

BrokerCheck Report

EDWARD MYLES LYNCH JR

CRD# 1058005

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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



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.

**EDWARD M. LYNCH JR**

CRD# 1058005

Currently employed by and registered with the following Firm(s):

- IA WELLTH ADVISORY SERVICES, LLC**
 28 Green Street
 Newbury, MA 01951
 CRD# 330537
 Registered with this firm since: 10/15/2025
- IA LPL FINANCIAL LLC**
 28 GREEN ST
 NEWBURY, MA 01951
 CRD# 6413
 Registered with this firm since: 09/26/2007
- B LPL FINANCIAL LLC**
 28 GREEN ST
 NEWBURY, MA 01951
 CRD# 6413
 Registered with this firm since: 09/20/2007

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 26 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- IA DIETZ & LYNCH CAPITAL**
 CRD# 144184
 NEWBURY, MA
 03/2008 - 12/2014
- IA P.L.A.N.**
 CRD# 151072
 BOSTON, MA
 10/2009 - 12/2010
- B WACHOVIA SECURITIES, LLC**
 CRD# 19616
 NEWBURYPORT, MA
 10/1999 - 09/2007

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Customer Dispute	5



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 26 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/20/2007

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	02/13/2023
B	Connecticut	Agent	Approved	09/20/2007
B	Florida	Agent	Approved	09/21/2007
B	Indiana	Agent	Approved	03/16/2009
B	Maine	Agent	Approved	10/17/2007
B	Maryland	Agent	Approved	09/20/2023
B	Massachusetts	Agent	Approved	09/20/2007
IA	Massachusetts	Investment Adviser Representative	Approved	09/26/2007
B	Michigan	Agent	Approved	04/14/2025
B	New Hampshire	Agent	Approved	09/20/2007
B	New Mexico	Agent	Approved	08/22/2023
B	New York	Agent	Approved	09/20/2007



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	02/13/2023
B	Ohio	Agent	Approved	02/11/2023
B	Oklahoma	Agent	Approved	07/14/2023
B	Oregon	Agent	Approved	05/09/2023
B	Pennsylvania	Agent	Approved	02/13/2023
B	Rhode Island	Agent	Approved	01/15/2015
B	South Carolina	Agent	Approved	09/26/2007
B	Tennessee	Agent	Approved	04/14/2025
B	Texas	Agent	Approved	09/21/2007
IA	Texas	Investment Adviser Representative	Restricted Approval	11/05/2007
B	Utah	Agent	Approved	02/12/2024
B	Virginia	Agent	Approved	09/20/2007
B	Washington	Agent	Approved	09/21/2007
B	Wisconsin	Agent	Approved	06/04/2024

Branch Office Locations

LPL FINANCIAL LLC
28 GREEN ST
NEWBURY, MA 01951

LPL FINANCIAL LLC
ORLEANS, MA

Employment 2 of 2

Firm Name: **WELLTH ADVISORY SERVICES, LLC**



Broker Qualifications

Employment 2 of 2, continued

Main Office Address: **SHOREWOOD, IL**

Firm CRD#: **330537**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	10/15/2025
IA	Connecticut	Investment Adviser Representative	Approved	10/16/2025
IA	Florida	Investment Adviser Representative	Approved	12/12/2025
IA	Indiana	Investment Adviser Representative	Approved	10/15/2025
IA	New Jersey	Investment Adviser Representative	Approved	10/16/2025
IA	Ohio	Investment Adviser Representative	Approved	10/15/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	10/17/2025
IA	South Carolina	Investment Adviser Representative	Approved	12/23/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	10/17/2025
IA	Utah	Investment Adviser Representative	Approved	11/14/2025
IA	Vermont	Investment Adviser Representative	Approved	10/15/2025
IA	Wisconsin	Investment Adviser Representative	Approved	10/15/2025

Branch Office Locations

SHOREWOOD, IL

28 Green Street
Newbury, MA 01951



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/17/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/18/1992
B Uniform Securities Agent State Law Examination	Series 63	08/10/1982

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2008 - 12/2014	DIETZ & LYNCH CAPITAL	144184	NEWBURYPORT, MA
IA 10/2009 - 12/2010	P.L.A.N.	151072	BOSTON, MA
B 10/1999 - 09/2007	WACHOVIA SECURITIES, LLC	19616	NEWBURYPORT, MA
IA 10/1999 - 09/2007	WACHOVIA SECURITIES, LLC	19616	NEWBURYPORT, MA
B 03/1999 - 10/1999	FIRST UNION CAPITAL MARKETS CORP.	6124	CHARLOTTE, NC
B 02/1995 - 03/1999	ADVEST, INC.	10	HARTFORD, CT
B 01/1988 - 02/1995	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 04/1983 - 05/1988	E. F. HUTTON & COMPANY INC	235	
B 07/1982 - 04/1983	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2025 - Present	Strategic Retirement Partners	Registered Representative	Y	Newbury, MA, United States
10/2025 - Present	WELLth Advisory Services, LLC	Investment Advisor Representative	Y	Newbury, MA, United States
09/2007 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	NEWBURY, MA, United States



Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1) 07/27/2011: DLC GROUP - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - INV REL - AT REPORTED BUSINESS LOCATION(S)

2) 10/22/2013: DIETZ & LYNCH CAPITAL - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - INV REL - AT REPORTED BUSINESS LOCATION(S)

3) 01/05/2026 - WELLth Advisory Services, LLC - Registered Investment Advisor Hybrid - IAR - Investment Related - At Reported Business Location(s) - Start Date 10/15/2025 - 160 hours per month/ during trading - I provide investment advisory services through WELLth Advisory Services, LLC, an independent investment advisor firm. I started this business activity in 10/2025. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

4) 01/05/2026 - Strategic Retirement Partners - Registered Investment Advisor DBA - IAR - Investment Related - At Reported Business Location(s) - Start Date 10/15/2025 - 160 hours per month/ during trading

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
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 broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all 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.
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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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	5	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ADVEST, INC.
Allegations:	ALLEGED MR. LYNCH GAVE HER INCORRECT ADVICE REGARDING THE VESTING OF HER EMPLOYEES UNDER A PROFIT SHARING PLAN.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$10,000.00

Customer Complaint Information

Date Complaint Received:	03/03/2000
Complaint Pending?	No
Status:	Settled
Status Date:	07/11/2001
Settlement Amount:	\$10,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: ADVEST, INC.

Allegations: ALLEGED MR. LYNCH GAVE HER INCORRECT ADVICE REGARDING THE VESTING OF HER EMPLOYEES UNDER A PROFIT SHARING PLAN.

Product Type: Mutual Fund(s)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 03/03/2000

Complaint Pending? No

Status: Settled

Status Date: 07/11/2001

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: MISREPRESENTATION; ACCOUNT RELATED-BREACH OF CONTRACT; SUITABILITY; OTHER

Product Type:

Alleged Damages: \$325,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-03113

Date Notice/Process Served: 08/19/1993

Arbitration Pending? No

Disposition: Settled



Disposition Date: 10/25/1994

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CLIENTS ALLEGED DAMAGES OF \$325,000.00 FROM
INVESTMENTS IN LIMITED PARTNERSHIPS AND PREFERRED STOCK.
EMPLOYING FIRM: PRUDENTIAL SECURITIES, INC. CLIENT IS
MASSACHUSETTS RESIDENT

Product Type:

Alleged Damages: \$325,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/25/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 93-03113

Date Notice/Process Served: 08/19/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/25/1994

Monetary Compensation Amount: \$210,000.00

Individual Contribution Amount: \$0.00

Broker Statement

SETTLED FOR \$210,000.00 PAID BY PRUDENTIAL SECURITIES WITHOUT PARTICIPATION BY ME. SETTLEMENT BY P.SI. WAS MADE WITHOUT MY PARTICIPATION. THE BASIS FOR THE SETTLEMENT AS I UNDERSTANT IT, WAS PRODUCT FAILURE IN THE AREA OF LIMITED PARTNERSHIPS AND LOSSES IN THE PREFERRED STOCK OF FIRST EXECUTIVE CORPORATION WHICH HAS BECOME THE OBJECT OF VARIOUS ACTIONS ALLEGING FRAUD AND OTHER CLAIMS ON THE PART OF FIRM'S EXEC'S OFFICERS, DIRECTORS AND MANAGEMENT. AS TO THE CHARGE OF MISREPRESENTATION AND UNSUITABILITY THE CLIENTS WERE INFORMED AND FINANCIALLY SUITABLE FOR THE INVESTMENTS. ALL INVESTMENTS RECOMMENDATIONS WERE DISCUSSED IN DETAIL W/CLIENT.

Disclosure 3 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE UNAUTHORIZED AND UNSUITABLE TRADING AND PURCHASE OF LIMITED PARTNERSHIPS CAUSING DAMAGES IN EXCESS OF \$100,000.00 EMPLOYING FIRM: PRUDENTIAL SECURITIES, INC (PSI)

Product Type:

Alleged Damages:



Customer Complaint Information

Date Complaint Received: 03/02/1992

Complaint Pending? No

Status: Settled

Status Date: 09/01/1992

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Broker Statement P.S.I. PAID THE CROWELL'S \$20,000.00 WITHOUT ASKING OR REQUIRING ME TO PARTICIPATE. CUSTOMER ALLEGATIONS ARE BASELESS. I HAVE PROVIDED P.S.I. LEGAL DEPARTMENT WITH CORRESPONDENCE AND DOCUMENTS FROM THE CLIENT ON HIS BUSINESS STATIONARY AND BEARING HIS SIGNATURE WHICH RELATES EVERY CHANGE TO (1) TRANSACTION AUTHORIZATION, (2) SUITABILITY, OR PURCHASES, (3) BEGINNING VALUE OF ACCOUNT (4) VALUE OF ACCOUNT TO DATE OF SETTLEMENT. P.S.I. SETTLEMENT WAS MADE WITHOUT MY AGREEMENT, CONSENT, OR PARTICIPATION.

Disclosure 4 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CUSTOMER ALLEGED LOSSES OF \$49,000 DUE TO UNSUITABLE PURCHASE OF LIMITED PARTNERSHIP MUTUAL FUNDS, UNAUTHORIZED TRADING OF STOCK AND MUTUAL FUNDS. EMPLOYING FIRM: PRUDENTIAL SECURITIES, INC. (PSI)

Product Type:

Alleged Damages: \$49,000.00

Customer Complaint Information

Date Complaint Received: 11/20/1991

Complaint Pending? No



Status:	Settled
Status Date:	06/01/1992
Settlement Amount:	\$11,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	<p>P.S.I. AGREED TO PAY [CUSTOMER] \$11,000.00 WITHOUT ASKING OR REQUIRING MY PARTICIPATION CUSTOMER ALLEGATIONS ARE WITHOUT MERIT. ALL INVESTMENT RECOMMENDATIONS WERE MADE WITH INSTIGATION OF CUSTOMER (SHE CONTACTED ME WITH REQUESTS TO INCREASE HER INVESTMENT INCOME). 2. WITH CUSTOMER'S FULL UNDERSTANDING OF RISKS AND 3. REGARDING ACTION TAKEN; WITH CUSTOMER'S FULL CONSENT. SETTLEMENT WITH CUSTOMER WAS IN MY OPINION, UNWARRANTED AND UNJUSTIFIABLE. CUSTOMER DOES NOT DESERVE TO RECEIVE CONSIDERATION. SETTLEMENT WITH P.S.I. WAS MADE WITHOUT MY AGREEMENT, CONSENT OR PARTICIPATION.</p>

Disclosure 5 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON
Allegations:	<p>CLIENT COMPLAINED HE INCURRED LOSSES IN EXCESS OF \$20,000 ON SALES AND STOCK TRADING, WHICH HE REGARDED AS EXCESSIVE. EMPLOYING FIRM: E.F. HUTTON</p>

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	06/20/1987
Complaint Pending?	No
Status:	Settled
Status Date:	08/01/1987
Settlement Amount:	\$16,000.00



**Individual Contribution
Amount:**

Broker Statement

SETTLEMENT OF \$16,000.00
[CUSTOMER] IS A BUSINESSMAN WHO ENGAGED IN INDEX
OPTION TRADING AND WAS SUITABLE FOR SUCH A SPECULATIVE
ACTIVITY. ALL APPROPRIATE DOCUMENTATION WAS IN ORDER,
INCLUDING OPTION DISCLOSURE DOCUMENT, OPTION TRADING PAPERS,
LIMITED POWER OF ATTORNEY FORMS. THE CLIENT HAD AN ADEQUATE
UNDERSTANDING OF THE RISKS INVOLVED.

End of Report



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