

## BrokerCheck Report

**DARYL WINFIELD RILEY**

CRD# 1190212

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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).

**DARYL W. RILEY**

CRD# 1190212

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

**IA LPL FINANCIAL LLC**  
 725 TOWN AND COUNTRY RD  
 SUITE 530  
 ORANGE, CA 92868  
 CRD# 6413  
 Registered with this firm since: 05/01/2024

**B LPL FINANCIAL LLC**  
 725 TOWN AND COUNTRY RD  
 SUITE 530  
 ORANGE, CA 92868  
 CRD# 6413  
 Registered with this firm since: 05/01/2024

**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
- 2 U.S. states and territories

**This broker has passed:**

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

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

- IA CROWN CAPITAL SECURITIES, L.P.**  
 CRD# 6312  
 ORANGE, CA  
 06/2009 - 05/2024
- B CROWN CAPITAL SECURITIES, L.P.**  
 CRD# 6312  
 LOS ANGELES, CA  
 06/2009 - 05/2024
- IA WELLS FARGO ADVISORS, LLC**  
 CRD# 19616  
 ST. LOUIS, MO  
 02/2007 - 05/2009

**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	1
Customer Dispute	2



## 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 2 U.S. states and territories through his or her employer.**

### Employment 1 of 1

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 Principal	Approved	05/01/2024
B	FINRA	General Securities Representative	Approved	05/01/2024

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	05/01/2024
IA	California	Investment Adviser Representative	Approved	05/01/2024
B	Washington	Agent	Approved	05/01/2024

### Branch Office Locations

**LPL FINANCIAL LLC**  
725 TOWN AND COUNTRY RD  
SUITE 530  
ORANGE, CA 92868



## 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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	01/30/2003
<b>B</b> Registered Options Principal Examination	Series 4	09/29/1998
<b>B</b> Municipal Securities Principal Examination	Series 53	08/02/1996

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	12/17/1983
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	10/31/1983

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/07/2008
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/30/2007

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/](http://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>IA</b> 06/2009 - 05/2024	CROWN CAPITAL SECURITIES, L.P.	6312	ARCADIA, CA
<b>B</b> 06/2009 - 05/2024	CROWN CAPITAL SECURITIES, L.P.	6312	LOS ANGELES, CA
<b>IA</b> 02/2007 - 05/2009	WELLS FARGO ADVISORS, LLC	19616	TOLUCA LAKE, CA
<b>B</b> 02/2007 - 05/2009	WELLS FARGO ADVISORS, LLC	19616	TOLUCA LAKE, CA
<b>B</b> 06/2003 - 02/2007	ATLAS SECURITIES, LLC	20991	ARCADIA, CA
<b>IA</b> 05/2002 - 04/2003	WM FINANCIAL SERVICES, INC.	599	SANTA MONICA, CA
<b>B</b> 04/2002 - 04/2003	WM FINANCIAL SERVICES, INC.	599	IRVINE, CA
<b>B</b> 06/2001 - 04/2002	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
<b>B</b> 11/1993 - 07/1999	WELLS FARGO SECURITIES INC.	17438	SAN FRANCISCO, CA
<b>B</b> 06/1996 - 09/1996	FIRST INTERSTATE INVESTMENTS, INC.	17101	
<b>B</b> 12/1990 - 11/1993	MARKETING ONE SECURITIES, INC.	16611	PORTLAND, OR
<b>B</b> 02/1989 - 09/1990	GAF FINANCIAL AND INSURANCE SERVICES	14123	
<b>B</b> 02/1989 - 08/1990	PAMCO SECURITIES AND INSURANCE SERVICES	11028	
<b>B</b> 11/1988 - 12/1988	HAMILTON, WILLIAMS & CO., INC.	17612	
<b>B</b> 08/1988 - 11/1988	DUNHAM & GREER, INC. INVESTMENT COUNSEL	13162	
<b>B</b> 05/1987 - 02/1988	GNA SECURITIES, INC.	10465	
<b>B</b> 06/1984 - 05/1987	MML INVESTORS SERVICES, INC.	10409	
<b>B</b> 11/1983 - 05/1984	NEL EQUITY SERVICES CORPORATION	615	

### Employment History



## Registration and Employment History

### Employment History, continued

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
05/2024 - Present	LPL FINANCIAL LLC	Registered Representative	Y	ORANGE, CA, United States
01/2021 - Present	FITNESS INSTRUCTOR	FITNESS INSTRUCTOR	N	LA HABRA, CA, United States
06/2009 - 05/2024	CROWN CAPITAL SECURITIES, LP	REGISTERED REP	Y	ORANGE, CA, United States

### 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. 05/01/2024 - Daryl Riley - Coach/sports/Fitness - Teach - Not Investment Related - Home Based - Start Date 04/19/2018 - 10 Hours Per Month/ 4 Hours During Trading

2. 05/01/2024 - Fixed insurance - Trails Only - Non-Variable Insurance Trails Only - Investment Related - Home Based - Start Date 02/01/2008



## 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.
  -
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
Regulatory Event	0	1	0
Customer Dispute	0	2	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 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	06/20/2012
<b>Docket/Case Number:</b>	2009018214701
<b>Employing firm when activity occurred which led to the regulatory action:</b>	WELLS FARGO ADVISORS LLC
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Allegations:</b>	FINRA RULE 2010, NASD RULES 2110, 2510 - DARYL RILEY EXERCISED DISCRETION IN CUSTOMER ACCOUNTS OVER A TWO YEAR PERIOD WITHOUT THE CUSTOMERS' WRITTEN AUTHORIZATION AND HIS MEMBER FIRM HAD NOT ACCEPTED THE ACCOUNTS AS DISCRETIONARY.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement



**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:**

12/10/2012

**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**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	ONE MONTH
<b>Start Date:</b>	01/07/2013
<b>End Date:</b>	02/06/2013

**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:** 01/23/2013**Was any portion of penalty waived?** No**Amount Waived:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RILEY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE MONTH. THE SUSPENSION IS IN EFFECT FROM JANUARY 7, 2013 THROUGH FEBRUARY 6, 2013. FINE PAID IN FULL ON 1/23/2013.

**Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: NA**Date Initiated:** 06/20/2012**Docket/Case Number:** 2009018214701**Employing firm when activity occurred which led to the regulatory action:** WELLS FARGO ADVISORS LLC**Product Type:** Equity Listed (Common & Preferred Stock)

**Allegations:** FINRA RULE 2010, NASD RULES 2110, 2510-DARYL RILEY EXERCISED DISCRETION IN CUSTOMER ACCOUNTS OVER A TWO YEAR PERIOD WITHOUT THE CUSTOMERS' WRITTEN AUTHORIZATION AND HIS MEMBER FIRM HAD NOT ACCEPTED THE ACCOUNTS AS DISCRETIONARY.

**Current Status:** Final



<b>Resolution:</b>	Decision & Order of Offer of Settlement
<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>Resolution Date:</b>	12/10/2012
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	ONE MONTH
<b>Start Date:</b>	01/07/2013
<b>End Date:</b>	02/06/2013
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	01/23/2013
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RILEY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR ONE MONTH. THE SUSPENSION IS IN EFFECT FROM JANUARY 7, 2013 THROUGH FEBRUARY 6, 2013.





## 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS, LLC
<b>Allegations:</b>	CA RESIDENT VERBALLY STATED THAT HIS FA PURCHASED ARBOR REALTY TRUST ON 7/10/08, 8/11/08, AND 5/4/08 AND APOLLO INVESTMENT CORP ON 5/4/09 ALL WITHOUT HIS AUTHORIZATION.
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$35,000.00
<b>Is this an oral complaint?</b>	Yes
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/08/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	08/12/2009
<b>Settlement Amount:</b>	\$31,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	AS A BUSINESS DECISION, AND WITHOUT ADMITTING ANY LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED FOR \$31,000.

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS, LLC





**Allegations:** CA RESIDENT VERBALLY STATED THAT HIS FA PURCHASED ARBOR REALTY TRUST ON 7/10/08, 8/11/08, AND 5/4/08 AND APOLLO INVESTMENT CORP ON 5/4/08 ALL WITHOUT HIS AUTHORIZATION

**Product Type:** Equity-OTC

**Alleged Damages:** \$35,000.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 05/08/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/12/2009

**Settlement Amount:** \$31,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** AS A BUSINESS DECISION AND WITHOUT ADMITTING ANY LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED FOR \$31,000.

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WELLS FARGO ADVISORS, LLC

**Allegations:** CA RESIDENT HAS STATED THAT TRADES WERE PLACED IN HIS ACCOUNT WITHOUT HIS AUTHORIZATION. HE ALSO STATED THAT THE SECURITIES ARE TOO RISKY FOR HIS CONSERVATIVE RISK TOLERANCE. CLIENT'S REALIZED LOSSES ARE \$31,000 AND UNREALIZED LOSSES ARE \$101,000. (08/05/2008 - 05/29/2009)

**Product Type:** Other: MISCELLANEOUS

**Alleged Damages:** \$132,000.00

**Is this an oral complaint?** No



**Is this a written complaint?** Yes

**Is this an arbitration/CFTC  
reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 05/29/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/28/2009

**Settlement Amount:** \$45,000.00

**Individual Contribution  
Amount:** \$0.00

**Firm Statement** AS A BUSINESS DECISION, AND WITHOUT ADMITTING ANY LIABILITY ON  
THE PART OF THE FIRM, THE MATTER WAS SETTLED FOR \$45,000.

**Reporting Source:** Broker

**Employing firm when  
activities occurred which led  
to the complaint:** WELLS FARGO ADVISORS, LLC

**Allegations:** CA RESIDENT HAS STATED THAT TRADES WERE PLACED IN HIS ACCOUNT  
WITHOUT HIS AUTHORIZATION. HE ALSO STATED THAT THE SECURITIES  
ARE TOO RISKY FOR HIS CONSERVATIVE RISK TOLERANCE. CLIENT'S  
REALIZED LOSSES ARE \$31,000 AND UNREALIZED LOSSES ARE \$101,000  
(8-5-2008 - 5/29/2009)

**Product Type:** Other: MISCELLANEOUS

**Alleged Damages:** \$132,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC  
reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 05/29/2009



Complaint Pending?	No
Status:	Settled
Status Date:	08/28/2009
Settlement Amount:	\$45,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	AS A BUSINESS DECISION AND WITHOUT ADMITTING ANY LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED FOR \$45,000.

## End of Report



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