

BrokerCheck Report

BODELL OVERCASH ANDERSON & CO., INC.

CRD# 5148

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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.



BODELL OVERCASH ANDERSON & CO., INC.

CRD# 5148

SEC# 8-15775

Main Office Location

2-6 EAST SECOND STREET
SUITE 200
JAMESTOWN, NY 14701

Mailing Address

2-6 EAST SECOND STREET
PO BOX 1237
JAMESTOWN, NY 14701

Business Telephone Number

7164847141

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at: <https://www.adviserinfo.sec.gov>

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 04/07/1970.
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	7
Arbitration	1

Registration Withdrawal Information

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



Date firm ceased business: 09/10/2020

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 New York on 04/07/1970.

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.

BODELL OVERCASH ANDERSON & CO., INC.

Doing business as BODELL OVERCASH ANDERSON & CO., INC.

CRD# 5148

SEC# 8-15775

Main Office Location

2-6 EAST SECOND STREET
SUITE 200
JAMESTOWN, NY 14701

Mailing Address

2-6 EAST SECOND STREET
PO BOX 1237
JAMESTOWN, NY 14701

Business Telephone Number

7164847141



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): ANDERSON, JOHN EDWARD

5217

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

Position PRESIDENT

Position Start Date 05/1970

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): OVERCASH, DANIEL RAY JR

354430

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

Position CHIEF EXECUTIVE OFFICER

Position Start Date 05/1970

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): OVERCASH, DANIEL RAY JR

354430

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

Position CHIEF COMPLIANCE OFFICER

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date	11/2004
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):	CARNAHAN, GIZELLE MARIE 4411194
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Is this a domestic or foreign entity or an individual?	Individual
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Position	SECRETARY
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Position Start Date	10/2012
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Percentage of Ownership	Less than 5%
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Does this owner direct the management or policies of the firm?	No
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Is this a public reporting company?	No
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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 05/25/1970 to 11/30/2020.



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 8 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
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member

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: DURING THE 1980S THE FIRM ENGAGED IN THE SELLING OF LIMITED PARTNERSHIPS IN OIL AND GAS DRILLING VENTURES.

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:	HILLTOP SECURITIES INC.
CRD #:	6220
Business Address:	1201 ELM ST. DALLAS, TX 75270-2180
Effective Date:	01/26/2016
Description:	INTRODUCE CASH, MARGIN AND OPTIONS TO HILLTOP SECURITIES ON A FULLY DISCLOSED BASIS AS OUTLINED IN A FULLY DISCLOSED CLEARING AGREEMENT.

Firm Operations

Industry Arrangements



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

Name:	HILLTOP SECURITIES INC.
CRD #:	6220
Business Address:	1201 ELM ST. DALLAS, TX 45270
Effective Date:	01/26/2016
Description:	INTRODUCE CASH, MARGIN AND OPTIONS TO HILLTOP SECURITIES INC. ON A FULLY DISCLOSED BASIS AS OUTLINED IN A FULLY DISCLOSED CLEARING AGREEMENT

Name:	HILLTOP SECURITIES INC.
CRD #:	6220
Business Address:	1201 ELM ST. DALLAS, TX 75270-2180
Effective Date:	01/20/2016
Description:	APPLICANT HAS A FULLY DISCLOSED CLEARING ARRANGEMENT

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

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 not, 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.**

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	7	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 7

Reporting Source: Regulator

Current Status: Final



Allegations:	MSRB RULE G-14 AND G-27; A REVIEW OF 35 MUNICIPAL SECURITIES TRANSACTIONS FROM JULY 2002 THROUGH SEPTEMBER 2004 REVEALED THAT BOA FAILED TO REPORT 77% OF THE INTER-DEALER TRANSACTIONS TO THE MSRB. BOA ALSO FAILED TO TIMELY REPORT 11% OF THE 35 TRANSACTIONS TO THE MSRB. FROM IN OR ABOUT MARCH 2003 THROUGH IN OR ABOUT OCTOBER 2004, BOA FAILED TO ADOPT AND MAINTAIN WRITTEN SUPERVISORY PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH MSRB RULE G-14.
Initiated By:	NASD
Date Initiated:	09/21/2005
Docket/Case Number:	E9B2004001701
Principal Product Type:	Debt - Municipal
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	09/21/2005
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 \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS FINED \$5000.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	THE NASD ALLEGED THAT MUNICIPAL SECURITY TRANSACTIONS WERE NOT PROPERLY REPORTED TO THE MSRB. WRITTEN SUPERVISORY



PROCEDURES WERE NOT FOUND TO BE IN PLACE TO INSURE PROPER REPORTING. THE FIRM THEREBY WAS CITED FOR VIOLATING MSRB RULES G-14 AND G-27.

Initiated By: NASD

Date Initiated: 09/21/2005

Docket/Case Number: E9B2004001701

Principal Product Type: Debt - Municipal

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/21/2005

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: A FINE OF \$5,000.00 WAS SANCTIONED.

Firm Statement THE FIRM REVISED AND IMPLEMENTED PROCEDURES TO COMPLY WITH MSRB RULES G-14 AND G-27. THE FINE WILL BE PAID WHEN NOTIFIED BY THE NASD FINANCE DEPT.

Disclosure 2 of 7

Reporting Source: Regulator

Current Status: Final

Allegations: RESPONDENT ENGAGED IN UNLICENSED ACTIVITY IN MAINE.

Initiated By: MAINE OFFICE OF SECURITIES

Date Initiated: 02/09/2005

Docket/Case Number: 05-057

URL for Regulatory Action:

Principal Product Type: Equity - OTC

Other Product Type(s): EQUITY - LISTED



Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Order
Resolution Date:	05/17/2005
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 \$10,538.17
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT SIGNED A CONSENT ORDER WITH THE MAINE OFFICE OF SECURITIES IN WHICH IT AGREED TO A CENSURE AND A CIVIL PENALTY OF \$10,538.17 FOR ITS UNLICENSED ACTIVITY IN MAINE.
Regulator Statement	DURING THE LICENSING PROCESS THE RESPONDENT DISCLOSED THAT IT HAD EFFECTED AT LEAST 349 UNLICENSED TRANSACTIONS IN MAINE. ALL BUT 23 OF THOSE TRANSACTIONS WERE EFFECTED BY JOHN ANDERSON, THE RESPONDENT'S PRESIDENT.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	BODELL OVERCASH ANDERSON & CO., INC. WAS ENGAGED IN UNLICENSED ACTIVITY IN MAINE.
Initiated By:	MAINE OFFICE OF SECURITIES
Date Initiated:	02/09/2005
Docket/Case Number:	05-057
Principal Product Type:	Equity - OTC
Other Product Type(s):	EQUITY- LISTED
Principal Sanction(s)/Relief Sought:	Censure


Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 05/17/2005

Sanctions Ordered: Censure
Monetary/Fine \$10,538.17

Other Sanctions Ordered:

Sanction Details: ON MAY 17, 2005 BODELL OVERCASH ANDERSON & CO., INC. AGREED TO COMPLY WITH ALL LICENSING AND OTHER LEGAL REQUIREMENTS OF THE STATE OF MAINE, PAY A CIVIL PENALTY OF \$10,538.17 AND WAS CENSURED PURSUANT TO 32 M.R.S.A. SEC 10602(1)(B) FOR ITS UNLICENSED ACTIVITY IN VIOLATION OF SEC 10301 OF THE ACT.

Firm Statement BODELL OVERCASH ANDERSON & CO., INC. TRANSACTED 349 TRADES OVER THE PAST 6 YEARS IN THE STATE OF MAINE WITHOUT LICENSING. 326 OF THE TRANSACTIONS WERE FOR 4 RELATIVES OF PRINCIPAL, JOHN E. ANDERSON WHOSE FAMILY HAD MOVED TO MAINE IN 2001. THE ADDITIONAL 23 TRANSACTIONS WERE FOR 2 OTHER CLIENTS THAT HAD ALSO MOVED TO MAINE FROM NEW YORK. AFTER BEING DENIED FOR AN EXCLUSION, THE FIRM PROVIDED THE STATE OF MAINE WITH ALL DOCUMENTATION AND PAID THE PENALTY OF \$10,538.17.

Disclosure 3 of 7

Reporting Source: Firm

Current Status: Final

Allegations: OFFER OR SALE OF UNLICENSED OR UNREGISTERED PERSON.

Initiated By: NEW YORK

Date Initiated: 03/14/1977

Docket/Case Number:

Principal Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s): BODELL OVERCASH ANDERSON & CO., INC. ENGAGED AS A BROKER DEALER FOR BOA ENERGY ASSOCIATES- 1976 IN THE STATE WHILE AT NO TIME HAVING BEEN REGISTERED AS A BROKER-DEALER WITH THE DEPARTMENT OF LAW.

Principal Sanction(s)/Relief Sought: Other



Other Sanction(s)/Relief Sought: ASSURANCE OF DISCONTINUANCE

Resolution: Decision

Resolution Date: 03/14/1977

Sanctions Ordered: Monetary/Fine \$250.00
Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: TOTAL AMOUN:\$250.00 APPLICAITONS PORTION:\$250.00 DATE PAID 3/1/1977.

Firm Statement VIOLATION OF SECTION 359-E OF THE GENERAL BUSINESS LAW OF NY STATE.
-03-14-77, STATE OF NY: AN ASSURANCE OF DISCONTINUANCE TO CEASE AND DESIST.

Reporting Source: Firm

Current Status: Final

Allegations: OFFER OR SALE OF UNLICENSED OR UNREGISTERED PERSON.

Initiated By: NEW YORK

Date Initiated: 03/14/1977

Docket/Case Number:

Principal Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s): BODELL OVERCASH ANDERSON & CO., INC. ENGAGED AS A BROKER DEALER FOR BOA ENERGY ASSOCIATES- 1976 IN THE STATE WHILE AT NO TIME HAVING BEEN REGISTERED AS A BROKER-DEALER WITH THE DEPARTMENT OF LAW.

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: ASSURANCE OF DISCONTINUANCE

Resolution: Decision

Resolution Date: 03/14/1977

Sanctions Ordered: Monetary/Fine \$250.00
Cease and Desist/Injunction

**Other Sanctions Ordered:**

Sanction Details: TOTAL AMOUN:\$250.00 APPLICAITONS PORTION:\$250.00 DATE PAID 3/1/1977.

Firm Statement VIOLATION OF SECTION 359-E OF THE GENERAL BUSINESS LAW OF NY STATE.
-03-14-77, STATE OF NY: AN ASSURANCE OF DISCONTINUANCE TO CEASE AND DESIST.

Reporting Source: Firm

Current Status: Final

Allegations: OFFER OR SALE OF UNLICENSED OR UNREGISTERED PERSON.

Initiated By: NEW YORK

Date Initiated: 03/14/1977

Docket/Case Number:

Principal Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s): BODELL OVERCASH ANDERSON & CO., INC. ENGAGED AS A BROKER DEALER FOR BOA ENERGY ASSOCIATES- 1976 IN THE STATE WHILE AT NO TIME HAVING BEEN REGISTERED AS A BROKER-DEALER WITH THE DEPARTMENT OF LAW.

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: ASSURANCE OF DISCONTINUANCE

Resolution: Decision

Resolution Date: 03/14/1977

Sanctions Ordered: Monetary/Fine \$250.00
Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: TOTAL AMOUN:\$250.00 APPLICAITONS PORTION:\$250.00 DATE PAID 3/1/1977.

Firm Statement VIOLATION OF SECTION 359-E OF THE GENERAL BUSINESS LAW OF NY STATE.
-03-14-77, STATE OF NY: AN ASSURANCE OF DISCONTINUANCE TO CEASE AND DESIST.



Disclosure 4 of 7

Reporting Source:	Regulator
Current Status:	Final
Allegations:	<p>BODELL OVERCASH ANDERSON & CO., INC. ("BODELL") FILED WITH THE MASSACHUSETTS SECURITIES DIVISION AN APPLICATION FOR REGISTRATION AS A BROKER-DEALER AND AN APPLICATION FOR REGISTRATION OF JOHN E. ANDERSON AS ITS AGENT. JAY FRANCIS KATES IS AN INDIVIDUAL WHO IS REGISTRERED WITH THE NASD AS A REPRESENTATIVE OF BODELL. BODELL HAS NEVER BEEN REGISTERED AS A BROKER-DEALER IN THE COMMONWEALTH. ON OR ABOUT</p> <p>JULY 27, 1992, BODELL VOLUNTARILY DISCLOSED TO THE DIVISION THAT IT HAD ENGAGED IN EIGHTY TWO, NON-EXEMPT TRANSACTIONS IN SECURITIES WITH CUSTOMERS IN MASS. DURING THE PERIOD FROM MAY 10, 1985 TO DATE. BODELL FURTHER DISCLOSED TAHT THE AGGREGATE TOTAL OF THE COMPENSATION RECEIVED BY THE FIRM, OR ANY OF ITS AGENTS, FROM THE TRANSACTIONS IS \$10,946.91. BODELL DISCLOSED THAT ANDERSON, AS AGENT OF THE FIRM, ENGAGED IN APPROXIMATELY FORTY OF THE REFERENCED TRANSACTIONS IN SECURITES IN THREE MASS. CUSTOMER ACCOUNTS. BODELL DISCLOSED THAT KATES, AS AN AGENT OF THE FIRM, ENGAGED IN FORTY-TWO OF THE REFERENCED TRANSACTIONS IN SECURITIES IN TWO MASS. CUSTOMER ACCOUNTS.</p>
Initiated By:	MASSACHUSETTS SECURITIES DIVISION
Date Initiated:	07/22/1993
Docket/Case Number:	R-92-161
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:	07/22/1993
Sanctions Ordered:	Monetary/Fine \$2,500.00

**Other Sanctions Ordered:****Sanction Details:**

ON JULY 22, 1993 THE MASSACHUSETTS SECURITIES DIVISION ENTERED AN ORDER APPROVING REGISTRATION UPON CONDITIONS IN REGARDS TO BODELL, ANDERSON AND KATES.

Regulator Statement

ON JULY 22, 1993 THE DIVISION APPROVED THE REGISTRATION OF BODELL UPON CONDITIONS. BODELL, ANDERSON AND KATES AGREED TO UNDERTAKINGS AND REPRESENTATIONS. IN VIEW OF THIS, THE DIVISION DETERMINED THAT IT IS IN THE PUBLIC INTEREST TO APPROVE THE APPLICATION OF BODELL FOR REGISTRATION AS A BROKER-DEALER IN MASSACHUSETTS UPON THE FOLLOWING CONDITIONS:

A. BODELL SHALL MAKE A WRITTEN OFFER OF RESCISSION TO ALL MASS. CUSTOMERS FOR WHOM BODELL ENGAGED IN SECURITIES TRANSACTIONS IN MASS. FROM MAY 10, 1985 TO DATE, AND SHALL PROVIDE THE DIVISION WITH A COPY OF ALL OFFERS OF RESCISSION MADE AND OF THE CUSTOMERS' WRITTEN RESPONSE WITHIN 45 DAYS OF THE DATE OF ENTRY OF THIS ORDER; B. BODELL SHALL PAY TO THE COMMONWEALTH OF MASS. AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$2,500.00; C. BODELL SHALL IMPLEMENT AND MAINTAIN WRITTEN PROCEDURES APPROPRIATELY DESIGNED TO ENSURE COMPLIANCE WITH SECTION 201 OF THE ACT; D. BODELL SHALL COMPLY WITH ALL STATUTES AND REGULATIONS, INCLUDING THE ACT, RELATING TO THE TRANSACTION OF BUSINESS IN SECURITIES IN MASS. THE DIVISION ALSO FOUND IT IN THE PUBLIC INTEREST TO APPROVE THE APPLICATION OF ANDERSON AS AN AGENT OF BODELL IN MASS. UPON CONDITIONS THAT: A. ANDERSON SHALL PAY THE COMMONWEALTH AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$2,500.00 AND B. HE SHALL COMPLY WITH ALL PROVISIONS OF THE ACT. THE DIVISION FOUND THAT IT IS IN THE PUBLIC INTEREST TO SETTLE THE CITED VIOLATIONS OF SECTION 201 OF THE ACT BY KATES UPON THE CONDITIONS THAT: A. KATES SHALL PAY TO THE COMMONWEALTH AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$500.00 AND KATES SHALL COMPLY WITH ALL PROVISIONS OF THE ACT.

Reporting Source:

Firm

Current Status:

Final

Allegations:

BODELL OVERCASH ANDERSON & CO., INC. AND AFFILIATES WERE ENGAGED IN NON-EXEMPT TRANSACTIONS IN THE STATE OF MASS.

Initiated By:

MASSACHUSETTS

Date Initiated:

07/22/1993



Docket/Case Number: R-92-161

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Restitution

Other Sanction(s)/Relief Sought:

Resolution: Stipulation and Consent

Resolution Date: 07/22/1993

Sanctions Ordered: Monetary/Fine \$5,500.00

Other Sanctions Ordered: FIRM AGREES TO MAKE WRITTEN OFFERS OF RESCISSION TO CUSTOMERS WHO HAD TRANSACTIONS WITH FIRM IN MA. FROM 5/10/85 TO 7/22/93; PROVIDE MA WITH A COPY OF ALL THE OFFERS OF RESCISSION AND THE CUSTOMERS RESPONSES WITHIN 45 DAYS OF THIS ORDER; SHALL IMPLEMENT AND MAINTAIN THE WRITTEN PROCEDURES THAT COMPLY WITH SECTION 201 OF THE ACT; SHALL COMPLY WITH ALL FUTURE BUSINESS TRANSACTIONS IN THE ACT.

Sanction Details: TOTAL AMOUNT: \$5500.00
APPLICANTS PORTION: \$2500.00
JOHN E. ANDERSON PORTION: \$2500.00
JAY F. KATES PORTION: \$500.00
DATE PAID: 7/13/1993

Disclosure 5 of 7

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 12/17/1971

Docket/Case Number: NY 1604

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

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

Resolution: Consent
Resolution Date: 11/11/1972
Sanctions Ordered: Monetary/Fine \$1,500.00
Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMPLAINT # NY 1604 - FILED 12-17-71
OFFER OF SETTLEMENT ACCEPTED 11/11/72
\$1500 J & S PAID 4-21-72

Reporting Source: Firm

Current Status: Final

Allegations: FOR THE PERIOD ENDING MAY 14, 1971, BODELL FAILED AND NEGLECTED TO PREPARE AND MAINTAIN ACCURATELY THE BOOKS AND RECORDS IN THE MANER AND DTAIL AS REQUIRED BY SEC RULE 240.17A-3&4 IN THAT SUBSTANTIAL MONEY DIFFERENCES EXISTED BETWEEN THE FIRMS GENERAL LEDGER AND SUPPORTING DETAILS TO SAME. DO TO THESE DEFICIENCIES THE FIRM DID NOT KNOW IT TRUE NET CAPITAL.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 12/17/1971

Docket/Case Number: NY 1604

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought:

Resolution: Consent
Resolution Date: 11/11/1972
Sanctions Ordered: Monetary/Fine \$1,500.00
Other Sanctions Ordered:



Sanction Details: TOTAL AMOUNT: \$1500.00
APPLICANTS PORTION: \$1500.00
DATE PAID: 04/21/1972

Firm Statement VIOLATION OF SEC RULE 240.17A-3 & 4.

Reporting Source: Firm

Current Status: Final

Allegations: FOR THE PERIOD ENDING MAY 14, 1971, BODELL FAILED AND NEGLECTED TO PREPARE AND MAINTAIN ACCURATELY THE BOOKS AND RECORDS IN THE MANNER AND DETAIL AS REQUIRED BY SEC RULE 240.17A-3&4 IN THAT SUBSTANTIAL MONEY DIFFERENCES EXISTED BETWEEN THE FIRMS GENERAL LEDGER AND SUPPORTING DETAILS TO SAME. DO TO THESE DEFICIENCIES THE FIRM DID NOT KNOW ITS TRUE NET CAPITAL.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 12/17/1971

Docket/Case Number: NY 1604

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 11/11/1972

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered:

Sanction Details: TOTAL AMOUNT: \$1500.00
APPLICANTS PORTION: \$1500.00
DATE PAID: 04/21/1972

Firm Statement VIOLATION OF SEC RULE 240.17A-3 & 4.

Disclosure 6 of 7

Reporting Source: Regulator



Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 05/21/1973

Docket/Case Number: SC-42

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 07/15/1973

Sanctions Ordered: Censure
Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMPLAINT #SC-42 FILED 05/21/73
DECISION 07/15/73: FINAL
FINED.
FINES & COSTS 06/04/73: PAID (FC# NOT GIVEN)

Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO SUPERVISE, OMISSION OF FACTS, FAILED TO MAKE ACCURATE COMPUTATIONS. FIRM FAILED TO DISCLOSE WHETHER IT WAS ACTING IN THE CAPACITY OF A BROKER OR DEALER. FIRM FAILED TO ESTABLISH AND MAINTAIN WRITTEN SUPERVISORY PROCEDURES. FIRM FAILED TO TIMELY COMPUTE RESERVE REQUIREMENTS FOR PERIOD ENDING 1/31/1973.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 05/21/1973

Docket/Case Number: SC-42



Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	07/15/1973
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	TOTAL AMOUNT: \$500.00 APPLICANTS PORTION: \$500.00 DATE PAID: 06/04/1973
Firm Statement	VIOLATION OF ART III, SECTION 1,2,21(A)AND 27(A) OF THE RULES OF FAIR PRACTICE AND SEC RULE 15C3-3.

Disclosure 7 of 7

Reporting Source:	Regulator
Current Status:	Final
Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	10/01/1971
Docket/Case Number:	NY-SC-337
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	11/22/1971
Sanctions Ordered:	Censure



Monetary/Fine \$200.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

NY-SC-337 FILED 10/01/71.
SC ACCEPTED 10/08/71 WHEREIN
RESPONDENT ARE CENSURED AND
FINED \$200 JOINT AND SEVERAL
TO BE FINAL 11/22/71. FINE PAID
10/31/71.

Reporting Source:

Firm

Current Status:

Final

Allegations:

BODELL OVERCASH ANDERSON & CO., INC. ACTING THROUGH ITS
REPRESENTATIVE, JOHN E. ANDERSON, COMPLETED AND SUBMITTED
FORM "Q" DETAILING FINANCIAL CONDITION AS OF JUNE 30, 1971,
INCLUDING A COMPUTATION OF NET CAPITAL AND AGGREGATE
INDEBTEDNESS IN ACCORDANCE WITH SEC RULE 240.15C31 WHICH
FILING WAS INACCURATE AND MISLEADING.

Initiated By:

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated:

10/01/1971

Docket/Case Number:

NY-SC-337

Principal Product Type:

No Product

Other Product Type(s):

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

Censure

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

Resolution:

Decision

Resolution Date:

11/22/1971

Sanctions Ordered:

Monetary/Fine \$200.00

Other Sanctions Ordered:

Sanction Details:

TOTAL AMOUNT: \$200.00
APPLICANTS TOTAL: \$200.00
DATE PAID: 10/31/1971



Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.
The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 1

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-OTHER; ACCOUNT ACTIVITY-SUITABILITY; ACCOUNT RELATED-FAILURE TO SUPERVISE
Arbitration Forum:	NASD
Case Initiated:	06/18/1999
Case Number:	99-01639
Disputed Product Type:	COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE
Sum of All Relief Requested:	\$25,821.89
Disposition:	AWARD AGAINST PARTY
Disposition Date:	06/27/2000
Sum of All Relief Awarded:	\$25,821.89

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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