



BrokerCheck Report

HELIX SECURITIES, INC.

CRD# 25862

Report # 553499 generated on Thursday, June 28, 2007.

Dear Investor:

FINRA has generated the following BrokerCheck report for **HELIX SECURITIES, INC.**. The information contained within this report has been provided by a FINRA brokerage firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD®).

FINRA regulates the securities markets for the ultimate benefit and protection of the investor. FINRA believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with a FINRA member. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides include: regulatory actions, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens.

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved or proven. Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

The information in this report is not the only resource you should consult. FINRA recommends that you learn as much as possible about the individual broker or firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have established investment business relationships.

FINRA BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and FINRA rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to www.nasaa.org for a complete list of state securities regulators.

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.](http://www.finra.org)

HELIX SECURITIES, INC.

CRD# 25862

SEC# 8-42090

Main Office Location

57 WEST 200 SOUTH
SUITE 503
SALT LAKE CITY, UT 84101-1610
United States

Mailing Address

57 WEST 200 SOUTH
SUITE 503
SALT LAKE CITY, UT 84101-1610
United States

Report Summary for this Firm

This firm is no longer registered with FINRA. The firm's registration with FINRA was terminated (e.g., voluntarily withdrawn, cancelled, liquidated, expelled) prior to August 1999 when the enhanced Central Registration Depository System (i.e. Web CRD®) was implemented. As a result, since the firm was not required to update its CRD record via the submission of an electronic Form BD filing to Web CRD, FINRA's BrokerCheck program contains only limited information about this firm.

Firm Profile

This firm is classified as CORPORATION.

This firm was formed in Utah on 5/5/1989.

Its fiscal year ends in December.

Firm Operations

This firm is no longer registered with FINRA.

Disclosure of Arbitration Awards, Disciplinary and Regulatory Events

This section includes details regarding disclosure events reported by or about this firm to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events range from disciplinary actions initiated by regulators to certain criminal charges and/or convictions, to financial disclosures such as bankruptcies, and summary information regarding arbitration awards involving securities and commodities disputes between public customers and FINRA-registered firms.



Firm Profile

This firm is classified as a CORPORATION.

This firm was formed in Utah on 5/5/1989.

Its fiscal year ends in December.

Firm Names and Locations

This section includes details, as reported by the firm on Form BD, regarding the firm's full legal name, business and mailing addresses, the firm's "doing business as" name (i.e. "DBA" name) if different from the full legal name, and any other name by which the firm conducts business and where such name is used.

HELIX SECURITIES, INC.

Doing business as HELIX SECURITIES, INC.

CRD# 25862

SEC# 8-42090

Main Office Location

57 WEST 200 SOUTH
SUITE 503
SALT LAKE CITY, UT 84101-1610
United States

Mailing Address

57 WEST 200 SOUTH
SUITE 503
SALT LAKE CITY, UT 84101-1610
United States

Business Telephone Number

(801) 575-6000



Firm Profile

This section provides information relating to Direct Owners and Executive Officers as reported by the firm on Form BD.

Direct Owners and Executive Officers

Information not available – see Summary Page.



Firm Profile

This section provides information relating to Indirect Owners, if any, as reported by the firm on Form BD.

Indirect Owners

Information not available – see Summary Page.



Firm History

This section provides information relating to successions (e.g. mergers or acquisitions), if any, as reported by the firm on Form BD.

Information not available – see Summary Page.



Firm Operations

Registrations

This section provides information about the regulators (e.g. U.S. Securities and Exchange Commission (SEC), self-regulatory organizations, states and U.S. territories) the firm is currently registered with, the category of each registration, and the date on which the registration status became effective, as well as certain information about the firm's SEC registration.

This firm is no longer registered with FINRA.

The firm's registration with FINRA was from 3/26/1990 to 6/4/1996.

SEC Registration Questions

This firm was registered with the SEC as:

A broker-dealer only: **Information not available – see Summary Page.**

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

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



Types of Business

This section provides the types of business and any other business or other non-securities business the firm is engaged in or is expected to be engaged in as reported by the firm on Form BD.

This firm conducted 6 types of business.

Exchange member engaged in exchange commission business other than floor activities	No
Exchange member engaged in floor activities	No
Broker or dealer making inter-dealer markets in corporate securities over-the-counter	Yes
Broker or dealer retailing corporate equity securities over-the-counter	Yes
Broker or dealer selling corporate debt securities	No
Underwriter or selling group participant (corporate securities other than mutual funds)	Yes
Mutual fund underwriter or sponsor	No
Mutual fund retailer	Yes
U.S. government securities dealer	No
U.S. government securities broker	No
Municipal securities dealer	Yes
Municipal securities broker	Yes
Broker or dealer selling variable life insurance or annuities	No
Solicitor of time deposits in a financial institution	No
Real estate syndicator	No
Broker or dealer selling oil and gas interests	No
Put and call broker or dealer or option writer	No
Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds)	No
Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals)	No
Investment advisory services	No
Broker or dealer selling tax shelters or limited partnerships in primary distributions	No
Broker or dealer selling tax shelters or limited partnerships in the secondary market	No
Non-exchange member arranging for transactions in listed securities by exchange member	No
Trading securities for own account	No
Private placements of securities	No
Broker or dealer selling interests in mortgages or other receivables	No
Broker or dealer involved in a networking kiosk or similar arrangement with a bank, savings bank or association, or credit union	No
Broker or dealer involved in a networking kiosk or similar arrangement with a Insurance company or agency	No



Other Types of Business

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

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



Clearing Arrangements

Information not available – see Summary Page

Introducing Arrangements

Information not available – see Summary Page

Industry Arrangements

Information not available – see Summary Page

Organization Affiliates

Information not available – see Summary Page



Disclosure of Arbitration Awards, Disciplinary and Regulatory Events

Firms are required to answer a series of disclosure questions on Form BD and provide the corresponding details to any reported events as part of the securities industry registration and licensing process. The disclosure questions concern criminal and regulatory events, civil actions, and certain financial disclosures such as bankruptcy or liquidation proceedings filed within the past ten years, bond actions and unpaid judgments and liens. The firm must answer either "yes" or "no" to each question as it applies to the firm itself or to any of its control affiliates (i.e., an individual, partnership, corporation, trust, or other organization that directly or indirectly controls, is under common control with, or is controlled by the firm). This section lists the various disclosure questions and their corresponding answers as reported by the firm on Form BD.



Possible multiple reporting sources – please note:

Disclosure event details may be reported by more than one source (i.e., regulator or firm). When this occurs, all versions of the reported event will appear in the firm's BrokerCheck report.



Disclosure Event Details

This section provides the specific details for each disclosure event, as reported by the firm on Form BD, that correspond with any "yes" answers to the various Form BD disclosure questions. It also includes summary information regarding arbitration awards in cases where the firm was named as a respondent in the arbitration proceeding, if any.

Nothing will be displayed in this section of the firm's BrokerCheck Report when the firm has no reported disclosure information.

If the firm does have reported disclosure events, please keep the following in mind when evaluating the disclosure event details. Items may involve pending actions or allegations that may be contested and have not been resolved or proven. The items may, in the end, be withdrawn or dismissed, or resolved in favor of the firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD by the firm and/or by securities industry regulators. Some of the specific data fields contained in this section of the report may be blank if the information was not provided to CRD.

Disclosure event details may be reported by more than one source (i.e., regulator and firm). When this occurs, all versions of the reported event will appear in the firm's BrokerCheck report.



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

**Principal Sanction(s)/Relief
Sought:**

**Other Sanction(s)/Relief
Sought:**

Resolution: DECISION

Resolution Date: 3/12/1992

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: COMPLAINT NO. C3A910062 (DISTRICT NO. 3) FILED JUNE 5, 1991 AGAINST RESPONDENTS HELIX SECURITIES, INC. AND HENRY G. BEAM III ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 4 AND 18 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT BEAM, CAUSED THREE RETAIL PRINCIPAL TRANSACTIONS WITH PUBLIC



CUSTOMERS TO BE EXECUTED AT PRICES THAT WERE UNFAIR.

DECISION RENDERED JANUARY 27, 1992, WHEREIN THE COMPLAINT WAS DISMISSED IN THAT THE COMMITTEE DETERMINED THAT ALTHOUGH THE AMOUNT OF MARKUPS AND MARKDOWNS CHARGED BY THE FIRM ON TWO TRADES APPEARS TO BE SOMEWHAT HIGH UNDER THE CIRCUMSTANCES, THESE WERE CONSIDERED ISOLATED TRANSACTIONS. ADDITIONALLY, THERE WAS NO PATTERN OR ESTABLISHED PRACTICES BY THE RESPONDENTS TO CHARGE UNFAIR PRICES TO CUSTOMERS. THEREFORE, FORMAL DISCIPLINARY ACTION IN THE FORM OF SANCTIONS WAS NOT APPROPRIATE. IF NO FURTHER ACTION, DECISION IS FINAL MARCH 12, 1992.

MARCH 12, 1992 - DECISION IS FINAL.



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

**Principal Sanction(s)/Relief
Sought:**

**Other Sanction(s)/Relief
Sought:**

Resolution: DECISION

Resolution Date: 5/15/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: THIS COMPLAINT WAS FILED ON OCTOBER 21, 1994 BY THE MARKET SURVEILLANCE COMMITTEE (MSC) AGAINST HELIX SECURITIES, INC. (HELIX) MEMBER (CRD #25862), HARRY G. BEAM III (BEAM) PRESIDENT (CRD #873268), WILLARD N. KILGROW (KILGROW) GENERAL SECURITIES PRINCIPAL AND A GENERAL SECURITIES REPRESENTATIVE, AND PATRICIA L. FAULKNER, A.K.A.



PATRICIAL L. LYNCH (LYNCH) FINANCIAL AND OPERATIONS PRINCIPAL, A GENERAL SECURITIES PRINCIPAL, A GENERAL SECURITIES REPRESENTATIVE, A MUNICIPAL SECURITIES PRINCIPAL AND A MUNICIPAL SECURITIES REPRESENTATIVE (CRD #1849145). IN THE FIRST OF TWO CAUSES OF COMPLAINT, HELIX, BEAM AND KILGROW ARE CHARGED WITH VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 18 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE (RFP) FOR MANIPULATING THE PRICE OF REMINGTON FINANCIAL GROUP, INC. (REMINGTON). CAUSE II OF THE COMPLAINT ALLEGES VIOLATIONS OF ARTICLE III, SECTION 1 AND 27 OF THE ASSOCIATION'S RFP BY HELIX, BEAM AND LYNCH FOR A FAILURE TO SUPERVISE.

IN ITS DECISION RENDERED ON MAY 15, 1996, THE MSC FOUND HELIX TO BE IN VIOLATION OF ALLEGATIONS AS NOTED IN CAUSES 1 AND 2 OF THE COMPLAINT. AS SANCTIONS, THE MSC CENSURED AND FINED HELIX \$75,000 (\$50,000 FOR THE FIRST CAUSE OF COMPLAINT AND \$25,000 FOR THE SECOND CAUSE OF COMPLAINT. HELIX WAS ALSO ASSESSED THE CAUSE OF THE HEARING IN THE AMOUNT OF \$4,139.25, JOINTLY AND SEVERALLY WITH KILGROW AND LYNCH.

REVOKED FOR NON-PAYMENT OF FINES/COSTS ON 11/06/96

Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations: ON MAY 6, 1994, THE OKLAHOMA DEPARTMENT OF SECURITIES ("DEPARTMENT") FILED ITS FIRST AMENDED PETITION IN THE DISTRICT COURT OF OKLAHOMA COUNTY, OKLAHOMA, AGAINST CHARLES J. BAZARIAN, ET AL., FOR THE PURPOSE OF ADDING DEFENDENTS THE FOLLOWING PERSONS: HELIX SECURITIES, INC., WILLARD NIEL KILGROW, HENRY GREER BEAM II, STEVEN WILLIAM MIGLIACCIO AND WILLIAM NICHOLS POST. IN THE FIRST AMENDED PETITION, THE DEPARTMENT ALLEGES THAT DEFENDANTS HELIX SECURITIES, INC., WILLARD NIEL KILGROW AND HENRY GREER BEAM II, VIOLATED SECTIONS 101, 201, 301 AND 402 OF THE OKLAHOMA SECURITIES ACT BY OFFERING AND SELLING UNREGISTERED SECURITIES AND PARTICIPATING IN ACTS, PRACTICES OF COURSES OF BUSINESS WHICH OPERATED AS A FRAUD OR DECEIT UPON OTHERS.

Initiated By: OKLAHOMA DEPARTMENT OF SECURITIES

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:



Resolution: ORDER
Resolution Date: 5/6/1994
Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details:

Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations: ON OCTOBER 27, 1995, THE ADMINISTRATOR OF THE OKLAHOMA DEPARTMENT OF SECURITIES ENTERED INTO AN AGREEMENT WITH JAY F. MCCOWN (MCCOWN) , WHEREIN MCCOWN CONSENTED TO THE ISSUANCE OF A PERMANENT ORDER TO CEASE AND DESIST AND AGREED TO PAY TO THE DEPARTMENT A CIVIL PENALTY IN THE AMOUNT OF \$5,000. THE DEPARTMENT AGREED TO FILE A DISMISSAL WITH PREJUDICE IN THE CIVIL ACTION. ON OCTOBER 27, 1995, THE ADMINISTRATOR OF THE OKLAHOMA DEPARTMENT OF SECURITIES ENTERED INTO AN AGREEMENT WITH WILLARD NEIL KILGROW (KILGROW) WHEREIN KILGROW CONSENTED TO THE ISSUANCE OF A PERMANENT ORDER TO CEASE AND DESIST FOR VIOLATION OF THE OKLAHOMA SECURITIES ACT AND AN ORDER OF REVOCATION. KILGROW FURTHER AGREED TO PAY THE DEPARTMENT A CIVIL PENALTY IN THE AMOUNT OF \$50,000. ON OCTOBER 27, 1995, THE ADMINISTRATOR OF THE OKLAHOMA DEPARTMENT OF SECURITIES ENTERED INTO AN AGREEMENT WITH HELIX SECURITIES, INC. (HELIX) AND PATRICIA LYNCH FAULKNER (FAULKNER) , WHEREIN HELIX AND FALULKNER EACH CONSENTED TO THE ISSUANCE OF A PERMANENT ORDER TO CEASE AND DESIST FOR VIOLATION OF THE OKLAHOMA SECURITIES ACT AND TO VOLUNTARILY WITHDRAW FROM REGISTRATION. HELIX FURTHER AGREED TO PAY TO THE DEPARTMENT A CIVIL PENALTY IN THE SUM OF \$50,000. THE DEPARTMENT AGREED TO FILE A DISMISSAL WITH PREJUDICE IN THE CIVIL ACTION.

Initiated By: OKLAHOMA DEPARTMENT OF SECURITIES

Date Initiated:



Docket/Case Number:

Principal Product Type:

Other Product Type(s):

**Principal Sanction(s)/Relief
Sought:**

**Other Sanction(s)/Relief
Sought:**

Resolution: ORDER

Resolution Date: 10/27/1995

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details:



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

**Principal Sanction(s)/Relief
Sought:**

**Other Sanction(s)/Relief
Sought:**

Resolution: DECISION

Resolution Date: 4/8/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: HELIX SECURITIES, 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 APRIL 8, 1996 AND WILL CONCLUDE UPON COMPLIANCE.



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source:	REGULATOR (U6)
Current Status:	FINAL
Allegations:	CEASED DOING BUSINESS AS A DEALER IN THE STATE OF ILLINOIS
Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Date Initiated:	
Docket/Case Number:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	OTHER
Resolution Date:	5/29/1996
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	ORDER OF CANCELLATION ISSUED MAY 29, 1996. RESPONDENT'S DEALER APPLICATION IS HEREBY CANCELLED.



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source:	REGULATOR (U6)
Current Status:	FINAL
Allegations:	FAILED TO FILE AUDITED FINANCIALS.
Initiated By:	IOWA SECURITIES BUREAU
Date Initiated:	
Docket/Case Number:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	ORDER
Resolution Date:	5/29/1996
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	REVOKE BD LICENSE.



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source:	REGULATOR (U6)
Current Status:	FINAL
Allegations:	THE BROKER DEALER FAILED TO FILE THE ANNUAL AUDITED FINANCIAL REPORT.
Initiated By:	MINNESOTA
Date Initiated:	
Docket/Case Number:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	DECISION
Resolution Date:	7/15/1996
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE DEPT OF COMMERCE TRIED TO CONTACT THE ABOVE BUT DID NOT HAVE ANY RESULTS. BASED ON THE FOREGOING, RESPONDENT'S BROKER DEALER LICENSE IS



SUSPENDED PURSUANT TO MN STAT 80A.07. CONTACT: ESTHER SNAZA 612-296-2283



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source:	REGULATOR (U6)
Current Status:	FINAL
Allegations:	FAILURE TO PAY ASSESSMENT FEE
Initiated By:	CALIFORNIA
Date Initiated:	
Docket/Case Number:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	ORDER
Resolution Date:	8/16/1996
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	BROKER-DEALER CERTIFICATE SUMMARILY REVOKED FOR NON-PAYMENT OF ASSESSMENT FEE.



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

**Principal Sanction(s)/Relief
Sought:**

**Other Sanction(s)/Relief
Sought:**

Resolution: DECISION

Resolution Date: 11/6/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: *****EXPULSED FROM NASD REGISTRATION 11/06/96*****

*****FOR NON-PAYMENT OF FINES AND/OR COSTS*****

*****IN NASD COMPLAINT CMS940105*****



Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source:	REGULATOR (U6)
Current Status:	FINAL
Allegations:	VIOLATION OF OHIO REVISED CODE 1707.19(I) AND OHIO ADMINISTRATIVE CODE RULE 1301:6-3-15(H)(1).
Initiated By:	OHIO DIVISION OF SECURITIES
Date Initiated:	
Docket/Case Number:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	ORDER
Resolution Date:	8/30/1996
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	FINAL ORDER OF REVOCATION OF OHIO SECURITIES LICENSE BY DIVISION OF SECURITIES. THE OHIO DIVISION OF SECURITIES ISSUED DIVISION ORDER NO. 96-130, A



FINAL ORDER OF REVOCATION OF OHIO SECURITIES LICENSE, AGAINST HELIX SECURITIES, INC. OF SALT LAKE CITY, UTAH. HELIX SECURITIES, INC. FAILED TO FILE FINANCIAL STATEMENTS WITH THE DIVISION WITHIN 90 DAYS OF THE END OF ITS FISCAL YEAR, IN VIOLATION OF OHIO REVISED CODE 1707.19(I) AND OHIO ADMINISTRATIVE CODE RULE 1301:6-3-15(H)(1).

Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations: NOTICE OF INTENT TO REVOKE REGISTRATION AS A BROKER-DEALER ISSUED 12/19/96 BASED ON ALLEGATIONS THAT THE FIRM FAILED TO COMPLY WITH FINANCIAL REPORTING REQUIREMENTS UNDER THE CONNECTICUT UNIFORM SECURITIES ACT. NOTICE OF INTENT TO REVOKE ALSO CLAIMED THAT ON 5/15/96, THE NASD HAD CENSURED AND FINED THE FIRM \$75,000 FOR ALLEGED STOCK MANIPULATION; AND THAT ON 5/29/96, THE SECURITIES ADMINISTRATOR OF IOWA HAD REVOKED THE FIRM'S REGISTRATION IN THAT STATE FOR FAILING TO FILE AUDITED FINANCIAL STATEMENTS.

Initiated By: CONNECTICUT

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: ORDER

Resolution Date: 1/16/1997



Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: FIRM PROVIDED WITH AN OPPORTUNITY TO REQUEST A HEARING ON THE ALLEGATIONS IN THE NOTICE OF INTENT TO REVOKE.



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Disclosure

Reporting Source: REGULATOR (U6)

Current Status:

Allegations:

Initiated By: CONNECTICUT DEPT. OF BANKING

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

**Principal Sanction(s)/Relief
Sought:**

**Other Sanction(s)/Relief
Sought:**

Resolution: ORDER

Resolution Date: 1/16/1997

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: UPDATE: ON 1/16/97, THE CONNECTICUT BANKING COMMISSIONER ENTERED AN ORDER REVOKING THE FIRM'S BROKER-DEALER REGISTRATION. THE REVOCATION ORDER, WHICH WAS UNCONTESTED BY THE FIRM, FOUND THAT HELIX FAILED TO COMPLY WITH STATE FINANCIAL REPORTING REQUIREMENTS. IN ADDITION, THE COMMISSIONER FOUND THAT ADDITIONAL



BASES FOR REVOCATION EXISTED IN THAT ON 5/15/96, THE NASD HAD CENSURED AND FINED THE FIRM \$75,000 FOR ALLEGED STOCK MANIPULATION; AND THAT ON 5/29/96, THE SECURITIES ADMINISTRATOR OF IOWA HAD REVOKED THE FIRM'S REGISTRATION IN THAT STATE FOR FAILING TO FILE AUDITED FINANCIAL STATEMENTS.



Customer Dispute – Award/Judgment

Firms are not required to report arbitration claims filed against them by customers on Form BD; however, FINRA provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and FINRA-registered firms in this section of the report. Note: an arbitration may contain multiple instances of a certain Relief Type (e.g., Actual/Compensatory Damages) requested by or awarded to one or more Claimants.

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

Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-BREACH OF CONTRACT; MISREPRESENTATION; BRCH OF FIDUCIARY DT
Arbitration Forum:	NASD
Case Initiated:	01/03/1994
Case Number:	93-04900
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$2,000,000.00; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$5,000,000.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00; OTHER COSTS, ASKED AMOUNT \$0.00; OTHER NON-MONETARY RELIEF, ASKED AMOUNT
Disposition:	AWARD AGAINST PARTY
Disposition Date:	12/21/1995
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$143,316.00 JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER NON-MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL



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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; OMISSION OF FACTS
Arbitration Forum:	NASD
Case Initiated:	12/21/1995
Case Number:	95-05907
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$40,000.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	NOT PROVIDED
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$10,275.00 JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL



About this BrokerCheck Report

BrokerCheck reports are part of a FINRA initiative to disclose information about FINRA-registered firms and brokers to help investors determine whether to conduct, or continue to conduct, business with these firms and brokers. The information contained within these reports is collected through the securities industry's registration and licensing process.

Who provides the information in BrokerCheck?

Information made available through FINRA BrokerCheck is derived from the Central Registration Depository (CRD®) as reported on the industry registration and licensing forms brokerage firms and brokers are required to complete.

The forms used by brokerage firms, Forms BD and BDW, are established by the Securities and Exchange Commission (SEC) and adopted by all state securities regulators and self-regulatory organizations (SROs). FINRA and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that collect broker information. Regulators provide information via Form U6, which is used primarily to report certain history about brokerage firms and brokers. These forms are approved by the SEC.

How current is the information contained in BrokerCheck?

Brokerage firms and brokers are required to keep this information accurate and up-to-date (updates typically are required not later than 30 days after the broker/brokerage firm learns of an event). The report data is updated when a firm, broker, or regulator submits new or revised information to CRD. Generally, updated information is available on BrokerCheck Monday through Friday.

What information is NOT disclosed through BrokerCheck?

Information that has not been reported to the CRD system, or that is not required to be reported, is not disclosed through FINRA BrokerCheck. Examples of events that are not required to be reported or are no longer reportable include: judgments and liens originally reported as pending that subsequently have been satisfied and bankruptcy proceedings filed more than 10 years ago. Conversely, certain customer complaint information that is not required to be reported may be disclosed provided certain criteria are met.

Additional information not disclosed through BrokerCheck includes Social Security Numbers, residential history information, and physical descriptive information. On a case-by-case basis, FINRA reserves the right to exclude information that contains confidential customer information, offensive and potentially defamatory language or information that raises significant identity theft or privacy concerns that are not outweighed by investor protection concerns. NASD Interpretive Material 8310-2 describes in detail what information is and is not disclosed through BrokerCheck.

Under FINRA's current public disclosure policy, in certain limited circumstances, most often pursuant to a court order, information is expunged from the CRD system. Further information about expungement from the CRD system is available in NASD Notices to Members 99-09, 99-54, 01-65, and 04-16 at www.finra.org.

For further information regarding FINRA's BrokerCheck program, please visit FINRA's Web Site at www.finra.org/brokercheck or call the FINRA BrokerCheck Hotline at (800) 289-9999. The hotline is open Monday through Friday from 8 a.m. to 8 p.m., Eastern Time (ET).

For more information about the following, select the associated link:

- About BrokerCheck Reports: http://www.finra.org/brokercheck_reports
- Glossary: http://www.finra.org/brokercheck_glossary
- Questions Frequently Asked about BrokerCheck Reports: http://www.finra.org/brokercheck_faq
- Terms and Conditions: <http://brokercheck.finra.org/terms.aspx>