

BrokerCheck Report

STEPHEN ALLEN FREIDIN

CRD# 1547945

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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.

STEPHEN A. FREIDIN

CRD# 1547945

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** **WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
LAKE FOREST, IL
07/2012 - 02/2025
- B** **MORGAN STANLEY SMITH BARNEY**
CRD# 149777
LAKE FOREST, IL
06/2009 - 08/2012
- B** **MORGAN STANLEY & CO. INCORPORATED**
CRD# 8209
WINNETKA, IL
04/2007 - 06/2009

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
Customer Dispute	7

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	11/15/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/02/1994
B Uniform Securities Agent State Law Examination	Series 63	12/17/1986

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 07/2012 - 02/2025	WELLS FARGO CLEARING SERVICES, LLC	19616	LAKE FOREST, IL
B 06/2009 - 08/2012	MORGAN STANLEY SMITH BARNEY	149777	LAKE FOREST, IL
B 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	WINNETKA, IL
B 11/2005 - 04/2007	MORGAN STANLEY DW INC.	7556	WINNETKA, IL
B 09/1995 - 11/2005	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
B 05/1993 - 09/1995	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 06/1991 - 05/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 04/1989 - 06/1991	OPPENHEIMER & CO., INC.	630	NEW YORK, NY
B 11/1986 - 04/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
B 11/1986 - 12/1986	THE STUART-JAMES COMPANY, INC.	11691	

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	LAKE FOREST, IL, United States
07/2012 - 11/2016	WELLS FARGO ADVISORS	REGISTERED REP	Y	LAKE FOREST, IL, 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:**
 - 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	7	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC
Allegations:	KS RESIDENT ALLEGES THAT FA PERSUADED HIM TO TRANSFER AND LIQUIDATE REITS TO INVEST IN EQUITIES. HE ALLEGES THAT HE WAS A CONSERVATIVE INVESTOR AND WAS NOT ADVISED OF RISKS OF TECH STOCKS OR MARGIN. HE CLAIMS BROKER CHURNED ACCOUNT AND BREACHED FIDUCIARY DUTIES. HE CLAIMS SOME OF FA'S TRADES WERE WITHOUT HIS CONSENT. CLAIMED DAMAGES OF \$1,000,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$1,000,000.00

Customer Complaint Information

Date Complaint Received:	09/29/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/29/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 04-06674

Date Notice/Process Served: 09/29/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/23/2006

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE CLAIM WAS SETTLED FOR \$100,000.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC

Allegations: KS RESIDENT ALLEGES THAT FA PERSUADED HIM TO TRANSFER AND LIQUIDATE REITS TO INVEST IN EQUITIES. HE ALLEGES THAT HE WAS A CONSERVATIVE INVESTOR AND WAS NOT ADVISED OF RISKS OF TECH STOCKS OR MARGIN. HE CLAIMS SOME OF FA'S TRADES WERE WITHOUT HIS CONSENT. CLAIMED DAMAGES OF \$1,000,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received: 09/29/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/29/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.:	NASDR CASE NO. 04-06674
Date Notice/Process Served:	09/29/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/23/2006
Monetary Compensation Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER INCORPORATED
Allegations:	MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY
Product Type:	
Alleged Damages:	\$76,891.58

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #96-00756
Date Notice/Process Served:	05/21/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/20/1997
Disposition Detail:	CASE IS CLOSED, SETTLED ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;



ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ACTUAL/COMPENSATORY DAMAGES, 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;
 PUNITIVE/EXEMPLARY DAMAGES, 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;
 PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS
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 PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS
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 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
 AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, 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; ATTORNEY'S FEES, RELIEF REQUE*See
 FAQ #1*

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PAINWEBBER INCORPORATED

Allegations:

Alleged failure to disclose risks, 10(b) &
 10b-5 claims, violations of Ill. Secs. Law of 1953, brch of
 fid. dt & violation of NASD rules w/regard to various funds
 during 4/93-9/95. Alleged damages of \$76,891.58.

**Product Type:****Alleged Damages:** \$76,891.58**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 96-00756**Date Notice/Process Served:** 05/21/1996**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 06/20/1997**Monetary Compensation Amount:** \$12,000.00**Individual Contribution Amount:** \$0.00**Firm Statement**
PaineWebber agreed to pay \$12k in settlement of action. IE did not & was not asked to contribute to the settlement.
Contact: Hector Becil (201) 902-6659**Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** PAINEWEBBER INCORPORATED**Allegations:** ALLEGED FAILURE TO DISCLOSE RISKS, 10(B) & 10B-5 CLAIMS VIOLATIONS OF ILL. SEC LAW OF 1953, BREACH OF



FIDUCIARY DUTY & VIOLATION OF NASD RULES WITH REGARD TO
VARIOUS
FUNDS DURING 4/93-9/95. ALLEGED DAMAGES OF \$76,891.58.

Product Type:

Alleged Damages: \$76,891.58

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** National Assoc. of Securities Dealers; 96-00756

Date Notice/Process Served: 05/21/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/20/1997

**Monetary Compensation
Amount:** \$12,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement

PAINWEBBER AGREED TO PAY \$12K IN SETTLEMENT OF ACTION. IE DID NOT AND WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.
TO AVOID THE TIME EXPENSE AND UNCERTAINTY ASSOCIATED WITH LITIGATION, PAINWEBBER MADE A BUSINESS DECISION AND AGREED TO SETTLE THE MATTER FOR \$12,000. I WAS NOT ASKED TO CONTRIBUTE TO THIS SETTLEMENT, AND I DID NOT CONTRIBUTE TO THIS SETTLEMENT.



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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	FINANCIAL ADVISOR ALLEGEDLY FAILED TO SELL STOCKS AS CUSTOMER REQUESTED ON JANUARY 13, 2009. DAMAGES MORE THAN \$5,000.
Product Type:	Equity Listed (Common & Preferred Stock) Other: CLOSED-END FUNDS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES MORE THAN \$5,000.
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:	02/19/2009
Complaint Pending?	No
Status:	Denied
Status Date:	05/01/2009
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 5

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES INC. (CURRENTLY KNOWN AS WACHOVIA SECURITIES INC.)

Allegations: ILLINOIS CLIENT CLAIMS THAT ADVISOR HAS NOT MANAGED ACCOUNTS IN HER BEST INTERESTS. CLIENT CLAIMS LOSSES OF OVER \$25,000 IN ACCOUNTS, WHICH WERE OPENED IN SEPTEMBER 2001.

Product Type: Other

Other Product Type(s): MISCELLANEOUS

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 10/31/2002

Complaint Pending? No

Status: Denied

Status Date: 12/17/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLAIM DENIED. MAJORITY OF CLIENT'S LOSSES APPEAR TO BE ATTRIBUTABLE TO SECURITIES PURCHASED AT ANOTHER FIRM AND SOLD AT WSI UNDER HER EXPRESS ORDERS. REMAINING INVESTMENTS APPEAR TO BE CONSISTENT WITH CLIENT'S STATED GOALS.

Disclosure 3 of 5

Reporting Source: Broker

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

Allegations: CLIENT COMPLAINS OF UNSUITABLE TRADING IN 2 ACCOUNTS AND BROKER "MALFEASANCE" AND "NEGLIGENCE." DAMAGES ARE NOT SPECIFICALLY ALLEGED BUT ARE IN EXCESS OF \$5,000.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information



Date Complaint Received: 03/08/2001

Complaint Pending? No

Status: Denied

Status Date: 04/05/2001

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Broker

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

Allegations: FAILURE BY THE INVESTMENT CONSULTANT TO FILL HUNDREDS OF OPTIONS CONTRACTS AS ORDERED AND MISREPRESENTATIONS BY THE INVESTMENT CONSULTANT TO THE CUSTOMER THAT SAID ORDERS WERE FILLED (WHEN IN FACT THEY WERE NOT FILLED).

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/04/1998

Complaint Pending? No

Status: Denied

Status Date: 08/10/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER AN INVESTIGATION OF THE ABOVE CLAIMS, THE FIRM FOUND THEM TO BE COMPLETELY WITHOUT MERIT AND REQUESTED THE CUSTOMER TO TRANSFER HIS ACCOUNT TO ANOTHER FIRM (WHICH HE



HAS DONE).
NOT PROVIDED

Disclosure 5 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EVEREN

Allegations: THE CUSTOMER ALLEGED THAT AN UNSPECIFIED NUMBER OF UNAUTHORIZED TRADES WERE ENTERED INTO HER ACCOUNT (MOST LIKELY EQUITY TRANSACTIONS) AND THAT HER ACCOUNT WAS NOT TRANSFERRED AS SHE HAD REQUESTED. THE DAMAGES WERE NOT SPECIFIED BUT THE FIRM REASONABLY BELIEVES THAT THEY ARE IN EXCESS OF \$5,000.00

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/11/1999

Complaint Pending? No

Status: Denied

Status Date: 01/21/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM CONCLUDED THAT THE CLAIM LACKED MERIT AND ACCORDINLY IT WAS DENIED IN FULL.
NOT PROVIDED

End of Report



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