

BrokerCheck Report

COSSE' INTERNATIONAL SECURITIES, INC.

CRD# 6216

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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)



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 Washington on 04/24/1972.
Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	6

COSSE' INTERNATIONAL SECURITIES, INC.

CRD# 6216
SEC# 8-17106

Main Office Location

3402 E SHORE DRIVE
SEATTLE, WA 98112

Mailing Address

3402 E SHORE DRIVE
SEATTLE, WA 98112

Business Telephone Number

206-624-6651

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: 04/30/2018

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 Washington on 04/24/1972.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

COSSE' INTERNATIONAL SECURITIES, INC.

Doing business as COSSE' INTERNATIONAL SECURITIES, INC.

CRD# 6216

SEC# 8-17106

Main Office Location

3402 E SHORE DRIVE
SEATTLE, WA 98112

Mailing Address

3402 E SHORE DRIVE
SEATTLE, WA 98112

Business Telephone Number

206-624-6651



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): COSSE, CHARLES BRISSAC

600648

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

Position PRESIDENT

Position Start Date 04/1972

Percentage of Ownership 75% or more

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

Is this a public reporting company? No

Legal Name & CRD# (if any): FITZPATRICK, MICHELLE HEYNE

1353177

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

Position VP, CCO & FINOP

Position Start Date 07/2018

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 05/26/1972 to 09/24/2018.



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 6 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities dealer
Municipal securities dealer
Broker or dealer selling tax shelters or limited partnerships in primary distributions

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: 11B COSSE' INTERNATIONAL SECURITIES INC. IS LICENSED TO SELL LIFE INSURANCE.

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 not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

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	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:****Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Date Initiated:** 11/27/1989**Docket/Case Number:** SEA-518-AWC**Principal Product Type:****Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Consent**Resolution Date:** 11/27/1989**Sanctions Ordered:** Censure
Monetary/Fine \$5,000.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON NOVEMBER 27, 1989, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. SEA-518-AWC (DISTRICT NO. 1) SUBMITTED BY RESPONDENTS COSSE' INTERNATIONAL SECURITIES, INC. AND DALE E. TOWERS WAS ACCEPTED; THEREFORE, THEY WERE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT TOWERS, FAILED TO MAINTAIN SUFFICIENT FUNDS IN THE CUSTOMER RESERVE BANK ACCOUNT FOR CERTAIN PERIODS).
\$5,000.00 J&S PAID ON 2/2/90

Reporting Source: Firm**Current Status:** Final**Allegations:** ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER FAILED TO MAINTAIN SUFFICIENT FUNDS IN THE CUSTOMER RESERVE BANK ACCOUNT FOR CERTAIN PERIODS.**Initiated By:** NASD**Date Initiated:** 11/27/1989



Docket/Case Number: SEA-518-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: CENSURE

Resolution: Consent

Resolution Date: 11/27/1989

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: FIRM WAS CENSURED AND FINED \$5,000.

Firm Statement \$5,000.00 J&S PAID ON 2/2/90

Disclosure 2 of 6

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 08/02/1990

Docket/Case Number: SEA-542/C3B900005

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 03/09/1991

Sanctions Ordered: Censure



Monetary/Fine \$2,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMPLAINT NUMBER SEA-542 (DISTRICT NO. 1) FILED AUGUST 2, 1990 AGAINST RESPONDENTS COSSE' INTERNATIONAL SERVICES, INC., CHARLES BRISSAC COSSE' AND DALE E. TOWERS ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS TOWERS AND COSSE', PERFORMED INACCURATE CUSTOMER RESERVE ACCOUNT COMPUTATIONS; FAILED TO PROPERLY DETERMINE THE CORRECT BALANCE IN THE "SPECIAL RESERVE BANK ACCOUNT FOR THE EXCLUSIVE BENEFIT OF CUSTOMERS" WHILE AT THE SAME TIME MAKING WITHDRAWALS FROM THE RESERVE BANK ACCOUNT WHICH WERE DEPOSITED INTO THE FIRM'S OPERATING ACCOUNT; AND, FAILED TO MAINTAIN SUFFICIENT FUNDS IN THE RESERVE BANK ACCOUNT WHICH CREATED DEFICIENCIES.

AMENDED COMPLAINT FILED OCTOBER 2, 1990 IN ORDER TO ADD THE ALLEGATION THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT TOWERS AND COSSE, FAILED TO MAINTAIN MINIMUM REQUIRED NET CAPITAL.

DECISION RENDERED JANUARY 23, 1991, (C3B900005) WHEREIN RESPONDENT MEMBER IS CENSURED AND FINED \$2,000; RESPONDENT COSSE IS CENSURED, FINED \$500 AND ASSESSED COSTS OF \$894.30; AND RESPONDENT TOWERS IS CENSURED, FINED \$1,000 AND REQUIRED TO REQUALIFY BY EXAMINATION AS A FINANCIAL AND OPERATIONS PRINCIPAL. IF NO FURTHER ACTION, DECISION IS FINAL MARCH 9, 1991.

MARCH 9, 1991 - DECISION IS FINAL.
\$2,000.00 PAID ON 2/27/91 INVOICE #91-38-178

Reporting Source: Firm

Current Status: Final

Allegations: COMPLAINT NUMBER SEA-542 (DISTRICT NO. 1) FILED AUGUST 2, 1990 AGAINST RESPONDENTS COSSE' INTERNATIONAL SERVICES, INC. AND CHARLES BRISSAC COSSE' ALLEGING VIOLATIONS OF ARTICLE III,



SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT COSSE', PERFORMED INACCURATE CUSTOMER RESERVE ACCOUNT COMPUTATIONS; FAILED TO PROPERLY DETERMINE THE CORRECT BALANCE IN THE "SPECIAL RESERVE BANK ACCOUNT FOR THE EXCLUSIVE BENEFIT OF CUSTOMERS" WHILE AT THE SAME TIME MAKING WITHDRAWALS FROM THE RESERVE BANK ACCOUNT WHICH WERE DEPOSITED INTO THE FIRM'S OPERATING ACCOUNT; AND, FAILED TO MAINTAIN SUFFICIENT FUNDS IN THE RESERVE BANK ACCOUNT WHICH CREATED DEFICIENCIES. AMENDED COMPLAINT FILED OCTOBER 2, 1990 IN ORDER TO ADD THE ALLEGATION THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT COSSE, FAILED TO MAINTAIN MINIMUM REQUIRED NET CAPITAL.

Initiated By: NASD

Date Initiated: 08/02/1990

Docket/Case Number: SEA-542/C3B900005

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: CENSURE

Resolution: Decision

Resolution Date: 03/09/1991

Sanctions Ordered: Censure
Monetary/Fine \$2,000.00

Other Sanctions Ordered:

Sanction Details: DECISION RENDERED JANUARY 23, 1991, (C3B900005) WHEREIN RESPONDENT MEMBER IS CENSURED AND FINED \$2,000; RESPONDENT COSSE IS CENSURED, FINED \$500 AND ASSESSED COSTS OF \$894.30. IF NO FURTHER ACTION, DECISION IS FINAL MARCH 9, 1991. MARCH 9, 1991 - DECISION IS FINAL.

Firm Statement \$2,000.00 PAID ON 2/27/91 INVOICE #91-38-178

Disclosure 3 of 6

Reporting Source: Regulator

Current Status: Final

**Allegations:****Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Date Initiated:** 06/03/1988**Docket/Case Number:** SEA-451-AWC**Principal Product Type:****Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Consent**Resolution Date:** 06/03/1988**Sanctions Ordered:** Censure
Monetary/Fine \$2,500.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON JUNE 3, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. SEA-451-AWC (DISTRICT NO. 1) SUBMITTED BY RESPONDENTS COSSE' INTERNATIONAL SECURITIES, INC. AND CHARLES B. COSSE' WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$2,500.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - FAILED TO MAINTAIN SUFFICIENT FUNDS IN THE CUSTOMER RESERVE BANK ACCOUNT; FAILED TO ACCURATELY PREPARE THE FIRM'S SECURITIES LEDGER; FAILED TO RECORD WITHIN SEVEN BUSINESS DAYS ON THE FIRM BOOKS AND RECORDS UNRESOLVED SECURITY DIFFERENCES; AND, FAILED TO REGISTER A FINANCIAL AND OPERATIONAL PRINCIPAL). ***** \$2,500 PAID J&S 9-20-88.

Reporting Source: Firm**Current Status:** Final**Allegations:** ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - FAILED TO MAINTAIN SUFFICIENT FUNDS IN THE CUSTOMER RESERVE BANK ACCOUNT; FAILED TO ACCURATELY PREPARE THE FIRM'S SECURITIES



LEDGER; FAILED TO RECORD WITHIN SEVEN BUSINESS DAYS ON THE FIRM BOOKS AND RECORDS UNRESOLVED SECURITY DIFFERENCES; AND, FAILED TO REGISTER A FINANCIAL AND OPERATIONAL PRINCIPAL

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 06/03/1988

Docket/Case Number: SEA-451-AWC

Principal Product Type: Equity - OTC

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: 06/03/1988

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: FIRM WAS CENSURED AND FINED \$2,500 J&S.

Firm Statement WITHOUT ADMITTING OR DENYING THE COMPLAINT ALLEGATIONS, THE FIRM CONSENTED TO THE FOLLOIWNNG FINDINGS: IT FAILED TO MAINTAIN SUFFICIENT FUND IN THE CUSTOMER RESERVE BANKAMOUNT DUE TO BOOKKEEPING ERROR; FAILED TO ACCURATELY PREPARE THE FIRMS SEC LEDGER; FAIL TO RECORD WITHIN 7 DAYS UNRESOLVED SECUTIRY DIFFERENCE AND WAS UNABLE TO REGISTER A FINOP.

Disclosure 4 of 6

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 12/11/1984

Docket/Case Number: SEA-351

Principal Product Type:

**Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Decision**Resolution Date:** 05/20/1987**Sanctions Ordered:** Censure
Monetary/Fine \$15,000.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

COMP #SEA-351, FILED 12/11/84, DIST. #1, ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER COSSE' INTERNATIONAL SECURITIES, INC. ACTING THRU RESPONDENTS CHARLES B. COSSE, AND RONALD E. JOHNSON, SENT TO AT LEAST THIRTEEN CUSTOMERS ASSIGNMENTS WHICH PURPORTED TO TRANSFER FOR PRECIOUS METAL INVESTMENTS TO THE INVESTORS AND, IN CONNECTION WITH THESE ASSIGNMENTS, FAILED TO DISCLOSE THAT THE FIRM FROM WHICH THESE PRECIOUS METALS WERE ORDERED WAS NOT EFFECTING TRANSACTIONS AND WAS NOT RESPONDING TO TELEPHONE CALLS.

ENTERED 9/26/86:

DECISION RENDERED AUGUST 26, 1986, WHEREIN RESPONDENT JOHNSON IS CENSURED, RESPONDENTS MEMBER AND CHARLES COSSE ARE CENSURED AND FINED \$3,000.00, JOINTLY AND SEVERALLY, AND RESPONDENT CHARLES COSSE IS FINED \$3,000.00. IF NO FURTHER ACTION, DECISION IS FINAL OCTOBER 9, 1986.

OCTOBER 8, 1986 - CALLED FOR REVIEW.

BOARD OF GOVERNORS' DECISION RENDERED APRIL 21, 1987, WHEREIN THE FINDINGS MADE ARE AFFIRMED AND THE SANCTIONS ARE INCREASED;



THEREFORE, RESPONDENT JOHNSON IS CENSURED, AND RESPONDENTS MEMBER AND COSSE ARE CENSURED AND FINED \$15,000.00, JOINTLY AND SEVERALLY. IF NO FURTHER ACTION, DECISION IS FINAL MAY 20, 1987.

MAY 20, 1987 - BOARD OF GOVERNORS' DECISION IS FINAL.

**** ENTERED 3-3-88: APPEALED TO S.E.C. 5-27-87. JANUARY 6, 1989 - SECURITIES AND EXCHANGE COMMISSION ISSUED ITS RELEASE AFFIRMING THE FINDINGS MADE AND SANCTIONS IMPOSED BY THE ASSOCIATION'S BOARD OF GOVERNORS. (RELEASE NO. 26424 - ADMIN. PROC. FILE NO. 3-6848). *****MARCH 14, 1989 - APPEALED TO THE UNITED STATES COURT OF APPEALS FOR THE NINTH CIRCUIT*****
 \$15,000.00 J&S PAID ON 3/13/90 INVOICE #90-01-664
 *****COURT APPEAL-WITHDRAWN PER OGC*****

Reporting Source:	Firm
Current Status:	Final
Allegations:	COMP #SEA-351, FILED 12/11/84, DIST. #1, ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER COSSE' INTERNATIONAL SECURITIES, INC. ACTING THRU RESPONDENT CHARLES B. COSSE, SENT TO AT LEAST THIRTEEN CUSTOMERS ASSIGNMENTS WHICH PURPORTED TO TRANSFER FOR PRECIOUS METAL INVESTMENTS TO THE INVESTORS AND, IN CONNECTION WITH THESE ASSIGNMENTS, FAILED TO DISCLOSE THAT THE FIRM FROM WHICH THESE PRECIOUS METALS WERE ORDERED WAS NOT EFFECTING TRANSACTIONS AND WAS NOT RESPONDING TO TELEPHONE CALLS.
Initiated By:	NASD
Date Initiated:	12/11/1984
Docket/Case Number:	SEA-351
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:	CENSURE
Resolution:	Decision



Resolution Date: 05/20/1987

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00

Other Sanctions Ordered:

Sanction Details: FIRM AND COSSE WERE CENSURED AND FINED \$15,000 J&S.

Firm Statement \$15,000.00 J&S PAID ON 3/13/90 INVOICE #90-01-664

Disclosure 5 of 6

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 11/10/1976

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 11/10/1976

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ND 75-181 09/17/75
REL 34-11658
PUBLIC ADMINISTRATIVE PROCEEDINGS ORDERED.
ND 76-218 11/10/76
REL 34-12943
CENSURED. PURSUANT TO AN OFFER OF SETTLEMENT IN WHICH
FIRM CONSENTED TO SANCTION.



Reporting Source: Firm

Current Status: Final

Allegations: DUE TO AGE OF THIS FILING, NO OTHER INFORMATION WAS PROVIDED.

Initiated By: SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 11/10/1976

Docket/Case Number:

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Censure

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 11/10/1976

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: FIRM WAS CENSURED PURSUANT TO OFFER OF SETTLEMENT IN WHICH FIRM CONSENTED TO SANCTIONS.

Disclosure 6 of 6

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 04/18/1975

Docket/Case Number: SEA-SC-31/SEA-247

Principal Product Type:

Other Product Type(s):



Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 02/03/1976

Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement #SEA-SC-31 FILED 04/18/75
(07/11/75 RESP. REJECTED SC COMP. &
DEMANDED REGULAR PROCEDURES)
#SEA-247 FILED 07/09/75
DECISION: 01/06/76: FINED \$250 J&S
ALL RIGHTS WAIVED
01/06/76: FINAL
02/03/76: FC#6429 PAID

Reporting Source: Firm

Current Status: Final

Allegations: DUE TO THE AGE OF THIS FILING, NO OTHER INFORMATION WAS PROVIDED.

Initiated By: NASD

Date Initiated: 04/18/1975

Docket/Case Number: SEA-SC-31/SEA-247

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: Decision

Resolution Date: 02/03/1976



Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details: FIRM WAS FINED \$250.00

End of Report



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