

BrokerCheck Report

E. H. SMITH JACOBS & CO., INC.

CRD# 3429

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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.

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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)



E. H. SMITH JACOBS & CO., INC.
CRD# 3429
SEC# 8-36808

Main Office Location
30 BROAD STREET
20TH FLOOR
NEW YORK, NY 10004

Mailing Address
30 BROAD STREET
20TH FLOOR
NEW YORK, NY 10004

Business Telephone Number
(212) 742-8130

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 New York on 09/17/1986.
Its fiscal year ends in September.

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	6



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:	09/25/2012
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	Yes
Number of customers owed funds or securities:	0
Amount of money owed to customer:	\$0.00
Amount of money owed to brokerage firm:	\$40,000.00
Market value of securities owed to customer:	\$0.00
Market value of securities owed to brokerage firm:	\$0.00
Payment arrangement:	THE ESTIMATED INDEBTEDNESS WILL BE PAID IN THE ORDINARY COURSE OF BUSINESS.



Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 09/17/1986.

Its fiscal year ends in September.

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.

E. H. SMITH JACOBS & CO., INC.

Doing business as E. H. SMITH JACOBS & CO., INC.

CRD# 3429

SEC# 8-36808

Main Office Location

30 BROAD STREET
20TH FLOOR
NEW YORK, NY 10004

Mailing Address

30 BROAD STREET
20TH FLOOR
NEW YORK, NY 10004

Business Telephone Number

(212) 742-8130



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): RAYMOND C. FORBES FAMILY TRUST I

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

Position SHAREHOLDER

Position Start Date 12/1992

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): RAYMOND C. FORBES REVOCABLE TRUST

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

Position SHAREHOLDER

Position Start Date 12/1992

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

Legal Name & CRD# (if any): FORBES, MARIE-REGINA

2106108

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

Position PRESIDENT/FINOP/CCO/TREASURER

Position Start Date 03/1991

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? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FORBES, PATRICIA MARY
2241513

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

Position VP/SROP/CROP/SECRETARY

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): FORBES, RAYMOND CLEMENT
210968

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

Position TRUSTEE, FAMILY TRUST I AND RAYMOND C. FORBES REVOCABLE TRUST

Position Start Date 12/1992

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): MCMULLIN, KIMBALL R.
5304349

Firm Profile



Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Individual
Position	TRUSTEE, FAMILY TRUST I
Position Start Date	12/1992
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

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 no longer registered.

The firm's registration was from 09/11/1968 to 02/05/2014.





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 5 types of businesses.

Types of Business

Exchange member engaged in exchange commission business other than floor activities

Exchange member engaged in floor activities

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

Put and call broker or dealer or option writer

Trading securities for own account

Other Types of Business

This firm does 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:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
CRD #:	7691
Business Address:	101 HUDSON STREET JERSEY CITY, NJ 07302
Effective Date:	03/24/1995
Description:	APPLICANT CLEARS THROUGH MERRILL LYNCH ON A FULLY DISCLOSED BASIS.

Firm Operations

Industry Arrangements



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

Name: INTEGRATED MANAGEMENT SOLUTIONS (USA) LLC

Business Address: 39 BROADWAY
SUITE 1601
NEW YORK, NY 10006

Effective Date: 09/01/2001

Description: IMS MAINTAINS OUR MONTHLY BOOKS AND RECORDS, AS WELL AS SUBMITS OUR FOCUS REPORT.

Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

CRD #: 7691

Business Address: 101 HUDSON STREET
JERSEY CITY, NJ 07302

Effective Date: 03/24/1995

Description: APPLICANT CLEARS THROUGH MERRILL LYNCH ON A FULLY DISCLOSED BASIS.

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

Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

CRD #: 7691

Business Address: 101 HUDSON STREET
JERSEY CITY, NJ 07302

Effective Date: 03/24/1995

Description: APPLICANT CLEARS THROUGH MERRILL LYNCH ON A FULLY DISCLOSED BASIS.

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

Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

CRD #: 7691

Business Address: 101 HUDSON STREET
JERSEY CITY, NJ 07302

Effective Date: 03/24/1995

Description: APPLICANT CLEARS THROUGH MERRILL LYNCH ON A FULLY

Firm Operations

Industry Arrangements (continued)

DISCLOSED BASIS.



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.**

RAYMOND C. FORBES & CO., INC. is under common control with the firm.

CRD #:	33090
Business Address:	30 BROAD STREET 20TH FLOOR NEW YORK, NY 10004
Effective Date:	09/17/1986
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT.

CHRISTOPHER J. FORBES, LLC is controlled by the firm.

CRD #:	122430
Business Address:	30 BROAD STREET, 20TH FL. NEW YORK, NY 10004
Effective Date:	06/11/2003
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	CHRISTOPHER J. FORBES LLC IS WHOLLY OWNED BY E.H. SMITH JACOBS & CO., INC.

Firm Operations



Organization Affiliates (continued)

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	6	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 6

Reporting Source: Regulator

Current Status: Final



Allegations: FINRA RULE 7450, NASD RULE 6955(A) - E.H. SMITH JACOBS & CO., INC. FAILED TO TRANSMIT NUMEROUS REPORTABLE ORDER EVENTS (ROES) TO THE ORDER AUDIT TRAIL SYSTEM (OATS) FOR MORE THAN A YEAR.

Initiated By: FINRA

Date Initiated: 12/09/2011

Docket/Case Number: 2008015016101

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/09/2011

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 \$12,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$12,500.

Disclosure 2 of 6

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 10/10/1989

Docket/Case Number: NY-7095-AWC



Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/10/1989

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

ON OCTOBER 10, 1989, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NY-7095-AWC (DISTRICT NO. 12) SUBMITTED BY RESPONDENTS E.H. SMITH JACOBS & CO., INC. AND RAYMOND FORBES WAS
ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - THE FIRM, ACTING THROUGH RESPONDENT FORBES CONDUCTED A PUBLIC OPTIONS BUSINESS WITHOUT HAVING A REGISTERED
OPTIONS PRINCIPAL ASSOCIATED WITH THE FIRM; DID NOT INCLUDE ALL THE INFORMATION REQUIRED ON CUSTOMERS' OPTIONS AGREEMENTS; AND,
DID NOT OBTAIN A WRITTEN AGREEMENT FROM A CUSTOMER FOR OPTIONS
TRADING WITHIN FIFTEEN DAYS FROM THE FIRST TRADE).
\$1,000.00 PAID J&S ON 11/17/89 INVOICE #89-12-768.

Reporting Source: Firm

Current Status: Final

Allegations: VIOLATION OF NASD RULES OF FAIR PRACTICE BY CONDUCTING AN OPTIONS BUSINESS WITHOUT HAVING A REGISTERED OPTIONS PRINCIPAL ASSOCIATED WITH THE FIRM; TWO OPTIONS AGREEMENTS DID NOT CONTAIN ALL NEEDED INFORMATION, AND THE FIRM DID NOT OBTAIN A WRITTEN OPTION AGREEMENT WITH THE CUSTOMER WITHIN 15 DAYS OF FIRST TRADE.



Initiated By: NASD
Date Initiated: 05/07/1989
Docket/Case Number: NY-7095-AWC
Principal Product Type: Options
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Censure
Other Sanction(s)/Relief Sought:
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 10/10/1989
Sanctions Ordered: Censure
Monetary/Fine \$1,000.00
Other Sanctions Ordered:
Sanction Details: FINE OF \$1000 AND CENSURE.

Disclosure 3 of 6

Reporting Source: Regulator
Current Status: Final
Allegations:
Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated: 12/24/1987
Docket/Case Number: NY-5057-AWC
Principal Product Type:
Other Product Type(s):
Principal Sanction(s)/Relief Sought:
Other Sanction(s)/Relief Sought:
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 12/24/1987



Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON DECEMBER 24, 1987, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NY-5057-AWC (DISTRICT NO. 12) SUBMITTED BY RESPONDENTS E. H. SMITH JACOBS & CO., INC. AND MARTYNA GERWECK WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT GERWECK, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN MINIMUM REQUIRED NET CAPITAL).

Reporting Source: Firm

Current Status: Final

Allegations: WAS FOUND IN VIOLATION OF NASD RULES OF FAIR PRACTICE BY CONDUCTING A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET CAPITAL.

Initiated By: NASD

Date Initiated: 06/01/1987

Docket/Case Number: UNKNOWN

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/24/1987

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: FINE OF \$1000. WAS PAID.



Disclosure 4 of 6

Reporting Source:	Regulator
Current Status:	Final
Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	06/30/1987
Docket/Case Number:	MS-553-AWC
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	09/04/1987
Sanctions Ordered:	Monetary/Fine \$250.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	<p>MARKET SURVEILLANCE COMMITTEE COMPLAINT #MS-553-AWC:</p> <p>LETTER OF ACCEPTANCE, WAIVER AND CONSENT ISSUED JUNE 30, 1987, ALLEGING VIOLATIONS OF PART I, SECTION C.3.(c) OF SCHEDULE D IN THAT RESPONDENTS FAILED TO REPORT THEIR NASDAQ VOLUME.</p> <p>AWC ACCEPTED BY THE MARKET SURVEILLANCE COMMITTEE ON AUGUST 3, 1987 AND BY THE NATIONAL BUSINESS CONDUCT COMMITTEE ON SEPTEMBER 4, 1987. FINE \$250</p> <p>***** NFC #285 - \$250.00*****</p>

Reporting Source: Firm

Current Status: Final



Allegations: VIOLATION OF NASD RULES IN THAT THE FIRM FAILED TO REPORT THEIR NASDAQ VOLUME.

Initiated By: NASD

Date Initiated: 03/01/1987

Docket/Case Number: MS-553-AWC

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 06/30/1987

Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details: FINE OF \$250. WAS PAID.

Disclosure 5 of 6

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 03/13/1973

Docket/Case Number: N-WD-12

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision



Resolution Date: 07/20/1973
Regulator Statement NASDAQ COMPLAINT FILED 3-13-73 (N-WD-12)
6-5-73: ASSESSED \$37.50
6-12-73: PAID
7-20-73: FINAL

Reporting Source: Firm
Current Status: Final
Allegations: NASD RULE VIOLATION
Initiated By: NASD
Date Initiated: 01/13/1973
Docket/Case Number: N-WD-12
Principal Product Type: No Product
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Other
Resolution Date: 03/13/1973
Sanctions Ordered: Monetary/Fine \$37.50
Other Sanctions Ordered:
Sanction Details: FINE PAID

Disclosure 6 of 6

Reporting Source: Regulator
Current Status: Final
Allegations:
Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated: 05/07/1974
Docket/Case Number: AWC-169



Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 05/07/1974

Sanctions Ordered: Monetary/Fine \$150.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMPLAINT #AWC-169 FILED 05/07/74
DECISION 05/07/74: FINAL
FINES & COSTS PD. F&C: 06/21/74 \$150.00
FC #5698

Reporting Source: Firm

Current Status: Final

Allegations: NASD RULE VIOLATION

Initiated By: NASD

Date Initiated: 04/01/1974

Docket/Case Number: AWC-169

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/07/1974

Sanctions Ordered: Monetary/Fine \$150.00



Other Sanctions Ordered:

Sanction Details:

FINE PAID ON 6/21/74

End of Report



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