

BrokerCheck Report

RHODES SECURITIES, INC.

CRD# 19610

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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.



RHODES SECURITIES, INC.

CRD# 19610

SEC# 8-37689

Main Office Location

306 WEST 7TH STREET
SUITE 1000
FT WORTH, TX 76102
Regulated by FINRA Dallas Office

Mailing Address

306 WEST 7TH STREET
SUITE 1000
FORT WORTH, TX 76102

Business Telephone Number

(817) 334-0455

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 Texas on 02/18/1987.

Its fiscal year ends in April.

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 firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 45 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 10 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

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	3
Arbitration	1



Firm Profile

This firm is classified as a corporation.

This firm was formed in Texas on 02/18/1987.

Its fiscal year ends in April.

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.

RHODES SECURITIES, INC.

Doing business as RHODES SECURITIES, INC.

CRD# 19610

SEC# 8-37689

Main Office Location

306 WEST 7TH STREET
SUITE 1000
FT WORTH, TX 76102

Regulated by FINRA Dallas Office

Mailing Address

306 WEST 7TH STREET
SUITE 1000
FORT WORTH, TX 76102

Business Telephone Number

(817) 334-0455



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): RHODES, J. GORDON

4763582

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

Position DIRECTOR, CEO, FINOP

Position Start Date 12/2016

Percentage of Ownership 50% but less than 75%

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

Is this a public reporting company? No

Legal Name & CRD# (if any): ZEHNTNER, MARILYN RUTH

2645697

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

Position PRESIDENT, COO, CCO

Position Start Date 02/2017

Percentage of Ownership 25% but less than 50%

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

No information reported.



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 currently registered with the SEC, 1 SRO and 45 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	06/05/1987

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	07/01/1987



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Termination Requested	12/31/2024
Alaska	Termination Requested	12/31/2024
Arizona	Approved	01/06/1993
Arkansas	Approved	04/12/1995
California	Approved	08/30/1991
Colorado	Approved	05/29/1991
Connecticut	Approved	10/01/1998
Delaware	Termination Requested	12/31/2024
District of Columbia	Approved	02/03/2000
Florida	Approved	02/20/1996
Georgia	Approved	01/16/1996
Idaho	Approved	03/24/1999
Illinois	Approved	02/28/1992
Indiana	Approved	03/29/1996
Iowa	Approved	03/25/1992
Kansas	Approved	11/20/1989
Kentucky	Approved	07/03/1991
Louisiana	Approved	03/04/1996
Maine	Approved	03/30/2023
Maryland	Approved	07/14/1998
Massachusetts	Approved	03/14/2000
Michigan	Approved	09/05/1997
Minnesota	Approved	03/01/2000
Mississippi	Approved	09/14/1998
Missouri	Approved	10/31/1996
Montana	Termination Requested	12/31/2024
Nebraska	Approved	02/03/1992
Nevada	Approved	09/18/1997
New Jersey	Approved	03/12/1997
New Mexico	Approved	04/29/1998

U.S. States & Territories	Status	Date Effective
New York	Approved	08/25/1998
North Carolina	Approved	05/31/1994
North Dakota	Approved	04/12/2000
Ohio	Approved	07/13/1998
Oklahoma	Approved	08/22/1991
Oregon	Approved	03/19/1996
Rhode Island	Approved	02/01/2000
South Dakota	Approved	01/22/1997
Tennessee	Approved	04/13/1995
Texas	Approved	04/24/1987
Utah	Approved	07/01/1998
Virginia	Approved	07/08/1998
Washington	Approved	01/12/1996
Wisconsin	Approved	07/13/1998
Wyoming	Termination Requested	12/31/2024



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 10 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 broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Other - FIRM ENGAGES IN INVESTMENT BANKING ACTIVITIES.

Other Types of Business

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

This firm does not engage in other non-securities business.

Non-Securities Business Description:

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:	WELLS FARGO CLEARING SERVICES, LLC
CRD #:	19616
Business Address:	ONE NORTH JEFFERSON AVENUE ST. LOUIS, MO 63103
Effective Date:	11/14/2016
Description:	APPLICANT HAS NEGOTIATED WITH WELLS FARGO CLEARING SERVICES, LLC DBA WELLS FARGO ADVISORS LLC TO ACT AS CLEARING BROKER OR DEALER ON A FULLY DISCLOSED BASIS AND TO MAINTAIN APPLICANT'S CUSTOMER ACCOUNTS, INCLUDING THE UPKEEP AND MAINTENANCE OF THE BOOKS AND RECORDS FOR SUCH CUSTOMER ACCOUNTS.

Firm Operations

Industry Arrangements



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

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE MO1950
ST. LOUIS, MO 63103

Effective Date: 11/14/2016

Description: APPLICANT HAS NEGOTIATED WITH WELLS FARGO CLEARING SERVICES, LLC DBA WELLS FARGO ADVISORS LLC TO ACT AS CLEARING BROKER OR DEALER ON A FULLY DISCLOSED BASIS AND TO MAINTAIN APPLICANT'S CUSTOMER ACCOUNTS, INCLUDING THE UPKEEP AND MAINTENANCE OF THE BOOKS AND RECORDS FOR SUCH CUSTOMER ACCOUNTS.

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

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: 1 NORTH JEFFERSON AVE
MAIL CODE MO1950
ST LOUIS, MO 63103

Effective Date: 11/14/2016

Description: APPLICANT HAS NEGOTIATED WITH WELLS FARGO CLEARING SERVICES, LLC DBA WELLS FARGO ADVISORS LLC TO ACT AS CLEARING BROKER OR DEALER ON A FULLY DISCLOSED BASIS AND TO MAINTAIN APPLICANT'S CUSTOMER ACCOUNTS, INCLUDING THE UPKEEP AND MAINTENANCE OF THE BOOKS AND RECORDS FOR SUCH CUSTOMER ACCOUNTS.

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

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE MO1950
ST. LOUIS, MO 63103

Effective Date: 11/14/2016

Firm Operations



Industry Arrangements (continued)

Description: APPLICANT HAS NEGOTIATED WITH WELLS FARGO CLEARING SERVICES, LLC DBA WELLS FARGO ADVISORS LLC TO ACT AS CLEARING BROKER OR DEALER ON A FULLY DISCLOSED BASIS AND TO MAINTAIN APPLICANT'S CUSTOMER ACCOUNTS, INCLUDING THE UPKEEP AND MAINTENANCE OF THE BOOKS AND RECORDS FOR SUCH CUSTOMER ACCOUNTS.

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.

FRIE FINANCIAL GROUP INC is under common control with the firm.

Business Address:	306 WEST 7TH STREET, SUITE 1000 FORT WORTH, TX 76102
Effective Date:	01/01/2013
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	INSURANCE COMPANY OWNED BY J. GORDON RHODES AS CONTROLLING INTEREST IN THE COMPANY

PREFERRED FINANCIAL SERVICES, INC. is under common control with the firm.

Business Address:	1600 EAST 19TH STREET SUITE 303 EDMOND, OK 73013
Effective Date:	03/01/1990
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	BOTH CORPORATIONS HAVE J. GORDON RHODES AS AN OWNER.

RHODES INVESTMENT ADVISORS, INC. is under common control with the firm.

CRD #:	114245
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Firm Operations



Organization Affiliates (continued)

Business Address:	306 WEST 7TH STREET SUITE 1000 FORT WORTH, TX 76102-4905
Effective Date:	08/03/1992
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	BOTH CORPORATIONS HAVE J. GORDON RHODES AS OWNER CEO.

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	3	0
Arbitration	N/A	1	N/A



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 3

Reporting Source: Firm

Current Status: Final



Allegations:	INVESTIGATION INVOLVING THE USE OF MARGIN IN AN IRA ACCOUNT.
Initiated By:	KANSAS SECURITIES COMMISSIONER
Date Initiated:	12/30/1994
Docket/Case Number:	DOCKET #95E046/CASE #94-2663
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	CUSTOMERS WANTED REIMBURSEMENT OF MARGIN INTEREST AND MANAGEMENT FEES FOR THEIR ACCOUNTS.
Resolution:	Consent
Resolution Date:	05/03/1995
Sanctions Ordered:	Censure Monetary/Fine \$3,250.00 Disgorgement/Restitution
Other Sanctions Ordered:	
Sanction Details:	RHODES SECURITIES, INC. ENTERED INTO A CONSENT ORDER WHEREBY IT WAS CENSURED, FINES \$3,250.00, AND ORDERED TO PAY \$1,710.25 TO THE CUSTOMERS.
Firm Statement	CONTACT JULIE HELMER - 316-337-6280

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	Not Provided
Initiated By:	TEXAS STATE SECURITIES BOARD
Date Initiated:	05/29/1998
Docket/Case Number:	CAF-1276
URL for Regulatory Action:	
Principal Product Type:	
Other Product Type(s):	



Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 05/29/1998

Sanctions Ordered: Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: ON MAY 29, 1998, THE SECURITIES COMMISSIONER ENTERED A DISCIPLINARY ORDER AND UNDERTAKING AGAINST RHODES SECURITIES, INC. RESPONDENT HAS OPERATED MULTIPLE BRANCH OFFICES IN TEXAS WHICH WERE NOT REGISTERED WITH THE SECURITIES COMMISSIONER AS REQUIRED. PURSUANT TO SECTIONS 14.A(6) AND 23-1 OF THE TEXAS SECURITIES ACT AN ORDER OF REPRIMAND, A FINE OF \$2,500.00 AND AN UNDERTAKING IS ISSUED.

Regulator Statement CONTACT: JOYCE MILLER (512) 305-8390

Reporting Source: Firm

Current Status: Final

Allegations: TEXAS CLAIMS THAT RHODES SECURITIES HAD OPERATED MULTIPLE BRANCH OFFICES IN THE STATE WHICH WERE NOT REGISTERED WITH THE STATE SECURITIES COMMISSIONER AS REQUIRED.

Initiated By: TEXAS STATE SECURITIES BOARD

Date Initiated: 10/22/1997

Docket/Case Number: DOCKET #98-030 CAF-1276

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Undertaking

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 05/29/1998



Sanctions Ordered:	Monetary/Fine \$2,500.00
Other Sanctions Ordered:	REGISTRATION OF OFF-SITE OFFICES WITH THE STATE OF TEXAS AS BRANCH OFFICES.
Sanction Details:	TEXAS ENTERED A DISCIPLINARY ORDER AND UNDERTAKING AGAINST RHODES SECURITIES WHICH INCLUDED AN ORDER OF REPRIMAND, THE FINE OF \$2500.00, AND THE FORMAL UNDERTAKING. ALL WERE FINALIZED ON 05/29/1998.
Firm Statement	RHODES SECURITIES HAS 16 REGISTERED REPS IN NON-BRANCH, OFF-SITE BUSINESS LOCATIONS IN TEXAS AS DEFINED BY NASD CONDUCT RULE 3010(G). TEXAS CONSIDERS THESE OFF-SITE REPS TO BE BRANCH OFFICES, PURSUANT TO RULE 115.1(A)(5) OF THE TEXAS SECURITIES ACT. APPLICANT DENIES ANY WRONG-DOING BUT AGREES TO REGISTER THE OFFICES AS BRANCH OFFICES WITH TEXAS ONLY. CONTACT JOYCE MILLER - 512-305-8390.

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	RHODES SOLD SECURITIES IN THE STATE OF MISSOURI PRIOR TO REGISTRATION IN THIS STATE.
Initiated By:	MISSOURI SECRETARY OF STATE/SECURITIES DIVISION
Date Initiated:	10/21/1996
Docket/Case Number:	AO-96-10
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:	10/21/1996
Sanctions Ordered:	
Other Sanctions Ordered:	



Sanction Details: STIPULATED CONSENT ORDER, \$5,500 PAYMENT TO INVESTOR EDUCATION FUND.

Regulator Statement CONTACT: MARY HOSMER (573)751-4704.

Reporting Source: Firm

Current Status: Final

Allegations: RHODES SECURITIES SOLD SECURITIES IN THE STATE OF MISSOURI PRIOR TO REGISTRATION IN THAT STATE.

Initiated By: MISSOURI SECRETARY OF STATE - SECURITIES DIVISION

Date Initiated: 10/16/1996

Docket/Case Number: CONSENT ORDER #AO-96-10, ORIGINAL #AO-92

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Denial

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 10/21/1996

Sanctions Ordered: Monetary/Fine \$5,500.00

Other Sanctions Ordered: RHODES SECURITIES AGREED NOT TO SOLICIT LOWER TIER NASDAQ OR NQB SECURITIES IN THE STATE OF MISSOURI FOR A PERIOD OF FIVE YEARS FROM THE DATE OF THIS ORDER.

Sanction Details: RHODES SECURITIES AGREED TO THE EXECUTION OF A CONSENT ORDER. THE COMPANY AGREES TO PAY A \$5500.00 FINE (WITH \$500.00 CREDIT FROM PAYMENT IN NOVEMBER, 1992) TO BE PAID TO THE SECRETARY OF STATE'S INVESTOR EDUCATION FUND.

Firm Statement RHODES SECURITIES PAID THE FINE AND EXECUTED THE CONSENT ORDER. THE STATE OF MISSOURI THEN GRANTED THE FIRM REGISTRATION TO TRANSACT SECURITIES BUSINESS IN THE STATE OF MISSOURI (WITH THE EXCEPTION OF LOWER TIER NASDAQ OR NQB SECURITIES FOR A PERIOD OF FIVE YEARS BEGINNING 10/21/1996. CALL MARY HOSMER - 573-751-4704.



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-OMISSION OF FACTS; ACCOUNT RELATED-FAILURE TO SUPERVISE; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum:	NASD
Case Initiated:	11/20/1992
Case Number:	92-03815
Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; OPTIONS
Sum of All Relief Requested:	\$248,212.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	07/06/1993
Sum of All Relief Awarded:	\$85,000.00

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

End of Report



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