

## BrokerCheck Report

# LEWCO SECURITIES CORP.

CRD# 6661

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 8
Firm History	9
Firm Operations	10 - 36
Disclosure Events	37



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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)



## LEWCO SECURITIES CORP.

CRD# 6661

SEC# 8-17954

### Main Office Location

34 EXCHANGE PLACE  
JERSEY CITY, NJ 07311-3988

### Mailing Address

399 PARK AVENUE, 17TH FLOOR  
NEW YORK, NY 11050

### Business Telephone Number

201 524-8522

## 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 Delaware on 10/26/1973.

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	1
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:** 02/07/2002

**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 Delaware on 10/26/1973.

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.

### LEWCO SECURITIES CORP.

Doing business as LEWCO SECURITIES CORP.

**CRD#** 6661

**SEC#** 8-17954

### Main Office Location

34 EXCHANGE PLACE  
JERSEY CITY, NJ 07311-3988

### Mailing Address

399 PARK AVENUE, 17TH FLOOR  
NEW YORK, NY 11050

### Business Telephone Number

201 524-8522



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	JP MORGAN CHASE & CO.
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	JP MORGAN CHASE & CO. IS 70% DIRECT OWNER
<b>Position Start Date</b>	01/2001
<b>Percentage of Ownership</b>	50% but less than 75%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	BANK OF NEW YORK
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	BONY IS 10% DIRECT OWNER
<b>Position Start Date</b>	01/2001
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	J.P. MORGAN SECURITIES INC. 18718
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	JPMSI IS 20% DIRECT OWNER
<b>Position Start Date</b>	07/1995
<b>Percentage of Ownership</b>	10% but less than 25%



## Firm Profile

### Direct Owners and Executive Officers (continued)

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

No

**Is this a public reporting company?**

No

**Legal Name & CRD# (if any):**

CLAIDEN, RICHARD JOHN

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

Individual

**Position**

DIRECTOR, CHAIRMAN OF THE BOARD OF DIRECTORS

**Position Start Date**

02/2001

**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):**

INGUARDI, MICHAEL PAUL

3146495

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

Individual

**Position**

CHIEF FINANCIAL OFFICER/SECRETARY

**Position Start Date**

05/2001

**Percentage of Ownership**

Less than 5%

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

No

**Is this a public reporting company?**

No

**Legal Name & CRD# (if any):**

KIMMEL, LARRY ALAN

269619



## Firm Profile

### Direct Owners and Executive Officers (continued)

<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR/ CHIEF COMPLIANCE OFFICER
<b>Position Start Date</b>	02/2001
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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**Legal Name & CRD# (if any):** MAROONEY, JAMES

<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR
<b>Position Start Date</b>	06/2000
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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**Legal Name & CRD# (if any):** MCGINNIS, JAMES FRANCIS

	704610
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR
<b>Position Start Date</b>	02/2001
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes

## Firm Profile



### Direct Owners and Executive Officers (continued)

Is this a public reporting company? No

Legal Name & CRD# (if any): SNYDER, M WILSON  
2639520

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

Position DIRECTOR, PRESIDENT, CHIEF OPERATING OFFICER, CHIEF EXECUTIVE OFFICER

Position Start Date 02/2001

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): SORRENTINO, DONALD JOHN  
1071888

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

Position TREASURER, EXECUTIVE VICE PRESIDENT

Position Start Date 02/2001

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

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 03/21/1974 to 01/20/2005.**

## 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 1 type of business.**

#### Types of Business

Other - CLEARANCE AND SETTLEMENT OF SECURITIES TRANSACTIONS, COMPUTER PROCESSING, CUSTODIAL AND OTHER OPERATIONAL SERVICES FOR SCHRODER & CO. INC. AND J.P. MORGAN SECURITIES INC. (PREDECESSOR H&Q LLC)

#### Other Types of Business

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

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

Non-Securities Business Description:

## **Firm Operations**



### **Clearing Arrangements**

**This firm does 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, 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.

**CHASE SECURITIES INC. is under common control with the firm.**

<b>CRD #:</b>	18718
<b>Business Address:</b>	270 PARK AVENUE NEW YORK, NY 10017
<b>Effective Date:</b>	07/01/1995
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	CHASE SECURITIES INC. OWNS 20% OF LEWCO SECURITIES CORP. LEWCO SECURITIES CORP. AND CHASE SECURITIES INC. ARE CONTROL AFFILIATES UNDER THE COMMON CONTROL OF JPMORGAN CHASE AND CO. INC.

**HAMBRECHT & QUIST CAPITAL MANAGEMENT, INC. is under common control with the firm.**

<b>Business Address:</b>	50 ROWES WHARF BOSTON, MA 02110
<b>Effective Date:</b>	09/29/1986
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	H & Q CALIFORNIA OWNS 99% OF HQCM AND H & Q BD SUBSIDIARY CORP. OWNS 1%. BOTH ARE OWNED BY HAMBRECHT & QUIST GROUP. HQCM IS

**Firm Operations****Organization Affiliates (continued)**

A REGISTERED INVESTMENT ADVISOR. H & Q DOESN'T CONTROL OR DIRECT HQCM'S MANAGEMENT OR POLICIES. NEITHER HQCM NOR ITS SOLE DIRECTOR CONTROLS MANAGEMENT OF H & Q.

**HAMBRECHT & QUIST CAPITAL MANAGEMENT, INC. is under common control with the firm.**

**Business Address:** 50 ROWES WHARF  
BOSTON, MA 02110

**Effective Date:** 09/29/1986

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** H & Q CALIFORNIA OWNS 99% OF HQCM AND H & Q BD SUBSIDIARY CORP. OWNS 1%. BOTH ARE OWNED BY HAMBRECHT & QUIST GROUP. HQCM IS A REGISTERED INVESTMENT ADVISOR. H & Q DOESN'T CONTROL OR DIRECT HQCM'S MANAGEMENT OR POLICIES. NEITHER HQCM NOR ITS SOLE DIRECTOR CONTROLS MANAGEMENT OF H & Q.

**CHASE SECURITIES INC. is under common control with the firm.**

**CRD #:** 18718

**Business Address:** 270 PARK AVENUE  
NEW YORK, NY 10017

**Effective Date:** 07/01/1995

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** CHASE SECURITIES INC. OWNS 20% OF LEWCO SECURITIES CORP. LEWCO SECURITIES CORP. AND CHASE SECURITIES INC. ARE CONTROL AFFILIATES UNDER THE COMMON CONTROL OF JPMORGAN CHASE AND CO. INC.

**HAMBRECHT & QUIST CAPITAL MANAGEMENT, INC. is under common control with the firm.**

**Firm Operations****Organization Affiliates (continued)**

**Business Address:** 50 ROWES WHARF  
BOSTON, MA 02110

**Effective Date:** 09/29/1986

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** H & Q CALIFORNIA OWNS 99% OF HQCM AND H & Q BD SUBSIDIARY CORP. OWNS 1%. BOTH ARE OWNED BY HAMBRECHT & QUIST GROUP. HQCM IS A REGISTERED INVESTMENT ADVISOR. H & Q DOESN'T CONTROL OR DIRECT HQCM'S MANAGEMENT OR POLICIES. NEITHER HQCM NOR ITS SOLE DIRECTOR CONTROLS MANAGEMENT OF H & Q.

**JARDINE FLEMING PAKISTAN (PVT) LIMITED is under common control with the firm.**

**Business Address:** 2ND FLOOR, BAHRIA COMPLEX II  
M.T. KHAN ROAD  
KARACHI-74000, PAKISTAN 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** PAKISTAN

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE

**JARDINE FLEMING PAKISTAN BROKING (PRIVATE) LIMITED is under common control with the firm.**

**Business Address:** 2ND FLOOR, BAHRIA COMPLEX II  
M.T. KHAN ROAD  
KARACHI 74000, PAKISTAN 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** PAKISTAN

**Securities Activities:** Yes

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING PRIVATE INVESTMENTS LIMITED is under common control with the firm.**

**Business Address:** 46TH FLOOR, JARDINE HOUSE  
1 CONNAUGHT PLACE  
HONG KONG, HONG KONG 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** BRITISH VIRGIN ISALND

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING SECURITIES (ASIA) LIMITED is under common control with the firm.**

**Business Address:** JARDINE HOUSE  
33-35 REID STREET  
HAMILTON, BERMUDA 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** BERMUDA

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING SECURITIES (ASIA) LIMITED is under common control with the firm.**

**Business Address:** JARDINE HOUSE  
33-35 REID STREET  
HAMILTON, BERMUDA 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Firm Operations****Organization Affiliates (continued)**

**Country:** BERMUDA  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING SECURITIES LIMITED is under common control with the firm.**

**Business Address:** 46TH FLOOR JARDINE HOUSE  
 1 CONNAUGHT PLACE  
 CENTRAL, HONG KONG, HONG KONG 99999  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** HONG KONG  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING TAIWAN INVESTMENT MANAGEMENT LIMITED is under common control with the firm.**

**Business Address:** 17 F 67 TUN HWA S ROAD SEC 2  
 TAPEI, TAIWAN 99999  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** TAIWAN  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING TAIWAN SECURITIES LIMITED is under common control with the firm.**

**Business Address:** 17TH FLOOR, 67 TUN HWA SOUTH ROAD  
 SECTION 2  
 TAIPEI, TAIWAN 99999

**Firm Operations****Organization Affiliates (continued)**

**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** TAIWAN  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING THANAKOM SECURITIES LIMITED is under common control with the firm.**

**Business Address:** 29TH FLOOR, SILOM COMPLEX OFFICE BUILDING  
 191 SILOM ROAD  
 BANGKOK 10500, THAILAND 99999  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** THAILAND  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE

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**JARDINE FLEMING UNIT TRUSTS LIMITED is under common control with the firm.**

**Business Address:** 46TH FLOOR JARDINE HOUSE  
 1 CONNAUGHT PLACE  
 HONG KONG, HONG KONG 99999  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** HONG KONG  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATES

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**JF CHINA MANAGEMENT LIMITED is under common control with the firm.**

**Firm Operations****Organization Affiliates (continued)**

**Business Address:** 46TH FLOOR JARDINE HOUSE  
1 CONNAUGHT PLACE  
HONG KONG, HONG KONG 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** HONG KONG

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

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**JFIM (KOREA) LIMITED is under common control with the firm.**

**Business Address:** 10TH FLOOR, HANWAH BUILDING  
110 SOKONG-DONG  
CHUNG-KU, SEOUL 100-070

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** HONG KONG

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

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**JPM CORRETORA DE CAMBIO, TITULOS E VALORES MOBILIARIOS S.A. is under common control with the firm.**

**Business Address:** AVENIDA BRIGADEIRO FARIA LIMA, 3729  
12TH FLOOR  
SAO PAULO, BRAZIL 04538-3817

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** BRAZIL

**Securities Activities:** Yes

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** No

**Description:** TO OPERATE THE FLOOR OF THE STOCK MARKET EXCHANGE; TO PLACE SECURITIES IN THE MARKET; TO ENGAGE IN THE SALE AND PURCHASE SECURITIES FOR ITS OWN ACCOUNT OR THE ACCOUNT OF OTHERS; TO MANAGE INVESTMENT PORTFOLIOS AND PROVIDE SECURITIES CUSTODY SERVICES.

#### **MORGAN GUARANTY TRUST COMPANY OF NEW YORK is under common control with the firm.**

**Business Address:** 60 WALL STREET  
NEW YORK, NY 10260

**Effective Date:** 01/02/2001

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** No

**Description:** STATE MEMBER CHARTERED TRUST COMPANY WITH BANKING PRIVILEGES.

#### **MORGAN TRUST COMPANY OF FLORIDA, N.A. is under common control with the firm.**

**Business Address:** 109 ROYAL PALM WAY  
PALM BEACH, FL 33480

**Effective Date:** 01/02/2001

**Foreign Entity:** No

**Country:**

**Securities Activities:** No

**Investment Advisory Activities:** No

**Description:** TRUST COMPANY.

#### **MORGAN TRUST COMPANY OF THE CAYMAN ISLANDS LTD. is under common control with the firm.**

**Business Address:** P.O. BOX 694, GEORGETOWN  
C/O CIBC BANK AND TRUST COMPANY (CAYMAN) LIMITED  
CAYMAN ISLANDS, BRITISH WEST INDIES 99999

**Firm Operations****Organization Affiliates (continued)**

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** BRITISH WEST INDIES

**Securities Activities:** No

**Investment Advisory Activities:** No

**Description:** THIS ENTITY IS 100% OWNED, DIRECTLY OR INDIRECTLY, BY J.P. MORGAN & CO. INCORPORATED, THE APPLICANT'S ULTIMATE PARENT.

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**ORD MINNETT CORPORATE FINANCE LIMITED is under common control with the firm.**

**Business Address:** 26, GROSVENOR PLACE  
225 GEORGE STREET  
SYDNEY NSW 2000, AUSTRALIA 00000

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** AUSTRALIA

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**ORD MINNETT FIXED INTEREST LIMITED is under common control with the firm.**

**Business Address:** L14, CITY TOWER  
95 CUSTOMHOUSE QUAY  
WELLINGTON, NEW ZEALAND 00000

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** NEW ZEALAND

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**Firm Operations****Organization Affiliates (continued)**

**ORD MINNETT INC. is under common control with the firm.**

**Business Address:** 320 PARK AVENUE  
NEW YORK, NY 00000

**Effective Date:** 01/02/2001

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**ORD MINNETT INVESTMENT PLANNING (HONG KONG) LIMITED is under common control with the firm.**

**Business Address:** 5/F WING ON CENTRE,  
111 CONNAUGHT ROAD  
CENTRAL, HONG KONG 00000

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** HONG KONG

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**ORD MINNETT INVESTMENT PLANNING PTY LIMITED is under common control with the firm.**

**Business Address:** L26, GROSVENOR PLACE  
225 GEORGE STREET  
SYDNEY, NSW 200, AUSTRALIA 00000

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** AUSTRALIA

**Securities Activities:** Yes

## Firm Operations



### Organization Affiliates (continued)

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**ORD MINNETT JARDINE FLEMING FUTURES -NZ- LIMITED is under common control with the firm.**

**Business Address:** L14, CITY TOWER  
95 CUSTOMHOUSE QUAY  
WELLINGTON, NEW ZEALAND 00000

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** NEW ZEALAND

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**ORD MINNETT JARDINE FLEMING FUTURES LIMITED is under common control with the firm.**

**Business Address:** L26, GROSVENOR PLACE  
225 GEORGE STREET  
SYDNEY, NSW, AUSTRALIA 00000

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** AUSTRALIA

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**ORD MINNETT LIMITED is under common control with the firm.**

**Business Address:** 25 COPTHALL AVENUE  
LONDON, EC2R 7DD, ENGLAND

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Firm Operations****Organization Affiliates (continued)**

**Country:** ENGLAND  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE.

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**ORD MINNETT MANAGEMENT LIMITED is under common control with the firm.**

**Business Address:** LEVEL 26, GROSVENOR PLACE  
 225 GEORGE STREET  
 SYDNEY NSW, AUSTRALIA 2000  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** AUSTRALIA  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATE.

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**ORD MINNETT SECURITIES LIMITED is under common control with the firm.**

**Business Address:** L26, GROSVENOR PLACE  
 225 GEORGE STREET  
 SYDNEY, NSW 2000, AUSTRALIA 00000  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** AUSTRALIA  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE.

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**ORD MINNETT-NZ-LIMITED is under common control with the firm.**

**Business Address:** L14, CITY TOWER  
 95 CUSTOMHOUSE QUAY  
 WELLINGTON, NEW ZEALAND 00000

**Firm Operations****Organization Affiliates (continued)**

**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** NEW ZEALAND  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE.

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**P.T. JARDINE FLEMING NUSANTARA is under common control with the firm.**

**Business Address:** 17TH FLOOR, WORLD TRADE CENTER  
 JL. JEND. SUDIRMAN KAV. 29-31  
 JAKARTA 12920, INDONESIA 99999  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** INDONESIA  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE.

---

**PATERSON ORD MINNETT LIMITED is under common control with the firm.**

**Business Address:** LEVEL 23 EXCHANGE PLAZA  
 2 THE ESPLANADE  
 PERTH WA 6000, AUSTRALIA 00000  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** AUSTRALIA  
**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE.

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**ROBERT DLEMING (BAHRAIN) WLL is under common control with the firm.**

**Firm Operations****Organization Affiliates (continued)**

**Business Address:** P.O. BOX 2467  
BAHRAIN COMMERCIAL COMPLEX, 10TH FLOOR  
MANAMA, BAHRAIN 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** BAHRAIN

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

---

**ROBERT FLEMING (CIS) SA is under common control with the firm.**

**Business Address:** EUROPEAN BANK & BUSINESS CENTRE  
6F ROUTE DE TREVES  
L-2633 SENNINGERBERG, LUXEMBOURG 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** LUXEMBOURG

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

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**ROBERT FLEMING (FRANCE) SA is under common control with the firm.**

**Business Address:** WASHINGTON PLAZA, 40 RUE WASHINGTON  
B.P. 252-08  
75364 PARIS CEDEX 08, FRANCE 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** FRANCE

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Firm Operations****Organization Affiliates (continued)**

**Description:** CONTROL AFFILIATE.

---

**ROBERT FLEMING (FRANCE) SA is under common control with the firm.**

**Business Address:** WASHINGTON PLAZA, 40 RUE WASHINGTON  
B.P. 252-08  
75364 PARIS CEDEX 08, FRANCE 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** FRANCE

**Securities Activities:** Yes

**Investment Advisory  
Activities:** No

**Description:** CONTROL AFFILIATE.

---

**ROBERT FLEMING (POLSKA) SA is under common control with the firm.**

**Business Address:** ATRIUM BUILDING  
23 JANA PAWLA II  
WARSAW 00-854, POLAND 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** POLAND

**Securities Activities:** Yes

**Investment Advisory  
Activities:** No

**Description:** CONTROL AFFILIATE.

---

**ROBERT FLEMING (POLSKA) SA is under common control with the firm.**

**Business Address:** ATRIUM BUILDING  
23 JANA PAWLA II  
WARSAW 00-854, POLAND 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** POLAND

## Firm Operations



### Organization Affiliates (continued)

**Securities Activities:** Yes  
**Investment Advisory Activities:** No  
**Description:** CONTROL AFFILIATE.

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#### **ROBERT FLEMING (SWITZERLAND) AG is under common control with the firm.**

**Business Address:** 1 RUE ETIENNE-DUMONT CASE POSTALE 3192  
 GENEVA, SWITZERLAND 1211  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** SWITZERLAND  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATE.

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#### **ROBERT FLEMING INC. is under common control with the firm.**

**CRD #:** 1711  
**Business Address:** 320 PARK AVENUE  
 NEW YORK, NY 10022  
**Effective Date:** 01/02/2001  
**Foreign Entity:** No  
**Country:**  
**Securities Activities:** Yes  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATE.

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#### **ROBERT FLEMING INVESTMENT MANAGEMENT (JERSEY) LIMITED is under common control with the firm.**

**Business Address:** 28 NEW STREET  
 JE2 3TE  
 ST. HELIER, ISLE OF JERSEY 99999  
**Effective Date:** 01/02/2001

**Firm Operations****Organization Affiliates (continued)**

**Foreign Entity:** Yes  
**Country:** JERSEY  
**Securities Activities:** No  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATE.

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**ROBERT FLEMING SIM SPA is under common control with the firm.**

**Business Address:** VIA A MANZONI 12  
MILAN, 20121, ITALY 999  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** ITALY  
**Securities Activities:** Yes  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATE.

---

**ROBERT FLEMING SIM SPA is under common control with the firm.**

**Business Address:** VIA A MANZONI 12  
MILAN, 20121, ITALY 99999  
**Effective Date:** 01/02/2001  
**Foreign Entity:** Yes  
**Country:** ITALY  
**Securities Activities:** Yes  
**Investment Advisory Activities:** Yes  
**Description:** CONTROL AFFILIATE.

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**ROBERT FLEMING SPAIN AV SA is under common control with the firm.**

**Business Address:** PASEO DE LA CASTYELLANA 21-4A PLANTA 28046  
MADRID, SPAIN 99999  
**Effective Date:** 01/02/2001

## Firm Operations



### Organization Affiliates (continued)

<b>Foreign Entity:</b>	Yes
<b>Country:</b>	SPAIN
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	CONTROL AFFILIATE.

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#### SAVE & PROSPER EQUITY PLAN MANAGERS LIMITED is under common control with the firm.

<b>Business Address:</b>	FINSBURY DIALS 20 FINSBURY STREET LONDON, ENGLAND EC2Y 9AQ
<b>Effective Date:</b>	01/02/2001
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	ENGLAND
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	CONTROL AFFILIATE.

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#### SAVE & PROSPER GROUPLIMITED is under common control with the firm.

<b>Business Address:</b>	FINSBURY DIALS 20 FINSBURY STREET LONDON, ENGLAND EC2Y 9AQ
<b>Effective Date:</b>	01/02/2001
<b>Foreign Entity:</b>	Yes
<b>Country:</b>	ENGLAND
<b>Securities Activities:</b>	No
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	CONTROL AFFILIATE.

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#### SAVE & PROSPER INSURANCE LIMITED is under common control with the firm.

<b>Business Address:</b>	FINSBURY DIALS
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**Firm Operations****Organization Affiliates (continued)**

20 FINSBURY SREET  
LONDON, ENGLAND EC2Y 9AY

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** ENGLAND

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

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**SAVE & PROSPER PENSION LIMITED is under common control with the firm.**

**Business Address:** FINDBURY DIALS  
20 FINSUBRY STREET  
LONDON, ENGLAND EC2Y 9AQ

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** ENGLAND

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

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**SAVE & PROSPER SECURITIES LIMITED is under common control with the firm.**

**Business Address:** FINBURY DIALS  
20 FINSBURY STREET  
LONDON, ENGLAND EC2Y 9AY

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** ENGLAND

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

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## Firm Operations



### Organization Affiliates (continued)

#### **SIM CO GEF SPA is under common control with the firm.**

**Business Address:** VIA NAPO PORRIANI 31  
MILAN, ITALY 20124

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** ITALY

**Securities Activities:** No

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE

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#### **STOCKBROKERS BOTSWANA LIMITED is under common control with the firm.**

**Business Address:** 1ST FLOOR, DEBSWANA HOUSE, THE MALL  
GABORONE, BOTSWANA 99999

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** BOTSWANA

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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#### **T. ROWE FLEMING ASSET MANAGEMENT LIMITED is under common control with the firm.**

**Business Address:** FINSBURY DIALS  
20 FINSBURY STREET  
LONDON, ENGLAND EC2Y 9AQ

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** ENGLAND

**Securities Activities:** No

**Investment Advisory Activities:** Yes

## Firm Operations



### Organization Affiliates (continued)

**Description:** CONTROL AFFILIATE.

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**THE BEACON GROUP CAPITAL SERVICES LLC is under common control with the firm.**

**Business Address:** 399 PARK AVENUE  
NEW YORK, NY 1022

**Effective Date:** 01/02/2001

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** No

**Description:** CONTROL AFFILIATE.

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**THE CHASE MANHATTAN BANK is under common control with the firm.**

**Business Address:** 270 PARK AVENUE  
NEW YORK, NY 10017

**Effective Date:** 01/02/2001

**Foreign Entity:** No

**Country:**

**Securities Activities:** Yes

**Investment Advisory Activities:** Yes

**Description:** CONTROL AFFILIATE.

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**THE CHASE MANHATTAN PRIVATE BANK (SWITZERLAND) is under common control with the firm.**

**Business Address:** 63 RUE DE RHONE  
P.O. BOX 476 CH-11204  
GENEVA, SWITZERLAND 0000

**Effective Date:** 01/02/2001

**Foreign Entity:** Yes

**Country:** SWITZERLAND

**Securities Activities:** Yes

**Investment Advisory** Yes

## Firm Operations



### Organization Affiliates (continued)

#### Activities:

**Description:** CONTROL AFFILIATE.

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**This firm is 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

**BANK OF NEW YORK is a National Bank and controls the firm.**

**Business Address:** ONE WALL STREET  
NEW YORK, NY 10286

**Effective Date:** 01/02/2001

**Description:** BANK OF NEW YORK DIRECTLY OWNS 10% OF LEWCO SECURITIES CORP.

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**JPMORGAN CHASE AND CO. INC. is a Bank Holding Company and controls the firm.**

**Business Address:** 270 PARK AVENUE  
NEW YORK, NY 10017

**Effective Date:** 01/02/2001

**Description:** JP MORGAN CHASE AND CO. INC. DIRECTLY OWNS 70% OF LEWCO SECURITIES INC.

---

**BANK OF NEW YORK is a National Bank and controls the firm.**

**Business Address:** ONE WALL STREET  
NEW YORK, NY 10286

**Effective Date:** 01/02/2001

**Description:** BANK OF NEW YORK DIRECTLY OWNS 10% OF LEWCO SECURITIES CORP.

---

**JPMORGAN CHASE AND CO. INC. is a Bank Holding Company and controls the firm.**

**Business Address:** 270 PARK AVENUE  
NEW YORK, NY 10017

**Effective Date:** 01/02/2001

## Firm Operations



### Organization Affiliates (continued)

**Description:** JP MORGAN CHASE AND CO. INC. DIRECTLY OWNS 70% OF LEWCO SECURITIES INC.

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#### **BANK OF NEW YORK is a National Bank and controls the firm.**

**Business Address:** ONE WALL STREET  
NEW YORK, NY 10286

**Effective Date:** 01/02/2001

**Description:** BANK OF NEW YORK DIRECTLY OWNS 10% OF LEWCO SECURITIES CORP.

---

#### **JPMORGAN CHASE & CO. INC. is a Bank Holding Company and controls the firm.**

**Business Address:** 270 PARK AVENUE  
NEW YORK, NY 10017

**Effective Date:** 01/02/2001

**Description:** JP MORGAN CHASE AND CO. INC. DIRECTLY OWNS 70% OF LEWCO SECURITIES INC.

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## 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.

	<b>Pending</b>	<b>Final</b>	<b>On Appeal</b>
Regulatory Event	0	1	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 1

**Reporting Source:** Regulator  
**Current Status:** Final



**Allegations:**

**Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Date Initiated:** 10/04/1995

**Docket/Case Number:**

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** Consent

**Resolution Date:** 10/04/1995

**Sanctions Ordered:** Disgorgement/Restitution  
Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** 11-7-95-SEC NEWS DIGEST ISSUE NO. 95-193, DATED OCTOBER 25, 1995, ENFORCEMENT PROCEEDINGS DISCLOSES; LEWCO SECURITIES CORP. CONSENTS TO ORDER REQUIRING COMPANY TO CEASE AND DESIST FROM VIOLATIONS OF THE CREDIT EXTENSION REGULATIONS; THE COMMISSION TODAY ANNOUNCED THAT IT INSTITUTED AND SETTLED ADMINISTRATIVE PROCEEDINGS AGAINST LEWCO SECURITIES CORPORATION (LEWCO), A REGISTERED BROKER-DEALER LOCATED IN NEW YORK CITY, NY. WITHOUT ADMITTING OR DENYING THE FINDINGS THEREIN, LEWCO CONSENTED TO THE ISSUANCE OF AN ORDER FINDING THAT LEWCO VIOLATED THE CREDIT EXTENSION PROVISIONS OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT) AND REGULATIONS PROMULGATED BY THE BOARD GOVERNORS OF THE FEDERAL RESERVE SYSTEM (FEDERAL RESERVE) AND ORDERING IT TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS, OR FUTURE VIOLATIONS OF, SECTION 7(C) OF THE EXCHANGE ACT AND REGULATION T PROMULGATED BY THE FEDERAL



RESERVE. THE ORDER FINDS THAT, IN VIOLATION OF THE MARGIN REGULATIONS, LEWCO FACILITATED A FREE-RIDING SCHEME BY EXTENDING MILLIONS OF DOLLARS OF CREDIT TO PAY FOR SECURITIES PURCHASES AND SETTLE TRADES THAT ITS CUSTOMERS COULD NOT LEGITIMATELY FINANCE. LEWCO WAS ORDERED TO PAY DISGORGEMENT IN THE AMOUNT OF \$11,402.50, REPRESENTING THE FEES THAT IT RECEIVED FOR CLEARING THE VIOLATIVE TRADES, PLUS REASONABLE INTEREST OF \$1,548.36 TO THE UNITED STATES TREASURY. LEWCO WAS FURTHER ORDERED TO RETAIN AN INDEPENDENT CONSULTANT TO REVIEW LEWCO'S CLEARING OPERATIONS AND TO MAKE SUCH RECOMMENDATIONS AS ARE NECESSARY WITH RESPECT TO LEWCO'S POLICIES AND PROCEDURES SO THAT THEY MAY BE REASONABLY EXPECTED TO PREVENT AND DETECT VIOLATIONS OF REGULATION T. REL 34-36334

+7/26/96 SEC DOCKET VOL. 60 NO. 7, DATED OCTOBER 31, 1995, PAGE 1239, DISCLOSES; THE SEC ORDER OF CEASE AND DESIST AGAINST RESPONDENT LEWCO SECURITIES CORPORATION WAS ISSUED ON OCTOBER 4, 1995. REL. 36334

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**Reporting Source:** Firm

**Current Status:** Final

**Allegations:** VIOLATED THE CREDIT EXTENSION PROVISIONS OF THE SECURITIES EXCHANGE ACT OF 1934 AND REGULATIONS PROMULGATED BY THE BOARD GOVERNORS OF THE FEDERAL RESERVE SYSTEM, SECTION 7(C) OF THE EXCHANGE ACT AND REGULATION T PROMULGATED BY THE FEDERAL RESERVE.

**Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Date Initiated:** 10/04/1995

**Docket/Case Number:** VOL. 60 NO. 7

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

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:** Cease and Desist



<b>Other Sanction(s)/Relief Sought:</b>	DISGORGEMENT
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	10/04/1995
<b>Sanctions Ordered:</b>	Disgorgement/Restitution Cease and Desist/Injunction
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	SEE ABOVE

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

### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Type of Event:</b>	ARBITRATION
<b>Allegations:</b>	ACCOUNT RELATED-FAILURE TO SUPERVISE; EXECUTIONS-FAILURE TO EXECUTE; NO OTHER CONTROVERSY INVOLVED
<b>Arbitration Forum:</b>	NASD
<b>Case Initiated:</b>	08/04/1992
<b>Case Number:</b>	<a href="#">92-02402</a>
<b>Disputed Product Type:</b>	COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE
<b>Sum of All Relief Requested:</b>	\$2,029.84
<b>Disposition:</b>	AWARD AGAINST PARTY
<b>Disposition Date:</b>	03/16/1993
<b>Sum of All Relief Awarded:</b>	\$1,000.00

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

**End of Report**



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