

## BrokerCheck Report

# SPENCER-WINSTON SECURITIES CORPORATION

CRD# 8300

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 13
Disclosure Events	14



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



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



## SPENCER-WINSTON SECURITIES CORPORATION

CRD# 8300

SEC# 8-24995

### Main Office Location

45 WEST 47TH STREET SUITE 402  
NEW YORK, NY 10036-2825  
Regulated by FINRA New York Office

### Mailing Address

45 WEST 47TH STREET SUITE 402  
NEW YORK, NY 10036-2825

### Business Telephone Number

(212) 840-2444

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 04/30/1980.

Its fiscal year ends in April.

### 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 firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 10 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 11 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### 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	2
Arbitration	5



## Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 04/30/1980.

Its fiscal year ends in April.

## 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.

### SPENCER-WINSTON SECURITIES CORPORATION

Doing business as SPENCER-WINSTON SECURITIES CORPORATION

CRD# 8300

SEC# 8-24995

### Main Office Location

45 WEST 47TH STREET SUITE 402  
NEW YORK, NY 10036-2825

Regulated by FINRA New York Office

### Mailing Address

45 WEST 47TH STREET SUITE 402  
NEW YORK, NY 10036-2825

### Business Telephone Number

(212) 840-2444



## 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>	ECHMAN, OSCAR 714304
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRESIDENT
<b>Position Start Date</b>	05/1980
<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>	GREENVEST GROUP LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	PARTNER
<b>Position Start Date</b>	11/2003
<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>	BRUNO, VINCENT MICHAEL 1845833
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CCO
<b>Position Start Date</b>	07/2015

Firm Profile



Direct Owners and Executive Officers (continued)

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

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



### Indirect Owners

Legal Name & CRD# (if any):	WEISZ, JASON 1793242
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	GREENVEST GROUP LLC
Relationship to Direct Owner	PARTNER
Relationship Established	09/2002
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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## 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 currently registered with the SEC, 1 SRO and 10 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	08/01/1980

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

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

A government securities broker or dealer only:    No

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

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	09/02/1980

## Firm Operations



### Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	12/11/1992
Colorado	Approved	11/01/2004
Florida	Approved	11/05/1990
Illinois	Approved	09/17/2004
Maryland	Approved	02/08/2019
Nevada	Approved	11/26/2003
New Jersey	Approved	06/22/1990
New York	Approved	01/18/1983
Pennsylvania	Approved	04/07/1992
Washington	Approved	11/09/2004



## 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 11 types of businesses.**

#### Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Put and call broker or dealer or option writer
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities

## Firm Operations



### Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

### Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

<b>Name:</b>	WEDBUSH SECURITIES INC.
<b>CRD #:</b>	877
<b>Business Address:</b>	1000 WILSHIRE BLVD LOS ANGELES, CA 90017
<b>Effective Date:</b>	09/15/2022
<b>Description:</b>	ACCORDING TO STANDARD INDUSTRY PRACTICE IN FULLY DISCLOSED CLEARING AGREEMENTS, WEDBUSH SECURITIES HOLDS AND MAINTAINS CUSTOMERS SECURITIES AND FUNDS FOR COMPLIANCE WITH SEC FINANCIAL RESPONSABILITY RULES.

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## Firm Operations

### Industry Arrangements



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

**Name:** WEDBUSH SECURITIES INC.  
**CRD #:** 877  
**Business Address:** 1000 WILSHIRE BLVD  
LOS ANGELES, CA 90017  
**Effective Date:** 09/15/2022  
**Description:** ACCORDING TO STANDARD INDUSTRY PRACTICE IN FULLY DISCLOSED CLEARING AGREEMENTS, WEDBUSH SECURITIES HOLDS AND MAINTAINS CUSTOMERS SECURITIES AND FUNDS FOR COMPLIANCE WITH SEC FINANCIAL RESPONSABILITY RULES.

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

**Name:** WEDBUSH SECURITIES INC.  
**CRD #:** 877  
**Business Address:** 1000 WILSHIRE BLVD  
LOS ANGELES, CA 90017  
**Effective Date:** 09/15/2022  
**Description:** ACCORDING TO STANDARD INDUSTRY PRACTICE IN FULLY DISCLOSED CLEARING AGREEMENTS, WEDBUSH SECURITIES HOLDS AND MAINTAINS CUSTOMERS SECURITIES AND FUNDS FOR COMPLIANCE WITH SEC FINANCIAL RESPONSABILITY RULES.

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

**Name:** WEDBUSH SECURITIES INC.  
**CRD #:** 877  
**Business Address:** 1000 WILSHIRE BLVD  
LOS ANGELES, CA 90017  
**Effective Date:** 09/15/2022  
**Description:** ACCORDING TO STANDARD INDUSTRY PRACTICE IN FULLY DISCLOSED CLEARING AGREEMENTS, WEDBUSH SECURITIES HOLDS AND MAINTAINS CUSTOMERS SECURITIES AND FUNDS FOR COMPLIANCE WITH SEC FINANCIAL RESPONSABILITY RULES.

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### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

## Firm Operations

### Industry Arrangements (continued)



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	2	0
Arbitration	N/A	5	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 2

**Reporting Source:** Regulator

**Current Status:** Final



**Allegations:** FINRA RULE 2010, NASD RULES 2210(D)(1)(A), 2210 (D)(1)(B): THE FIRM DISTRIBUTED TO APPROXIMATELY 45 RETAIL CUSTOMERS AND THREE POTENTIAL RETAIL CUSTOMERS AN EMAIL ABOUT A BANK CD THAT CONTAINED MISLEADING, EXAGGERATED AND UNWARRANTED STATEMENTS AND OMITTED MATERIAL FACTS.

**Initiated By:** FINRA

**Date Initiated:** 07/06/2012

**Docket/Case Number:** 2010025763701

**Principal Product Type:** CD(s)

**Other Product Type(s):**

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

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

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 07/06/2012

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Sanctions Ordered:** Censure  
Monetary/Fine \$20,000.00

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE IT IS CENSURED AND FINED \$20,000. PAID IN FULL ON JULY 17, 2012.

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**Reporting Source:** Firm

**Current Status:** Final

**Allegations:** FIRM VIOLATED NASD RULE 2210(D)(1)(A)(B)AND FINRA RULE 2010.FIRM SUBMITTED ("AWC").FIRM DISTRIBUTED TO 45 RETAIL CUSTOMERS AND 3 POTENTIAL ONES, AN EMAIL ABOUT A BANK CD THAT CONTAINED MISLEADING,EXAGGERATED AND UNWARRANTED STATEMENTS AND



OMITTED MATERIEL FACTS.

**Initiated By:** FINANCIAL INDUSTRY REGULATORY AUTHORITY

**Date Initiated:** 07/06/2012

**Docket/Case Number:** 20100257637-01

**Principal Product Type:** No Product

**Other Product Type(s):**

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

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

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 07/06/2012

**Sanctions Ordered:** Censure  
Monetary/Fine \$20,000.00

**Other Sanctions Ordered:** NO OTHER SANCTIONS

**Sanction Details:** MONETARY FINE \$ 20000.00 AND SANCTION.

## Disclosure 2 of 2

**Reporting Source:** Regulator

**Current Status:** Final

**Allegations:**

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:** 10/20/1988

**Docket/Case Number:** NY-6072

**Principal Product Type:**

**Other Product Type(s):**

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

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

**Resolution:** Consent



**Resolution Date:** 12/28/1988

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

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** COMPLAINT NUMBER NY-6072 (DISTRICT NO. 12) FILED OCTOBER 20, 1988 AGAINST RESPONDENTS SPENCER-WINSTON SECURITIES CORPORATION AND OSCAR ECHMAN ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT ECHMAN, FAILED TO COMPLY WITH SCHEDULE C TO THE ASSOCIATION'S BY-LAWS BY NOT DESIGNATING AND REGISTERING A LIMITED PRINCIPAL-FINANCIAL AND OPERATIONS AT TIMES WHEN ITS BUSINESS ACTIVITY REQUIRED.

DECISION RENDERED DECEMBER 28, 1988, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000.00, JOINTLY AND SEVERALLY AND RESPONDENT ECHMAN IS SUSPENDED FOR FIVE (5) BUSINESS DAYS FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION AS A GENERAL SECURITIES PRINCIPAL.

\$5,000 PAID J&S 2/14/89 - DEPOSIT #015

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**Reporting Source:** Firm

**Current Status:** Final

**Allegations:** CONDUCTING A SECURITIES BUSINESS WITHOUT A REGISTERED FINANCIAL AND OPERATIONS PRINCIPAL.

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS

**Date Initiated:** 10/20/1988

**Docket/Case Number:** NY 6072

**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:** \$5000.00 FINE**Resolution:** Decision**Resolution Date:** 12/28/1988**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00  
Suspension**Other Sanctions Ordered:****Sanction Details:** THREE DAY SUSPENSION.THE FIRM WAS CENSURED AND FINED \$5000.00 JOINTLY AND SEVERALLY PAID . CONTROL AFFILIATE WAS SUSPENDED FOR FIVE (5) BUSINESS DAYS FROM ASSOCIATING WITH ANY ORGANIZATION AS A GENERAL SECURITIES PRINCIPAL



## 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 5

<b>Reporting Source:</b>	Regulator
<b>Type of Event:</b>	ARBITRATION
<b>Allegations:</b>	ACCOUNT ACTIVITY-UNAUTHORIZED TRADING; ACCOUNT RELATED-FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE; NO OTHER CONTROVERSY INVOLVED
<b>Arbitration Forum:</b>	NASD
<b>Case Initiated:</b>	10/09/2000
<b>Case Number:</b>	00-04432
<b>Disputed Product Type:</b>	COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE
<b>Sum of All Relief Requested:</b>	\$82,373.00
<b>Disposition:</b>	AWARD AGAINST PARTY
<b>Disposition Date:</b>	04/03/2002
<b>Sum of All Relief Awarded:</b>	\$20,539.25

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

### Disclosure 2 of 5

<b>Reporting Source:</b>	Regulator
<b>Type of Event:</b>	ARBITRATION
<b>Allegations:</b>	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-OTHER; ACCOUNT ACTIVITY-UNAUTHORIZED TRADING
<b>Arbitration Forum:</b>	FINRA
<b>Case Initiated:</b>	12/21/2007
<b>Case Number:</b>	07-03463



**Disputed Product Type:** COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE

**Sum of All Relief Requested:** \$23,774.54

**Disposition:** AWARD AGAINST PARTY

**Disposition Date:** 07/21/2008

**Sum of All Relief Awarded:** \$698.54

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

#### Disclosure 3 of 5

**Reporting Source:** Regulator

**Type of Event:** ARBITRATION

**Allegations:** NO OTHER CONTROVERSY INVOLVED; TRADING DISPUTES-TRANSFERS

**Arbitration Forum:** NASD

**Case Initiated:**

**Case Number:** 88-00115

**Disputed Product Type:** NO OTHER TYPE OF SEC INVOLVE; UNKNOWN TYPE OF SECURITIES

**Sum of All Relief Requested:** \$3,902.00

**Disposition:** AWARD AGAINST PARTY

**Disposition Date:** 11/03/1989

**Sum of All Relief Awarded:** \$1,951.00

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

#### Disclosure 4 of 5

**Reporting Source:** Regulator

**Type of Event:** ARBITRATION

**Allegations:** EXECUTIONS-OTHER; NO OTHER CONTROVERSY INVOLVED

**Arbitration Forum:** NASD

**Case Initiated:** 01/01/1990

**Case Number:** 90-00133



**Disputed Product Type:** NO OTHER TYPE OF SEC INVOLVE; UNKNOWN TYPE OF SECURITIES  
**Sum of All Relief Requested:** \$1,429.00  
**Disposition:** AWARD AGAINST PARTY  
**Disposition Date:** 05/17/1990  
**Sum of All Relief Awarded:** \$600.00

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

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#### Disclosure 5 of 5

**Reporting Source:** Regulator  
**Type of Event:** ARBITRATION  
**Allegations:** ACCOUNT RELATED-ERRORS-CHARGES; EXECUTIONS-INCORRECT QUANTITY; NO OTHER CONTROVERSY INVOLVED  
**Arbitration Forum:** NASD  
**Case Initiated:** 11/07/1996  
**Case Number:** 96-04841  
**Disputed Product Type:** COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE  
**Sum of All Relief Requested:** \$9,000.00  
**Disposition:** AWARD AGAINST PARTY  
**Disposition Date:** 06/02/1997  
**Sum of All Relief Awarded:** \$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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