

## BrokerCheck Report

### HUCKIN FINANCIAL GROUP, INC.

CRD# 8593

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

Please contact FINRA with any concerns.

## About BrokerCheck®

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

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

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

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

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

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

- **How current is this information?**

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

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

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

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

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

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



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



**HUCKIN FINANCIAL GROUP, INC.**

CRD# 8593

SEC# 8-39728

**Main Office Location**

4265 SAN FELIPE  
SUITE 510  
HOUSTON, TX 77027

**Mailing Address**

4265 SAN FELIPE  
SUITE 510  
HOUSTON, TX 77027

**Business Telephone Number**

713-526-8411

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>

Report Summary for this Firm

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

**Firm Profile**

This firm is classified as a corporation.

This firm was formed in Texas on 01/25/1982.

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	3
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:** 12/01/2021

**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 Texas on 01/25/1982.

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.

### **HUCKIN FINANCIAL GROUP, INC.**

**Doing business as HUCKIN FINANCIAL GROUP, INC.**

**CRD#** 8593

**SEC#** 8-39728

### **Main Office Location**

4265 SAN FELIPE  
SUITE 510  
HOUSTON, TX 77027

### **Mailing Address**

4265 SAN FELIPE  
SUITE 510  
HOUSTON, TX 77027

### **Business Telephone Number**

713-526-8411

Firm Profile

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



Direct Owners and Executive Officers

**Legal Name & CRD# (if any):** HUCKIN, DAVID LAWRENCE  
853863

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

**Position** PRESIDENT

**Position Start Date** 01/1993

**Percentage of Ownership** 75% or more

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

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** DEMBSKI, MARIA  
3023270

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

**Position** CCO

**Position Start Date** 08/2009

**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

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 02/25/1981 to 02/01/2022.**





**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 4 types of businesses.**

**Types of Business**

Mutual fund retailer
Broker or dealer selling variable life insurance or annuities
Investment advisory services
Other - THE FIRM IS ALSO A REGISTERED INSURANCE AGENCY AND DOES OFFER INSURANCE PRODUCTS.

**Other Types of Business**

This firm does not effect transactions in commodities, commodity futures, or commodity options.  
This firm does engage in other non-securities business.

Non-Securities Business Description: THE FIRM IS ALSO A REGISTERED INSURANCE AGENCY AND DOES OFFER INSURANCE PRODUCTS.

## **Firm Operations**



### **Clearing Arrangements**

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

### **Introducing Arrangements**

**This firm does not refer or introduce customers to other brokers and dealers.**

## **Firm Operations**

### **Industry Arrangements**



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

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

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

#### **Control Persons/Financing**

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

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is not, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



## Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	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 3

**Reporting Source:** Regulator

**Current Status:** Final



**Allegations:** FINRA BY-LAWS ARTICLE III, SECTION 3(B), NASD RULES 2110, 3011(C), 3012, 3013, AND INTERPRETATIVE MATERIAL-3011-1, 3013: THE FIRM FAILED TO ESTABLISH AND IMPLEMENT AN ADEQUATE SUPERVISORY SYSTEM, FAILED TO CONDUCT INDEPENDENT TESTING OF ITS ANTI-MONEY LAUNDERING (AML) COMPLIANCE PROGRAM, AND IMPROPERLY ASSOCIATED WITH A STATUTORILY DISQUALIFIED PERSON. DURING 2007 AND 2008, THE FIRM HAD INADEQUATE PROCEDURES FOR SUPERVISION OF TRANSMITTAL OF CUSTOMER FUNDS OR SECURITIES, SUPERVISION OF CUSTOMER CHANGES OF ADDRESS, SUPERVISION OF CUSTOMER CHANGES OF INVESTMENT OBJECTIVES AND RELIANCE ON THE "LIMITED SIZE AND RESOURCES" EXCEPTION. IN ADDITION TO THE FOREGOING, THE FIRM'S 2007 AND 2008 ANNUAL REPORTS TO SENIOR MANAGEMENT AND CEO ANNUAL CERTIFICATIONS WERE INADEQUATE. THE ANNUAL REPORTS DID NOT DETAIL THE FIRM'S SUPERVISORY CONTROLS, DID NOT EVIDENCE TESTING OF THE PROCEDURES AND DID NOT IDENTIFY ANY WEAKNESSES IN THE FIRM'S PROCEDURES. LASTLY, THE FIRM ALSO FAILED TO SUBMIT ITS NOTIFICATION OF ITS RELIANCE ON THE "LIMITED SIZE AND RESOURCES" EXCEPTION FOR THE CALENDAR YEAR 2008. THE FIRM WAS ON NOTICE THAT IT WAS REQUIRED TO CONDUCT AN INDEPENDENT TEST ANNUALLY OF ITS AML COMPLIANCE PROGRAM, YET THE FIRM FAILED TO CONDUCT AN INDEPENDENT TEST OF ITS AML COMPLIANCE PROGRAM FOR 2007 AND 2008. AT VARIOUS TIMES FROM NOVEMBER 2007 THROUGH APRIL 2008, THE FIRM PERMITTED A STATUTORILY DISQUALIFIED PERSON AS DEFINED UNDER THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III OF THE FINRA BY-LAWS, TO BE ASSOCIATED WITH AND CONDUCT ACTIVITIES ON BEHALF OF THE FIRM. SPECIFICALLY, DURING THE AFOREMENTIONED TIME PERIOD, THE STATUTORILY DISQUALIFIED INDIVIDUAL MAINTAINED AN OFFICE INSIDE OF THE PREMISES OF THE FIRM, WAS ROUTINELY ONSITE AT THE FIRM AND HAD REGULAR CONTACT WITH FIRM CUSTOMERS.

**Initiated By:** FINRA

**Date Initiated:** 05/17/2011

**Docket/Case Number:** [2009016269501](#)

**Principal Product Type:** No Product

**Other Product Type(s):**

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

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

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





**Resolution Date:** 05/17/2011

**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 \$25,000.00

**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 THE FIRM IS CENSURED AND FINED \$25,000.

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**Reporting Source:** Firm

**Current Status:** Final

**Allegations:** FINRA BY-LAWS ARTICLE III, SECTION 3(B), NASD RULES 2110, 3011(C), 3012, 3013, AND INTERPRETATIVE MATERIAL-3011-1, 3013: THE FIRM FAILED TO ESTABLISH AND IMPLEMENT AN ADEQUATE SUPERVISORY SYSTEM, FAILED TO CONDUCT INDEPENDENT TESTING OF ITS ANTI-MONEY LAUNDERING (AML) COMPLIANCE PROGRAM, AND IMPROPERLY ASSOCIATED WITH A STATUTORILY DISQUALIFIED PERSON. DURING 2007 AND 2008, THE FIRM HAD INADEQUATE PROCEDURES FOR SUPERVISION OF TRANSMITTAL OF CUSTOMER FUNDS OR SECURITIES, SUPERVISION OF CUSTOMER CHANGES OF ADDRESS, SUPERVISION OF CUSTOMER CHANGES OF INVESTMENT OBJECTIVES AND RELIANCE ON THE "LIMITED SIZE AND RESOURCES" EXCEPTION. IN ADDITION TO THE FOREGOING, THE FIRM'S 2007 AND 2008 ANNUAL REPORTS TO SENIOR MANAGEMENT AND CEO ANNUAL CERTIFICATIONS WERE INADEQUATE. THE ANNUAL REPORTS DID NOT DETAIL THE FIRM'S SUPERVISORY CONTROLS, DID NOT EVIDENCE TESTING OF THE PROCEDURES AND DID NOT IDENTIFY ANY WEAKNESSES IN THE FIRM'S PROCEDURES. LASTLY, THE FIRM ALSO FAILED TO SUBMIT ITS NOTIFICATION OF ITS RELIANCE ON THE "LIMITED SIZE AND RESOURCES" EXCEPTION FOR THE CALENDAR YEAR 2008. THE FIRM WAS ON NOTICE THAT IT WAS REQUIRED TO CONDUCT AN INDEPENDENT TEST ANNUALLY OF ITS AML COMPLIANCE PROGRAM, YET THE FIRM FAILED TO CONDUCT AN INDEPENDENT TEST OF ITS AML COMPLIANCE PROGRAM FOR 2007 AND 2008. AT VARIOUS TIMES FROM NOVEMBER 2007 THROUGH APRIL 2008, THE FIRM PERMITTED A STATUTORILY DISQUALIFIED PERSON AS DEFINED UNDER THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III OF THE FINRA BY-



LAWS, TO BE ASSOCIATED WITH AND CONDUCT ACTIVITIES ON BEHALF OF THE FIRM. SPECIFICALLY, DURING THE AFOREMENTIONED TIME PERIOD, THE STATUTORILY DISQUALIFIED INDIVIDUAL MAINTAINED AN OFFICE INSIDE OF THE PREMISES OF THE FIRM, WAS ROUTINELY ONSITE AT THE FIRM AND HAD REGULAR CONTACT WITH FIRM CUSTOMERS.

**Initiated By:** FINRA

**Date Initiated:** 05/17/2011

**Docket/Case Number:** [2009016269501](#)

**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:** 05/17/2011

**Sanctions Ordered:** Censure  
Monetary/Fine \$25,000.00

**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 THE FIRM IS CENSURED AND FINED \$25,000.

**Firm Statement** THE FIRM AGREED TO THIS SANCTION ONLY IN THE INTEREST OF AVOIDING THE TIME AND EXPENSE OF LITIGATION. DURING THE TIME PERIOD DESCRIBED IN THE ALLEGATIONS, THE FIRM RELIED UPON THE REPRESENTATIONS MADE BY THE FIRM'S FORMER CCO. THIS INDIVIDUAL ASSURED THE FIRM'S SENIOR MANAGEMENT THAT: 1) THE FIRM HAD A SUPERVISORY SYSTEM APPROPRIATE TO OUR SIZE AND BUSINESS TYPE AND 2) THAT THE INTERNAL TESTS CONDUCTED COMPLIED WITH REGULATORY REQUIREMENTS. FURTHERMORE, THE FIRM WAS NOT INFORMED BY THE CCO THAT THE DISQUALIFIED INDIVIDUAL WAS, IN FACT, INELIGIBLE TO PERFORM ANY TYPE OF WORK FOR OUR FIRM. THE FIRM HAD MADE ARRANGEMENTS WITH THE INDIVIDUAL TO SERVICE CLIENTS WITH WHOM HE HAD EXISTING RELATIONSHIPS. OUR FIRM NEVER COMPENSATED THIS PERSON AND THE INDIVIDUAL'S ACTIVITIES WERE LIMITED TO INTRODUCING US TO THEIR EXISTING CLIENTS THAT WE WERE ACQUIRING. THE DISQUALIFIED PERSON SPENT MINIMAL TIME AT OUR OFFICE AND HE ONLY HAD CONTACT, IN AN INTRODUCTORY ROLE,



WITH THEIR OWN EXISTING CLIENTS TO TRANSITION THE CLIENTS TO OUR FIRM.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Regulator
<b>Current Status:</b>	Final
<b>Allegations:</b>	THE STAFF OF THE TEXAS STATE SECURITIES BOARD PERFORMED AN INSPECTION OF HUCKIN FINANCIAL GROUP, INC. DURING THE INSPECTION, STAFF DISCOVERED THAT HUCKIN FINANCIAL GROUP, INC. MAINTAINED DEALER AND INVESTMENT ADVISER RECORDS AT BRANCH OFFICES THAT WERE NOT REGISTERED WITH THE SECURITIES COMMISSIONER.
<b>Initiated By:</b>	TEXAS
<b>Date Initiated:</b>	09/25/2006
<b>Docket/Case Number:</b>	IC06-CAF-42
<b>URL for Regulatory Action:</b>	
<b>Principal Product Type:</b>	Other
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Reprimand
<b>Other Sanction(s)/Relief Sought:</b>	ADMINISTRATIVE FINE
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	09/25/2006
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$600.00
<b>Other Sanctions Ordered:</b>	REPRIMAND
<b>Sanction Details:</b>	NO OTHER SANCTIONS.



<b>Reporting Source:</b>	Firm
<b>Current Status:</b>	Final
<b>Allegations:</b>	THE STAFF OF THE TEXAS STATE SECURITIES BOARD PERFORMED AN INSPECTION OF HUCKIN FINANCIAL GROUP, INC. DURING THE INSPECTION, STAFF DISCOVERED THAT HUCKIN FINANCIAL GROUP, INC. MAINTAINED DEALER AND INVESTMENT ADVISER RECORDS AT BRANCH OFFICES THAT WERE NOT REGISTERED WITH THE SECURITIES COMMISSIONER.
<b>Initiated By:</b>	TEXAS STATE SECURITIES BOARD
<b>Date Initiated:</b>	09/25/2006
<b>Docket/Case Number:</b>	IC06-CAF-42
<b>Principal Product Type:</b>	Other
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	Reprimand
<b>Other Sanction(s)/Relief Sought:</b>	ADMINISTRATIVE FINE AND REPRIMAND
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	09/25/2006
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$600.00
<b>Other Sanctions Ordered:</b>	REPRIMAND
<b>Sanction Details:</b>	NO OTHER SANCTIONS

### Disclosure 3 of 3

<b>Reporting Source:</b>	Regulator
<b>Current Status:</b>	Final
<b>Allegations:</b>	
<b>Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Date Initiated:</b>	12/09/1982
<b>Docket/Case Number:</b>	TEX-331-AWC
<b>Principal Product Type:</b>	

**Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Consent**Resolution Date:** 12/09/1982**Sanctions Ordered:** Censure  
Monetary/Fine \$1,000.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement** COMPLAINT TEX-331-AWC FILED 12/09/82  
DIST. #6  
DECISION CAF \$1,000.**Reporting Source:** Firm**Current Status:** Final**Appealed To and Date Appeal Filed:** N/A**Allegations:** FAILURE TO INITIAL SOME APPLICATIONS AND PAYMENT OF COMMISSION TO A KEMPER WHOLESALER.**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Date Initiated:** 12/09/1982**Docket/Case Number:** TEX-331-AWC**Principal Product Type:** Other**Other Product Type(s):** N/A**Principal Sanction(s)/Relief Sought:** Other**Other Sanction(s)/Relief Sought:** ADMINISTRATIVE**Resolution:** Acceptance, Waiver & Consent(AWC)**Resolution Date:** 12/09/1982



**Sanctions Ordered:**

Censure  
Monetary/Fine \$1,000.00

**Other Sanctions Ordered:**

N/A

**Sanction Details:**

TOTAL AMOUNT:\$1,000.00  
PORTION LEVIED AGAINST FIRM: \$1,000.00  
DATE PAID: 12/9/1982



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

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-NEGLIGENCE; OTHER-OTHER
Arbitration Forum:	NASD
Case Initiated:	05/02/2000
Case Number:	<a href="#">00-01619</a>
Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; OTHER TYPES OF SECURITIES
Sum of All Relief Requested:	\$100,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	06/08/2001
Sum of All Relief Awarded:	\$79,626.00

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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