILLION TO THE UNITED STATES. PROVIDED AMSOUTH COMPLIES WITH</p>



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Firm Statement

ON OCT 12, 2004 AMSOUTH BANCORPORATION AND AMSOUTH BANK ENTERED INTO A DEFERRED PROSECUTION AGREEMENT WITH THE U.S. ATTORNEY FOR THE SOUTHERN DISTRICT OF MISSISSIPPI RELATING TO DEFICIENCIES IN THE BANK'S REPORTING OF SUSPICIOUS ACTIVITIES UNDER THE BANK SECRECY ACT THAT PROVIDES FOR THE FILING OF A ONE COUNT INFORMATION CHARGE IN A FAILURE TO FILE SUSPICIOUS ACTIVITY REPORTS AND THE STAYING OF THAT ACTION. THE MATTER INITIALLY AROSE OUT OF A FRAUDULENT NOTE SCHEME COMMITTED BY TWO BANK CUSTOMERS, LOUIS HAMRIC AND VICTOR NANCE, BEGINNING IN 2000, BUT WAS SUBSEQUENTLY EXPANDED TO INCLUDE CERTAIN OTHER SPECIFIC MATTERS, INCLUDING AMSOUTH'S GENERAL POLICIES AND PROCEDURES FOR BANK SECRECY ACT COMPLIANCE. UNDER THE AGREEMENT, AMSOUTH HAS AGREED TO MAKE A PAYMENT OF \$40 MILLION TO THE UNITED STATES. PROVIDED AMSOUTH COMPLIES WITH ITS OBLIGATIONS UNDER THE DEFERRED PROSECUTION AGREEMENT FOR A PERIOD OF 12 MONTHS, THE U.S. ATTORNEY HAS AGREED TO DISMISS THE INFORMATION AND NOT TO TAKE FURTHER ACTION AGAINST THE COMPANY IN CONNECTION WITH THIS MATTER.

Reporting Source:

Firm

Affiliate:

AMSOUTH BANCORPORATION

Current Status:

Final

Status Date:

10/12/2004

Charge Details:

ON OCT 12, 2004 AMSOUTH BANCORPORATION AND AMSOUTH BANK ENTERED INTO A DEFERRED PROSECUTION AGREEMENT WITH THE U.S. ATTORNEY FOR THE SOUTHERN DISTRICT OF MISSISSIPPI RELATING TO DEFICIENCIES IN THE BANK'S REPORTING OF SUSPICIOUS ACTIVITIES UNDER THE BANK SECRECY ACT THAT PROVIDES FOR THE FILING OF A ONE COUNT INFORMATION CHARGE IN A FAILURE TO FILE SUSPICIOUS ACTIVITY REPORTS AND THE STAYING OF THAT ACTION. THE MATTER INITIALLY AROSE OUT OF A FRAUDULENT NOTE SCHEME COMMITTED BY TWO BANK CUSTOMERS, LOUIS HAMRIC AND VICTOR NANCE, BEGINNING IN 2000, BUT WAS SUBSEQUENTLY EXPANDED TO INCLUDE CERTAIN OTHER SPECIFIC MATTERS, INCLUDING AMSOUTH'S GENERAL POLICIES AND PROCEDURES FOR BANK SECRECY ACT COMPLIANCE. UNDER THE AGREEMENT, AMSOUTH HAS AGREED TO MAKE A PAYMENT OF \$40 MILLION TO THE UNITED STATES. PROVIDED AMSOUTH COMPLIES WITH ITS OBLIGATIONS UNDER THE DEFERRED PROSECUTION AGREEMENT



FOR A PERIOD OF 12 MONTHS, THE U.S. ATTORNEY HAS AGREED TO DISMISS THE INFORMATION AND NOT TO TAKE FURTH

Felony:	Yes
Court Details:	US DISTRICT COURT, DISTRICT OF MISSISSIPPI (JACKSON, MS), DOCKET #3:04CR67LSA
Charge Date:	10/12/2004
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End of Report



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