

BrokerCheck Report

FRANK J BODI

CRD# 1107838

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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.

FRANK J. BODI

CRD# 1107838

This broker is not currently registered.

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 not currently registered.

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):

B LANDOLT SECURITIES, INC.

CRD# 28352
Solon, OH
03/2017 - 02/2024

B IFS SECURITIES

CRD# 40375
ATLANTA, GA
09/2016 - 01/2017

B COASTAL EQUITIES, INC.

CRD# 23769
SOLON, OH
01/2013 - 09/2016

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
Regulatory Event	3
Customer Dispute	9
Termination	3

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

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

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 broker is not currently registered.

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	04/16/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/21/2011
B Uniform Securities Agent State Law Examination	Series 63	12/20/1985

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
B 03/2017 - 02/2024	LANDOLT SECURITIES, INC.	28352	SOLON, OH
B 09/2016 - 01/2017	IFS SECURITIES	40375	ATLANTA, GA
B 01/2013 - 09/2016	COASTAL EQUITIES, INC.	23769	SOLON, OH
B 02/2010 - 12/2012	FINTEGRA, LLC	16741	SOLON, OH
B 06/2008 - 02/2010	CAPITAL CITY SECURITIES, LLC	146001	POWELL, OH
B 09/2007 - 11/2007	INTEROCEAN SECURITIES LLC	141077	SOLON, OH
B 05/2002 - 09/2007	PRIM SECURITIES, INCORPORATED	30504	INDEPENDENCE, OH
B 09/2000 - 05/2002	UBS PAINEWELLER INC.	8174	WEEHAWKEN, NJ
B 03/1984 - 09/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 04/1983 - 11/1983	PORTFOLIO SECURITIES TRANSACTIONS CORPORATION	3928	

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
04/2024 - Present	ASSET STRATEGIES INC	IAR	Y	LISLE, IL, United States
03/2017 - 02/2024	Landolt Securities Inc.	representative	Y	Antioch, IL, United States
09/2016 - 12/2016	IFS Securities	Registered Rep	Y	Atlanta, GA, United States
12/2012 - 09/2016	COASTAL EQUITIES, INC	REGISTERED REP	Y	SOLON, OH, 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.

No information reported.

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Regulatory Event	0	3	0
Customer Dispute	0	9	N/A
Termination	N/A	3	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/30/2025
Docket/Case Number:	2023079079001
Employing firm when activity occurred which led to the regulatory action:	Landolt Securities, Inc.
Product Type:	Other: Unspecified securities
Allegations:	Without admitting or denying the findings, Bodi consented to the sanctions and to the entry of findings that he exercised discretion without prior written authorization in connection with transactions in the accounts of customers of his member firm. The finding stated that Bodi previously discussed the trades with the customers, but he did not speak to the customers to obtain authorization for the trades on the specific days he executed them. None of the customers provided prior written authorization for Bodi to exercise discretion in their accounts, and the firm did not accept the accounts as discretionary.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/30/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	One month
Start Date:	02/03/2025
End Date:	03/02/2025

**Monetary Sanction 1 of 1**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Suspension

Date Initiated: 01/30/2025

Docket/Case Number: 2023079079001

Employing firm when activity occurred which led to the regulatory action: Landolt Securities

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Allegations: Discretion-Bodi received authorization from all clients to execute trades. Bodi confirmed authorization from all clients to execute trades. The trades were not done same day as authorization.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	01/30/2025
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	all capacities
Duration:	30 days
Start Date:	02/01/2025
End Date:	03/02/2025
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	01/30/2025
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Bodi contacted all clients. All trades were confirmed and authorized based on FINRA examination. Infringement was that the trade was not executed the same day as order taken.

Disclosure 2 of 3

Reporting Source:	Regulator
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Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	12/21/2016
Docket/Case Number:	2014041310601
Employing firm when activity occurred which led to the regulatory action:	Coastal Equities, Inc.
Product Type:	Other: Unspecified securities
Allegations:	Without admitting or denying the findings, Bodi consented to the sanctions and to the entry of findings that he effected discretionary trades in the accounts of customers without obtaining prior written authorization from the customers and without acceptance of the accounts as discretionary by his member firm.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/21/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All capacities

Duration: 15 business days

Start Date: 01/17/2017

End Date: 02/06/2017

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 09/18/2017

Was any portion of penalty waived? No

Amount Waived:



Reporting Source:	Broker
Regulatory Action Initiated By:	Finra
Sanction(s) Sought:	Suspension
Date Initiated:	12/21/2016
Docket/Case Number:	2014041310601
Employing firm when activity occurred which led to the regulatory action:	Coastal Equities, Inc.
Product Type:	Other: Unspecified securities
Allegations:	Without admitting or denying the findings, Bodi consented to the sanctions and to the entry of findings that he effected discretionary trades in the accounts of customers without obtaining prior written authorization from the customers and without acceptance of the accounts as discretionary by his member firm.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/21/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	15 business days
Start Date:	01/17/2017
End Date:	02/06/2017

**Monetary Sanction 1 of 1**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:**Disclosure 3 of 3**

Reporting Source: Regulator

Regulatory Action Initiated By: CHICAGO BOARD OPTIONS EXCHANGE

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

Other Sanction(s) Sought:

Date Initiated: 08/08/2003

Docket/Case Number: 03-0024

Employing firm when activity occurred which led to the regulatory action:

Product Type: Options

Other Product Type(s):

Allegations: SEE SUMMARY

Current Status: Final

Resolution: Decision

Resolution Date: 09/15/2003

Sanctions Ordered: Censure



Monetary/Fine \$5,000.00

Other Sanctions Ordered: THE SANCTION TO BE IMPOSED SHALL CONSIST OF A FIVE THOUSAND DOLLAR (\$5,000) FINE AND A CENSURE.

Sanction Details: THE SANCTION TO BE IMPOSED SHALL CONSIST OF A FIVE THOUSAND DOLLAR (\$5,000) FINE AND A CENSURE.

Regulator Statement
FRANK J. BODI, A FORMER REGISTERED REPRESENTATIVE OF MERRILL LYNCH, PIERCE, FENNER & SMITH, INC. ("ML") AND UBS PAINEWELLER INC. ("UBSPW"), EXCHANGE MEMBER ORGANIZATIONS, AT ML'S CHAGRIN FALLS, OHIO BRANCH OFFICE AND AT UBSPW'S BEACHWOOD, OHIO BRANCH OFFICE, WAS CENSURED AND FINED \$5,000 FOR THE FOLLOWING CONDUCT. IN OR ABOUT DECEMBER 2000, WHILE EMPLOYED AT UBSPW, BODI MADE A LOAN OF \$5,000 CASH TO TWO PUBLIC CUSTOMERS WHO WERE ALSO FORMER CUSTOMERS OF BODI AT ML, IN VIOLATION OF ML AND UBSPW POLICY. IN ADDITION, IN OR ABOUT DECEMBER 2001, WHILE EMPLOYED AT UBSPW, RR BODI MADE A LOAN OF \$5,700 CASH TO TWO PUBLIC CUSTOMERS WHO WERE ALSO FORMER CUSTOMERS OF RR BODI AT ML, IN VIOLATION OF ML AND UBSPW POLICY. (CBOE RULE 4.1 - JUST AND EQUITABLE PRINCIPLES OF TRADE.)

Reporting Source: Broker

Regulatory Action Initiated By: CHICAGO BOARD OPTIONS EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/08/2003

Docket/Case Number: 03-0024

Employing firm when activity occurred which led to the regulatory action:

Product Type: Options

Other Product Type(s):

Allegations: SEE SUMMARY

Current Status: Final

Resolution: Decision



Resolution Date: 09/15/2003

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

Other Sanctions Ordered: THE SANCTION TO BE IMPOSED SHALL CONSIST OF A FIVE THOUSAND DOLLAR (\$5,000) FIND AND A CENSURE.

Sanction Details: THE SANCTION TO BE IMPOSED SHALL CONSIST OF A FIVE THOUSAND DOLLAR (\$5,000) FINE AND A CENSURE.

Broker Statement

FRANK J. BODI, A FORMER REGISTERED REPRESENTATIVE OF MERRILL LYNCH, PIERCE, FENNER & SMITH, INC. ("ML") AND UBS PAINEWEBBER INC. ("UBSPW"), EXCHANGE MEMBER ORGANIZATIONS, AT ML'S CHAGRIN FALLS, OHIO BRANCH OFFICE AND AT UBSPW'S BEACHWOOD, OHIO BRANCH OFFICE, WAS CENSURED AND FINED \$5,000 FOR THE FOLLOWING CONDUCT. IN OR ABOUT DECEMBER 2000, WHILE EMPLOYED AT UBSPW, BODI MADE A LOAN OF \$5,000 CASH TO TWO PUBLIC CUSTOMERS WHO WERE ALSO FORMER CUSTOMERS OF BODI AT ML, IN VIOLATION OF ML AND UBSPW POLICY. IN ADDITION, IN OR ABOUT DECEMBER 2001, WHILE EMPLOYED AT UBSPW, RR BODI MADE A LOAN OF \$5,700 CASH TO TWO PUBLIC CUSTOMERS WHO WERE ALSO FORMER CUSTOMERS OF RR BODI AT ML, IN VIOLATION OF ML AND UBSPW POLICY. (CBOE RULE 4.1 - JUST AND EQUITABLE PRINCIPLES OF TRADE.)



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH PIERCE FENNER & SMITH, INC.

Allegations: BRCH OF FIDUCIARY DT; SUITABILITY;
UNAUTHORIZED TRADING; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #96-04983](#)

Date Notice/Process Served: 12/11/1996

Arbitration Pending? No

Disposition: Other

Disposition Date: 06/08/1999

Disposition Detail: AWARD AGAINST PARTY
** RESPONDENTS MERRILL LYNCH, PATRICK
PETSCHE AND FRANK BODI ARE JOINTLY AND SEVERALLY LIABLE FOR
AND
SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF
\$26,905.00 **

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH PIERCE FENNER & SMITH, INC.

Allegations: CLAIMANTS ALLEGE THAT THEY WERE SOLD
UNSPECIFIED UNSUITABLE SECURITIES AND SOUGHT \$121,137 IN
COMPENSATORY DAMAGES, \$500,00 IN PUNITIVE DAMAGES UNSPECIFIED
ATTORNEYS FEES, INTEREST AND COSTS.

**Product Type:**

Alleged Damages: \$100,000.00

Customer Complaint Information**Date Complaint Received:**

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/08/1999

Settlement Amount:**Individual Contribution****Amount:****Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 96-04983](#)

Date Notice/Process Served: 12/11/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/08/1999

Monetary Compensation Amount: \$26,905.00

Individual Contribution**Amount:**

Broker Statement \$26,905.00 WAS AWARDED TO [CUSTOMER]; ALL CLAIMS BY [CUSTOMER] WERE DISMISSED. REGISTRANT BELIEVES THAT THE AWARD IS CONTRARY TO LAW AND NOT SUPPORTED BY THE EVIDENCE PRESENTED.



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: UBS PAINEWBBER INC.
Allegations: CLIENTS CLAIM INVESTMENTS WERE UNSUITABLE.
Product Type: Mutual Fund(s)
Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/26/2002
Complaint Pending? No
Status: Settled
Status Date: 04/15/2003
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: UBS PAINEWBBER INC.
Allegations: CLIENTS CLAIM INVESTMENTS WERE UNSUITABLE.
Product Type: Mutual Fund(s)
Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/26/2002
Complaint Pending? No
Status: Settled



Status Date: 04/15/2003

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CLAIMANTS ALLEGE UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS.

Product Type: Mutual Fund(s)

Other Product Type(s): OPTIONS

Alleged Damages: \$60,000.00

Customer Complaint Information

Date Complaint Received: 01/22/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/03/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DR. NO.: 02-05685

Date Notice/Process Served: 10/03/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/26/2003



Monetary Compensation Amount:	\$61,500.00
Individual Contribution Amount:	\$0.00
Firm Statement	THIS MATTER WAS SETTLED TO AVOID THE TIME, EXPENSE AND UNCERTAINTY INHERENT IN LITIGATION.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations:	CLIENTS ALLEGE MR. BODI MADE UNAUTHORIZED TRADES WHICH WERE ALSO UNSUITABLE, AND MADE CASH PAYMENTS TO THE CLIENTS.
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Product Type:	Options
Alleged Damages:	\$60,000.00

Customer Complaint Information

Date Complaint Received:	01/22/2002
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Complaint Pending?	No
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Status:	Arbitration/Reparation
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Status Date:	10/03/2002
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Settlement Amount:

Individual Contribution Amount:	
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Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DR. NO.: 02-05685
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Date Notice/Process Served:	10/03/2002
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Arbitration Pending?	No
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Disposition:	Settled
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Disposition Date:	08/26/2003
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Monetary Compensation Amount:	\$61,500.00
Individual Contribution Amount:	\$0.00

Disclosure 3 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANTS ASSERT THAT FORMER FINANCIAL ADVISOR BODI ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRADING THAT RESULTED IN LOSSES IN THEIR ACCOUNT.
Product Type:	Equity - OTC
Other Product Type(s):	STOCKS AND OPTIONS
Alleged Damages:	\$215,000.00

Customer Complaint Information

Date Complaint Received:	09/10/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/10/2002

Settlement Amount:

Individual Contribution Amount:	
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Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DOCKET # 02-04943
Date Notice/Process Served:	09/10/2002
Arbitration Pending?	No
Disposition:	Settled

Disposition Date: 03/25/2004



Monetary Compensation Amount: \$120,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMERS ALLEGE UNAUTHORIZED TRADING AND UNSUITABLE INVESTMENTS.

Product Type: Options

Other Product Type(s): EQUITY-OTC

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 01/22/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/09/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DR NO.: 02-04943

Date Notice/Process Served: 09/09/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/25/2003

Monetary Compensation Amount: \$232,500.00



Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER WAS SETTLED TO AVOID THE TIME, EXPENSE AND UNCERTAINTY INHERENT IN LITIGATION.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMER ALLEGED UNAUTHORIZED TRADING AND UNSUITABLE INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): MUTUAL FUNDS AND OPTIONS

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 01/22/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/09/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DR. NO.: 02-04943

Date Notice/Process Served: 09/09/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/25/2003

Monetary Compensation Amount: \$232,500.00



Individual Contribution Amount:	\$0.00
Broker Statement	THIS MATTER WAS SETTLED TO AVOID THE TIME, EXPENSE AND UNCERTAINTY INHERENT IN LITIGATION.

Disclosure 4 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	
Allegations:	CUSTOMER ALLEGES REGISTRANT FAILED TO MAKE PRUDENT RECOMMENDATIONS INCURRING AN UNRELATED LOSS OF \$89,000.00.
Product Type:	

Alleged Damages:	\$89,000.00
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Customer Complaint Information

Date Complaint Received:	07/08/1997
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	\$60,000.00
Individual Contribution Amount:	\$60,000.00
Broker Statement	\$60,000 REGISTRANT DENIES ALL ALLEGATIONS OF WRONGDOING. HOWEVER, IN ORDER TO MAINTAIN A SIGNIFICANT CLIENT RELATIONSHIP AND TO AVOID THE TIME AND EXPENSE OF LITIGATION, REGISTRANT HAS AGREED TO BEAR THE ENTIRE COST OF THE SETTLEMENT.

Disclosure 5 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH



Allegations: CLAIMANT ALLEGES THAT FINANCIAL CONSULTANT TRADED IN HIS ACCOUNT WITHOUT AUTHORIZATION. DAMAGES ALLEGED TO BE \$100,000. THIS OCCURRED AT MERRILL LYNCH.

Product Type:

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 04/28/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/01/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 98-00583

Date Notice/Process Served: 04/08/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1998

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount:

Broker Statement \$20,000.00.
THE CASE WAS SETTLED TO AVOID THE TIME, EXPENSE AND UNCERTAINTY OF LITIGATION.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CAPITAL CITY SECURITIES, LLC
Allegations:	UNAUTHORIZED TRADING, UNSUITABLE INVESTMENTS FROM AUGUST 2008 THROUGH NOVEMBER 2009.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Money Market Fund
Alleged Damages:	\$157,045.98
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION ARBITRATION CLEVELAND, OHIO FILED AGAINST THE FIRM BUT DID NOT NAME THE INDIVIDUAL BROKER.
Docket/Case #:	10-03030
Filing date of arbitration/CFTC reparation or civil litigation:	06/28/2010

Customer Complaint Information

Date Complaint Received:	07/12/2010
Complaint Pending?	No
Status:	Withdrawn
Status Date:	05/01/2012
Settlement Amount:	

**Individual Contribution****Amount:****Arbitration Information****Disposition:** Withdrawn**Disposition Date:** 05/01/2012**Civil Litigation Information****Type of Court:** COUNTY COURT**Name of Court:** COURT OF COMMON PLEAS CUYAHOGA COUNTY, OHIO**Location of Court:** COURT OF COMMON PLEAS CUYAHOGA COUNTY, OHIO**Docket/Case #:** CV-11-469590**Date Notice/Process Served:** 12/14/2011**Litigation Pending?** No**Disposition:** Dismissed**Disposition Date:** 05/01/2012**Monetary Compensation Amount:** \$25,000.00**Individual Contribution Amount:** \$0.00**Firm Statement**
PLAINTIFF WAS A CUSTOMER OF AN INVESTMENT ADVISORY FIRM THAT THE BROKER DEALER, CAPITAL CITY SECURITIES, LLC. PROVIDED BROKERAGE SERVICES FOR. THE ARBITRATION SHOULD NOT HAVE BEEN FILED AGAINST THE BROKER DEALER. A CIVIL CASE, NUMBER CV-11-469590 FILED IN THE COURT OF COMMON PLEAS CUYAHOGA COUNTY, OHIO WAS SETTLED FOR THE COST OF DEFENSE, \$25,000 AND DISMISSED WITH PREJUDICE ON 5/1/2012. THE SUIT ALLEGED THAT A FORMER INVESTMENT ADVISOR REPRESENTATIVE OF CAPITAL CITY ASSET MANAGEMENT GROUP, LLC (CCAMG), MR. FRANK BODI MADE UNSUITABLE INVESTMENTS IN A CLIENT'S ACCOUNT AND CCAMG FAILED TO PROPERLY SUPERVISE MR. BODI. THE PLAINTIFF IN THE CASE WAS A CLIENT OF MR. BODI'S FOR MANY YEARS BEFORE HE JOINED CCAMG AND THE CASE WAS FILED AFTER MR. BODI HAD DEPARTED CCAMG. CCAMG AND MR. BODI DENIED THE ALLEGATIONS AND ADMITTED NO GUILT OR WRONG DOING.**Reporting Source:** Broker



Employing firm when activities occurred which led to the complaint:	CAPITAL CITY SECURITIES, LLC
Allegations:	UNAUTHORIZED TRADING, UNSUITABLE INVESTMENTS FROM AUGUST 2008 THROUGH NOVEMBER 2009.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Money Market Fund
Alleged Damages:	\$156,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION ARBITRATION CLEVELAND, OHIO FILED AGAINST THE FIRM BUT DID NOT NAME THE INDIVIDUAL BROKER.
Docket/Case #:	10-03030
Filing date of arbitration/CFTC reparation or civil litigation:	06/28/2010

Customer Complaint Information

Date Complaint Received:	07/12/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/10/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	{CUSTOMER} WAS A CUSTOMER OF AN INVESTMENT ADVISORY FIRM THAT THE BROKER DEALER, CAPITAL CITY SECURITIES, LLC. PROVIDED BROKERAGE SERVICES FOR. THIS ARBITRATION SHOULD NOT HAVE BEEN FILED AGAINST THE BROKER DEALER.

Disclosure 2 of 3



Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS PAINEWBBER INC.
Allegations: CLIENT ALLEGES OPTIONS WERE AN UNSUITABLE INVESTMENT.
Product Type: Options
Alleged Damages: \$152,030.77

Customer Complaint Information

Date Complaint Received: 05/01/2002
Complaint Pending? No
Status: Denied
Status Date: 05/31/2002
Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: UBS PAINEWBBER
Allegations: CLIENT ALLEGES OPTIONS WERE AN UNSUITABLE INVESTMENT.
Product Type: Options
Alleged Damages: \$152,030.77

Customer Complaint Information

Date Complaint Received: 05/01/2002
Complaint Pending? Yes
Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3



Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH
Allegations: CUSTOMER ALLEGES FINANCIAL CONSULTANT DID NOT EXECUTE INSTRUCTIONS IN A TIMELY FASHION.
Product Type: Equity - OTC
Alleged Damages: \$75,000.00

Customer Complaint Information

Date Complaint Received: 04/11/2000
Complaint Pending? No
Status: Closed/No Action
Status Date: 10/10/2006
Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: CUSTOMER ALLEGES FINANCIAL CONSULTANT DID NOT EXECUTE INSTRUCTIONS IN A TIMELY FASHION.
Product Type: Equity - OTC
Alleged Damages: \$75,000.00

Customer Complaint Information

Date Complaint Received: 04/11/2000
Complaint Pending? No
Status: Closed/No Action
Status Date: 10/10/2006
Settlement Amount:



Individual Contribution

Amount:



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 3

Reporting Source: Firm
Employer Name: LANDOLT SECURITIES, INC.
Termination Type: Discharged
Termination Date: 02/16/2024
Allegations: The firm has concluded that violations by the representative related to off-channel communications have occurred.
Product Type: No Product

Disclosure 2 of 3

Reporting Source: Firm
Employer Name: UBS FINANCIAL SERVICES INC.
Termination Type: Permitted to Resign
Termination Date: 04/16/2002
Allegations: PAYMENTS TO CUSTOMER AND CUSTOMER COMPLAINTS.
Product Type: Options
Other Product Types:
Firm Statement IT WAS ALLEGED THAT REPRESENTATIVE MADE A PAYMENT TO TWO CUSTOMERS IN VIOLATION OF FIRM POLICY IN DECEMBER 2000 AND NOVEMBER 2001. CUSTOMERS ALLEGE UNSUITABLE RECOMMENDATIONS.

Reporting Source: Broker
Employer Name: UBS PAINEWEBBER
Termination Type: Permitted to Resign
Termination Date: 04/16/2002
Allegations: PAYMENTS TO CUSTOMER AND CUSTOMER COMPLAINTS.
Product Type: Equity Listed (Common & Preferred Stock)



Other Product Types: OPTIONS

Broker Statement
IT WAS ALLEGED THAT REPRESENTATIVE MADE A PAYMENT TO TWO CUSTOMERS IN VIOLATION OF FIRM POLICY IN DECEMBER 2000 AND NOVEMBER 2001. CUSTOMERS ALLEGE UNSUITABLE RECOMMENDATIONS.

Disclosure 3 of 3

Reporting Source: Broker

Employer Name: MERRILL LYNCH

Termination Type: Voluntary Resignation

Termination Date: 09/01/2000

Allegations: SEE SECTION #3 IN U-5. (RESIGNED DURING AN INTERNAL REVIEW AT MERRILL LYNCH.)

Product Type: Other

Other Product Types:

Broker Statement
I RESIGNED VOLUNTARILY ON 9/1/00. I WAS UNAWARE OF ANY INTERNAL REVIEW, NOR WAS I APPROACHED BY ANYONE INTERNALLY AT MERRILL LYNCH THAT THERE WAS A PENDING REVIEW CONCERNING ME.

End of Report



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