



BrokerCheck Report

SECURITIES SETTLEMENT CORPORATION

CRD# 7129

Report # 557181 generated on Thursday, June 28, 2007.

Dear Investor:

FINRA has generated the following BrokerCheck report for **SECURITIES SETTLEMENT CORPORATION**.

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

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

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 Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

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

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

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

SECURITIES SETTLEMENT CORPORATION

CRD# 7129

SEC# 8-19430

Main Office Location

570 MAIN STREET
ISLIP, NY 11751
United States

Mailing Address

570 MAIN STREET
ISLIP, NY 11751
United States

Report Summary for this Firm

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

Firm Profile

This firm is classified as CORPORATION.

This firm was formed in Delaware on
9/25/1975.

Its fiscal year ends in September.

Firm Operations

This firm is no longer registered with
FINRA.

Disclosure of Arbitration Awards, Disciplinary and Regulatory Events

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



Firm Profile

This firm is classified as a CORPORATION.

This firm was formed in Delaware on 9/25/1975.

Its fiscal year ends in September.

Firm Names and Locations

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

SECURITIES SETTLEMENT CORPORATION

Doing business as SECURITIES SETTLEMENT CORPORATION

CRD# 7129

SEC# 8-19430

Main Office Location

570 MAIN STREET
ISLIP, NY 11751
United States

Mailing Address

570 MAIN STREET
ISLIP, NY 11751
United States

Business Telephone Number

516-581-0150



Firm Profile

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

Direct Owners and Executive Officers

Information not available – see Summary Page.



Firm Profile

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

Indirect Owners

Information not available – see Summary Page.



Firm History

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

Information not available – see Summary Page.



Firm Operations

Registrations

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

This firm is no longer registered with FINRA.

The firm's registration with FINRA was from 1/26/1976 to 8/18/1992.

SEC Registration Questions

This firm was registered with the SEC as:

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

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

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



Types of Business

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

This firm conducted 10 types of business.

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



Other Types of Business

This firm does engage in other business.

Other Business Description:	10T CARRYING AND CLEARANCE OF ACCOUNTS ON A FULLY DISCLOSED BASIS ON BEHALF OF OTHER BROKER-DEALERS.
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This firm does not engage in other non-securities business.



Clearing Arrangements

Information not available – see Summary Page

Introducing Arrangements

Information not available – see Summary Page

Industry Arrangements

Information not available – see Summary Page

Organization Affiliates

Information not available – see Summary Page



Disclosure of Arbitration Awards, Disciplinary and Regulatory Events

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



Possible multiple reporting sources – please note:

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



Disclosure Event Details

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

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

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

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

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

Regulatory - Final

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

Disclosure

Reporting Source:	REGULATOR (U6)
Current Status:	FINAL
Allegations:	SEPTEMBER 14, 1994 -- CHARGES ISSUED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. -- CHARGE I - SECURITIES SETTLEMENT CORP., BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, VIOLATED SECURITIES AND EXCHANGE COMMISSION ("SEC") R
Initiated By:	NYSE DIVISION OF ENFORCEMENT
Date Initiated:	
Docket/Case Number:	
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	CAF
Resolution Date:	4/3/1995
Sanctions Ordered:	
Other Sanctions Ordered:	



Sanction Details:



Regulatory - Final

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Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: Securities And Exchange Commission

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

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

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

Resolution: CEN

Resolution Date: 7/14/1992

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: SEC DOCKET VOLUME 51 NO. 16, DATED JULY 16, 1992, PAGE 1705 DISCLOSES:
"IN THE MATTER OF SECURIITES SETTLEMENT CORPORATION: SSC, WITH ITS
PRINCIPAL PLACE OF BUSINESS LOCATED AT 61 BROADWAY, NEW YORK, NEW
YORK 10006, HAS BEEN REGISTERED WITH THE COMMISSIO



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Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NEW YORK STOCK EXCHANGE

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

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

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

Resolution: FIN

Resolution Date: 11/28/1990

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON NOVEMBER 28, 1990 NEW YORK STOCK EXCHANGE HAS DETERMINED TO IMPOSE A

FINE OF \$1,000.00 AGAINST SECURITIES SETTLEMENT CORPORATION (FORMER NAME OF JESUP, JOSEPHTHAL & CO., INC.) FOR FAILURE TO COMPLY WITH AN



EXCHANGE REQUEST TO FURNISH INFORMATION WITHI



Regulatory - Final

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Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: SECURITIES AND EXCHANGE COMMISSION

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

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

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

Resolution: FIN

Resolution Date: 3/30/1989

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ^7/2/90^ SEC LITIGATION, ACTIONS AND PROCEEDINGS BULLETIN FOR THE
QUARTER ENDING 6/30/89 (VOLUME 55, BULLETIN 02, PAGE 256) ISCLOSSES: THE
NEW YORK STOCK EXCHANGE FINED THE SECURITIES SETTLEMENT
CORPORATION \$2,500.00 ON MARCH 30, 1989 BASED ON A VIOLATIO



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Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NEW YORK STOCK EXCHANGE

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

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

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

Resolution: FIN

Resolution Date: 5/16/1988

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: SECURITIES SETTLEMENT CORPORATION ADMITTED TO VIOLATING NYSE RULE
132.30 FOR FAILURE TO SUBMIT AUDIT TRAIL DATA. A FINE OF \$1,000.00 WAS
PAID ON MAY 16, 1988. ****SEE BDA WITH JDS 10081-21588. ****



Regulatory - Final

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Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NEW YORK STOCK EXCHANGE

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

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

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

Resolution:

Resolution Date: 4/14/1988

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: 7/8/88-FORM U6 (8018-18188) DISCLOSES: SECURITIES SETTLEMENT CORPORATION, A MEMBER ORGANIZATION, VIOLATED SEC REGULATION: (A) 240.15c3-3(g) BY MAKING WITHDRAWALS FROM ITS "SPECIAL RESERVE BANK ACCOUNT FOR THE EXCLUSIVE BENEFIT OF CUSTOMERS" WITHOUT FIRST



Regulatory - Final

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Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NEW YORK STOCK EXCHANGE

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

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

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

Resolution: CAF

Resolution Date: 10/5/1984

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: EXCHANGE HEARING PANEL DECISION 84-98. SECURITIES SETTLEMENT CORPORATION, A MEMBER FIRM, FAILED TO SUPERVISE AS REQUIRED BY EXCHANGE RULE 342(a), WITH RESPECT TO 1) ITS CONTROL OF THE TREATMENT ACCORDED TO SECURITIES RECEIVED VIA CLEARING AGENCIES 2)



ITS



Regulatory - Final

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

Disclosure

Reporting Source: REGULATOR (U6)

Current Status: FINAL

Allegations:

Initiated By: NEW YORK STOCK EXCHANGE

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

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

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

Resolution: CAF

Resolution Date: 12/20/1982

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: NYSE EXCHANGE DECISION NO. 82-156, DECEMBER 20, 1982. THE FIRM WAS
FOUND BY THE NYSE TO HAVE VIOLATED SECURITIES LAWS AND
REGULATIONS



IN ITS PREPARATION AND REPORTING OF ITS NET CAPITAL; FAILED TO
COMPUTE AND MAINTAIN THE PROPER AMOUNT OF FUNDS ON DEPOS



Customer Dispute – Award/Judgment

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

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

Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	UNKNOWN TYPE OF CONTROVERSY
Arbitration Forum:	NASD
Case Initiated:	PRECRAFTIS
Case Number:	89-01766
Disputed Product Type:	UNKNOWN TYPE OF SECURITIES
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	06/18/1990
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL)



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-OTHER; EXECUTIONS-FAILURE TO EXECUTE; EXECUTIONS-OTHER; TRADING DISPUTES-OTHER
Arbitration Forum:	NASD
Case Initiated:	04/20/1990
Case Number:	90-01086
Disputed Product Type:	OPTIONS; STOCK INDEX FUTURES
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$160,000.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	01/06/1992
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$80,000.00 JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$15,286.82 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	UNAUTHORIZED TRADING; ACCOUNT RELATED-ERRORS-CHARGES; OTHER; ACCOUNT RELATED-OTHER
Arbitration Forum:	NASD
Case Initiated:	07/26/1990
Case Number:	90-00699
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$990.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	02/24/1992
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$27.50 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	EXECUTIONS-FAILURE TO EXECUTE
Arbitration Forum:	NASD
Case Initiated:	03/28/1990
Case Number:	90-00675
Disputed Product Type:	WARRANTS/RIGHTS
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$17,485.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	08/09/1991
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$6,039.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-OTHER
Arbitration Forum:	NASD
Case Initiated:	01/01/1990
Case Number:	90-00208
Disputed Product Type:	UNKNOWN TYPE OF SECURITIES
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$9,500.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	05/23/1990
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$6,500.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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

Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	NOT PROVIDED
Arbitration Forum:	NASD
Case Initiated:	12/27/1989
Case Number:	89-03434
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$211,914.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	05/08/1992
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$256,095.79 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

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Type of Event:	ARBITRATION
Allegations:	UNKNOWN TYPE OF CONTROVERSY
Arbitration Forum:	NASD
Case Initiated:	PRECRAFTIS
Case Number:	88-00299
Disputed Product Type:	UNKNOWN TYPE OF SECURITIES
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	08/22/1989
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL)



Customer Dispute – Award/Judgment

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Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	NOT PROVIDED
Arbitration Forum:	NASD
Case Initiated:	10/05/1989
Case Number:	89-01979
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$197,250.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	01/07/1991
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$16,900.00



Customer Dispute – Award/Judgment

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

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

Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY; UNKNOWN TYPE OF CONTROVERSY
Arbitration Forum:	NASD
Case Initiated:	01/14/1992
Case Number:	91-03817
Disputed Product Type:	WARRANTS/RIGHTS; COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$8,437.68; OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	10/09/1992
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$8,437.68 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$2,537.63 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	NOT PROVIDED
Arbitration Forum:	NASD
Case Initiated:	04/14/1989
Case Number:	89-00964
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$20,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	04/09/1991
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$19,000.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-ERRORS-CHARGES
Arbitration Forum:	NASD
Case Initiated:	01/01/1989
Case Number:	89-00781
Disputed Product Type:	UNKNOWN TYPE OF SECURITIES
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$2,757.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	01/18/1990
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$2,657.00



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	UNKNOWN TYPE OF CONTROVERSY
Arbitration Forum:	NASD
Case Initiated:	PRECRAFTIS
Case Number:	88-03280
Disputed Product Type:	UNKNOWN TYPE OF SECURITIES
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	11/06/1989
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL)



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-OTHER
Arbitration Forum:	NASD
Case Initiated:	PRECRAFTIS
Case Number:	88-01992
Disputed Product Type:	OPTIONS
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$25,685.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	06/01/1989
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$20,685.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-BREACH OF CONTRACT
Arbitration Forum:	NASD
Case Initiated:	06/08/1990
Case Number:	88-01015
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$100,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	06/07/1991
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$20,863.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-NEGLIGENCE; CHURNING; SUITABILITY
Arbitration Forum:	NASD
Case Initiated:	12/29/1989
Case Number:	89-02728
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$21,795.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	02/11/1991
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,155.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION; UNAUTHORIZED TRADING
Arbitration Forum:	NASD
Case Initiated:	03/27/1991
Case Number:	91-00408
Disputed Product Type:	COMMON STOCK; UNKNOWN TYPE OF SECURITIES; UNKNOWN TYPE OF SECURITIES; UNKNOWN TYPE OF SECURITIES
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$53,262.56
Disposition:	AWARD AGAINST PARTY
Disposition Date:	06/11/1992
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$20,151.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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

Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	OMISSION OF FACTS; BRCH OF FIDUCIARY DT; SUITABILITY; MISREPRESENTATION
Arbitration Forum:	NASD
Case Initiated:	03/22/1994
Case Number:	94-00815
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$25,816.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	03/24/1995
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,000.00 JOINTLY AND SEVERALLY



Customer Dispute – Award/Judgment

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Disclosure

Reporting Source:	NASD
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-ERRORS-CHARGES
Arbitration Forum:	NASD
Case Initiated:	05/01/1990
Case Number:	90-01202
Disputed Product Type:	COMMON STOCK
Relief Sought:	ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$12,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	01/23/1992
Relief Awarded:	ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$12,099.29 JOINTLY AND SEVERALLY



About this BrokerCheck Report

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

Who provides the information in BrokerCheck?

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

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

How current is the information contained in BrokerCheck?

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

What information is NOT disclosed through BrokerCheck?

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

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- Questions Frequently Asked about BrokerCheck Reports: http://www.finra.org/brokercheck_faq
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