

BrokerCheck Report

GEORGE CARLO JR

CRD# 2080659

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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.

**GEORGE CARLO JR**

CRD# 2080659

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

- B SPARTAN CAPITAL SECURITIES, LLC**
 4175 Veterans Memorial Hwy
 Suite 203
 Ronkonkoma, NY 11779
 CRD# 146251
 Registered with this firm since: 01/02/2018

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:**

- 2 Self-Regulatory Organizations
- 12 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

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

- B K.C. WARD FINANCIAL**
 CRD# 145135
 RONKONKOMA, NY
 01/2010 - 12/2017
- B MORGAN WILSHIRE SECURITIES, INC.**
 CRD# 44807
 GARDEN CITY, NY
 09/1998 - 12/2009
- B FIRST ASSET MANAGEMENT, INC.**
 CRD# 17341
 GARDEN CITY, NY
 08/1998 - 09/1998

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	6



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 2 SROs and is licensed in 12 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SPARTAN CAPITAL SECURITIES, LLC**

Main Office Address: **45 BROADWAY
19TH FLOOR
NEW YORK, NY 10006**

Firm CRD#: **146251**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/02/2018
B	FINRA	General Securities Representative	Approved	01/02/2018
B	FINRA	Investment Banking Representative	Approved	01/02/2018
B	FINRA	Operations Professional	Approved	01/02/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	11/21/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	11/21/2024

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/02/2018
B	Kentucky	Agent	Approved	01/02/2018
B	Louisiana	Agent	Approved	07/31/2023
B	Nevada	Agent	Approved	01/02/2018
B	New Hampshire	Agent	Approved	08/19/2019
B	New Jersey	Agent	Approved	01/12/2018

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	01/02/2018
B	Oregon	Agent	Approved	01/02/2018
B	Pennsylvania	Agent	Approved	01/03/2018
B	Rhode Island	Agent	Approved	08/22/2023
B	Texas	Agent	Approved	01/02/2018
B	Wisconsin	Agent	Approved	09/03/2020

Branch Office Locations

SPARTAN CAPITAL SECURITIES, LLC

4175 Veterans Memorial Hwy
Suite 203
Ronkonkoma, NY 11779



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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/21/1995

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/06/1990

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	11/26/1990

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 01/2010 - 12/2017	K.C. WARD FINANCIAL	145135	RONKONKOMA, NY
B 09/1998 - 12/2009	MORGAN WILSHIRE SECURITIES, INC.	44807	GARDEN CITY, NY
B 08/1998 - 09/1998	FIRST ASSET MANAGEMENT, INC.	17341	GARDEN CITY, NY
B 05/1997 - 07/1998	WALSH MANNING SECURITIES, LLC	30826	
B 12/1994 - 02/1997	MAIDSTONE FINANCIAL, INC.	31804	NEW YORK, NY
B 04/1992 - 12/1994	LEW LIEBERBAUM & CO., INC.	17341	GARDEN CITY, NY
B 11/1990 - 04/1992	STRATTON OAKMONT INC.	18692	LAKE SUCCESS, NY

Employment History

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
01/2018 - Present	Spartan Capital Securities, LLC.	Registered Representatives	Y	Mullica, NJ, United States
01/2010 - 12/2017	KC WARD FINANCIAL	REGISTERED REPRESENTATIVE	Y	RONKONKOMA, NY, 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.

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.
 -
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	6	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 - 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 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MAIDSTONE FINANCIAL, INC.

Allegations: EXECUTIONS-FAILURE TO EXECUTE;
EXECUTIONS-INCORRECT QUANTITY

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$10,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #98-01113

Date Notice/Process Served: 05/21/1998

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/25/1999

Disposition Detail: RESPONDENT CARLO IS LIABLE AND SHALL
PAY TO THE CLAIMANT \$2,900.00 PLUS INTEREST AT THE RATE OF 7% PER
ANNUM FROM 30 DAYS FROM DATE OF AWARD.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MAIDSTONE FINANCIAL, INC.

Allegations: FAILURE TO PROPERLY EXECUTE THE IPO PURCHASE
ORDER FAILURE TO ALLOCATE SUFFICIENT IPO UNITS DAMAGES \$10,000

Product Type: Equity - OTC

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 05/21/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/25/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-01113

Date Notice/Process Served: 05/21/1998

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 01/25/1999

Monetary Compensation Amount: \$2,900.00

Individual Contribution Amount: \$2,900.00

Broker Statement BROKER MADE PAYMENT TO CLIENT FOR \$2,900
NOT PROVIDED

Disclosure 2 of 2



Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MAIDSTONE FINANCIAL, INC.

Allegations: SUITABILITY; MANIPULATION; MISREPRESENTATION

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,875.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-04256

Date Notice/Process Served: 09/27/1996

Arbitration Pending? No

Disposition: Award

Disposition Date: 02/11/1997

Disposition Detail: RESPONDENTS MAIDSTONE FINANCIAL, INC. AND GEORGE CARLO BE AND HEREBY ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY CLAIMANTS THE SUM OF \$5687.00 IN ACTUAL DAMAGES.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MAIDSTONE FINANCIAL, INC.

Allegations: SUITABILITY, MANIPULATION, MISREPRESENTATION. COMPENSATORY DAMAGE ASKED FOR 5,875

Product Type: Equity - OTC

Alleged Damages: \$5,875.00

Customer Complaint Information

Date Complaint Received: 09/27/1996

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/11/1997

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

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NATIONAL ASSOC. OF SECURITIES DEALERS; 96-04256

Date Notice/Process Served: 09/27/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/11/1997

**Monetary Compensation
Amount:** \$5,837.00

**Individual Contribution
Amount:**

Broker Statement MAIDSTONE AND CARLO WERE FOUND LIABLE AND AWARD RENDERED TO
CLIENT \$5,687 PLUS \$150
INTEREST.
NOT PROVIDED



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 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: MANIPULATION, BREACH OF COMMON LAW FIDUCIARY DUTY, FRAUD

Product Type: Other

Other Product Type(s): UNSPECIFIED TYPE OF FINANCIAL PRODUCT

Alleged Damages: \$550,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #98-04189

Date Notice/Process Served: 11/05/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/26/2002

Disposition Detail: SETTLED: AT THE HEARING, CLAIMANT ENTERED INTO A SETTLEMENT AGREEMENT WITH RESPONDENT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WALSH MANNING SEC.

Allegations: BREACH OF FIDUCIARY DUTY

Product Type: No Product

Alleged Damages: \$550,000.00

Customer Complaint Information

Date Complaint Received: 11/05/1998



Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/26/2002
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE # 98-04189
Date Notice/Process Served:	11/26/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/26/2002
Monetary Compensation Amount:	\$5,000.00
Individual Contribution Amount:	\$5,000.00
Broker Statement	CLAIMANT SETTLED WITH RESPONDENT TO AVOID ADDITIONAL LEGAL EXPENSES. RESPONDENT PAID CLAIMANTS ATTORNEY FOR FEES INCURRED BY CLAIMANT.RESPONDENT DENIES ANY WRONGDOING.

Disclosure 2 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	WALSH MANNING SECURITIES, LLC
Allegations:	BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, MISREPRESENTATION, FAILURE TO DISCLOSE MATERIAL FACTS
Product Type:	Other
Other Product Type(s):	STOCKS
Alleged Damages:	\$214,610.00



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #99-04336

Date Notice/Process Served: 09/20/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/2001

Disposition Detail: CLAIMANT ENTERED INTO A SETTLEMENT AGREEMENT WITH RESPONDENT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WALSH MANNING SECURITIES, LLC

Allegations: BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, MISPRESENTATION, FAILURE TO DISCLOSE MATERIAL FACTS.

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$214,610.00

Customer Complaint Information

Date Complaint Received: 09/20/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/20/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 99-04336



Date Notice/Process Served: 09/20/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/2001

Monetary Compensation Amount: \$2,500.00

Individual Contribution Amount: \$2,500.00

Disclosure 3 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MAIDSTONE FINANCIAL, INC

Allegations: ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT; MISREPRESENTATION

Product Type:

Alleged Damages: \$198,088.41

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #98-01132

Date Notice/Process Served: 04/21/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/1998

Disposition Detail: CASE IS CLOSED, BY HEARING *****PER ARBITRATION PANEL, CLAIMANT ENTERED INTO SETTLEMENT AGREEMENTS WITH RESPONDENTS CARLO AND LITMAN. *****



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MAIDSTONE FINANCIAL, INC

Allegations: BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, BREACH OF NASD'S RULES OF FAIR PRACTICE/BREACH OF CONTRACT, FRAUD AND MISREPRESENTATION, DAMAGES OF \$198,088.41

Product Type: Equity - OTC

Alleged Damages: \$198,088.41

Customer Complaint Information

Date Complaint Received: 04/21/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/08/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-01132

Date Notice/Process Served: 04/21/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/1998

Monetary Compensation Amount: \$12,500.00

Individual Contribution Amount: \$12,500.00

Broker Statement SETTLED WITH CUSTOMER FOR \$12,500 IN ORDER TO AVOID ADDITIONAL LEGAL FEES, TRAVEL EXPENSES AND ANY OTHER EXPENSES WHICH I WOULD HAVE INCURRED DEFENDING THIS CASE. I STILL CONTINUE TO DENY ANY WRONG DOING.
NOT PROVIDED



Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: LEW LIEBERBAUM & CO., INC.

Allegations: MISREPRESENTATION; OMISSION OF FACTS; UNAUTHORIZED TRADING; CHURNING

Product Type: Other

Other Product Type(s): COMMON STOCKS, WARRANT/RIGHTS

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-04535

Date Notice/Process Served: 09/25/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/13/1998

Disposition Detail: THE CLAIMANT SETTLED HIS CLAIMS AGAINST RESPONDENT CARLO.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: MISREPRESENTATION - OTC EQUITY; FAILURE TO FOLLOW INSTRUCTIONS; ALLEGED DAMAGES: UNSPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/21/1997



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; 97-04535

Date Notice/Process Served: 09/25/1997

Arbitration Pending? Yes

Firm Statement AFTER A REVIEW OF THE FACTS, THE COMPLIANCE DEPARTMENT DENIED THE CUSTOMER'S CLAIM.
Not Provided

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: LEW LIEBERBAUM & CO., INC.

Allegations: MISREPRESENTATION OMISSION OF FACTS
UNAUTHORIZED TRADING CHURNING

Product Type: Equity - OTC

Alleged Damages: \$23,000.00

Customer Complaint Information

Date Complaint Received: 04/21/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/25/1997

Settlement Amount:

Individual Contribution Amount:

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOC. OF SECURITIES DEALERS; 97-04535
Date Notice/Process Served:	09/25/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/16/2000
Monetary Compensation Amount:	\$9,000.00
Individual Contribution Amount:	\$9,000.00
Broker Statement	NOT PROVIDED I BELIEVE THE ALLEGATIONS AGAINST ME ARE AN ATTEMPT BY THE CUSTOMER TO RECOUP MARKET LOSSES WHICH OCCURRED WITH HIS KNOWLEDGE AND CONSENT OVER 3 YEARS AGO. I BELIEVE I WILL PREVAIL AT ARBITRATION AND ALL CHARGES WILL BE DISMISSED.

End of Report



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