

BrokerCheck Report

MARTIN JOSEPH HARE

CRD# 2194612

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 10
Disclosure Events	11



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.

**MARTIN J. HARE**

CRD# 2194612

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

IA RBC CAPITAL MARKETS, LLC
 TWO MID AMERICA PLAZA
 SUITE 500 SOUTH
 OAKBROOK TERRACE, IL 60181
 CRD# 31194
 Registered with this firm since: 11/30/2017

B RBC CAPITAL MARKETS, LLC
 TWO MID AMERICA PLAZA
 SUITE 500 SOUTH
 OAKBROOK TERRACE, IL 60181-4715
 CRD# 31194
 Registered with this firm since: 11/30/2017

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:

- 22 Self-Regulatory Organizations
- 25 U.S. states and territories

This broker has passed:

- 0 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 UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 WEEHAWKEN, NJ
 12/2010 - 12/2017
- B UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 OAKBROOK, IL
 12/2010 - 12/2017
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 LA JOLLA, CA
 10/2004 - 12/2010

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	3



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 22 SROs and is licensed in 25 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	11/30/2017
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/30/2017
B	FINRA	General Securities Representative	Approved	11/30/2017
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B	MEMX LLC	General Securities Representative	Approved	11/02/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B	NYSE American LLC	General Securities Representative	Approved	11/30/2017
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/30/2017
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq BX, Inc.	General Securities Representative	Approved	11/30/2017
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/30/2017
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/30/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	11/30/2017
B	New York Stock Exchange	General Securities Representative	Approved	11/30/2017

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	11/30/2017
B	Arizona	Agent	Approved	11/30/2017
B	California	Agent	Approved	11/30/2017
B	Colorado	Agent	Approved	11/30/2017
B	Florida	Agent	Approved	12/01/2017
IA	Florida	Investment Adviser Representative	Approved	12/22/2023
B	Illinois	Agent	Approved	12/01/2017
IA	Illinois	Investment Adviser Representative	Approved	12/01/2017
B	Indiana	Agent	Approved	12/11/2017
B	Iowa	Agent	Approved	03/15/2024
B	Maryland	Agent	Approved	11/30/2017
B	Massachusetts	Agent	Approved	12/05/2017
B	Michigan	Agent	Approved	11/30/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	12/01/2017
B	Missouri	Agent	Approved	11/30/2017
B	Nevada	Agent	Approved	11/30/2017
B	New Jersey	Agent	Approved	11/30/2017
B	New York	Agent	Approved	09/12/2021
B	North Carolina	Agent	Approved	07/15/2021
B	Ohio	Agent	Approved	07/30/2025
B	Pennsylvania	Agent	Approved	11/30/2017
B	South Carolina	Agent	Approved	11/30/2017
B	Texas	Agent	Approved	11/30/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	11/30/2017
B	Virginia	Agent	Approved	03/15/2024
B	Washington	Agent	Approved	11/30/2017
B	Wisconsin	Agent	Approved	11/30/2017
B	Wyoming	Agent	Approved	01/06/2025

Branch Office Locations

RBC CAPITAL MARKETS, LLC
 TWO MID AMERICA PLAZA
 SUITE 500 SOUTH
 OAKBROOK TERRACE, IL 60181-4715

RBC CAPITAL MARKETS, LLC
 Bonita Springs, FL

Broker Qualifications



Employment 1 of 1, continued
RBC CAPITAL MARKETS, LLC
Oak Brook, IL



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, 3 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 Futures Managed Funds Examination	Series 31	05/16/2008
B General Securities Representative Examination	Series 7	12/19/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/03/2005
B Uniform Securities Agent State Law Examination	Series 63	12/23/1991

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 12/2010 - 12/2017	UBS FINANCIAL SERVICES INC.	8174	OAKBROOK, IL
IA 12/2010 - 12/2017	UBS FINANCIAL SERVICES INC.	8174	OAKBROOK, IL
B 10/2004 - 12/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LA JOLLA, CA
IA 10/2004 - 12/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LA JOLLA, CA
IA 05/2003 - 10/2004	WELLS FARGO INVESTMENTS, LLC	10582	SEQUIM, WA
B 05/2002 - 10/2004	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
IA 10/1999 - 06/2002	UBS PAINEWEBBER INC.	8174	LA JOLLA, CA
B 07/1999 - 06/2002	UBS PAINEWEBBER INC.	8174	WEEHAWKEN, NJ
B 06/1996 - 07/1999	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 07/1995 - 06/1996	MESIROW FINANCIAL, INC.	2764	CHICAGO, IL
B 11/1993 - 07/1995	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO
B 09/1992 - 12/1993	MESIROW FINANCIAL, INC.	2764	CHICAGO, IL
B 12/1991 - 09/1992	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO

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
11/2017 - Present	RBC Capital Markets LLC	Registered Representative	Y	Oakbrook Terrace, IL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2010 - 11/2017	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	SAN DIEGO, 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) YORK TOWNSHIP REPUBLICAN COMMITTEEMAN ORGANIZATION; ADDRESS: 662 SOUTH FERN CT., ELMHURST, IL 60126; NOT INVESTMENT RELATED; BUSINESS DESCRIPTION: POLITICAL ACTION COMMITTEE; CAPACITY: ELECTED OFFICIAL (BOTH NON-POLITICAL AND POLITICAL OFFICE; START DATE: 10/8/2018; DUTIES: HANDLE GETTING OUT THE VOTE FOR THE REPUBLICAN PARTY IN MY RESPECTIVE DISTRICT; HOURS DEVOTED PER MONTH: 2; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0.

(2) LIZZADRO MUSEUM OF LAPIDARY ART; ADDRESS: 220 SOUTH COTTAGE HILL AVE, ELMHURST, IL 60126; NOT INVESTMENT RELATED; BUSINESS DESCRIPTION: MUSEUM; CAPACITY: BOARD OF DIRECTORS; START DATE: 11/15/2018; DUTIES: ADVISORY CAPACITY; HOURS DEVOTED PER MONTH: 1; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0.

(3) Name: Ace Northshore Homecare Inc. dba: Homewatch Caregivers
 Address: 900 Skokie Blvd Suite 126 Northbrook, IL 60062
 Business Description: In home care
 Business is not investment related
 Projected Start Date: 11/25/20
 Capacity: Owner - Active, Partner
 Duties Performed: 50% partner. Company is Manager and Employee run. Will monitor incoming income to expense reports.
 Devoted to this OBA per Month: 4-6 hours per week
 Hours Devoted to this OBA during business hours: 0

(4) NAME OF ENTITY: Markur Corporation;
 ADDRESS: 5 Kimberly Circle, Oak Brook IL;
 NOT INVESTMENT RELATED;
 BUSINESS DESCRIPTION: Holding Corporation for 401k ROBS plan to purchase Ace North Shore Home Healthcare;
 CAPACITY: Partner;
 START DATE: 02/05/2021;
 DUTIES: Oversee and direct management to grow and operate business;
 HOURS DEVOTED PER MONTH: 10;
 HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: None;

5) NAME OF ENTITY: Grand Aqua LLC
 ADDRESS: 24820 Lakemone Cove Lane #201, Bonita Springs, FL 34134
 INVESTMENT/NOT INVESTMENT RELATED: No



Registration and Employment History

Other Business Activities, continued

BUSINESS DESCRIPTION: Small Private

START DATE: 12.24.24

CAPACITY: Owner

DUTIES: LLC Holding company for personal assets. Will be paying personal expenses from this entity.

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

6) NAME OF ENTITY: Madison Core LLC

ADDRESS: 5712 Fox Gate Lane, Hinsdale, IL 60521

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Small Private

START DATE: 12.23.24

CAPACITY: Sole Owner of LLC

DUTIES: LLC to hold home

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

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	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.

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:	UBS Financial Services, Inc.
Allegations:	Time frame: January 2017 -2018 Allegations: Claimant alleges that his financial advisor misrepresented that he would not incur any tax liability in connection with the surrender of an annuity but after surrender incurred huge tax consequences. Claimant alleges damages, violations of Illinois securities laws, breach of fiduciary duty, negligence, failure to supervise, and violations of FINRA rules.
Product Type:	Other: Annuity
Alleged Damages:	\$153,749.00
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
Docket/Case #:	18-04106



Filing date of arbitration/CFTC reparation or civil litigation: 12/03/2018

Customer Complaint Information

Date Complaint Received: 12/03/2018

Complaint Pending? No

Status: Settled

Status Date: 06/06/2019

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

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

Allegations: Time Frame: January 27, 2017 to March 16, 2018 Allegations: Authorized CPA alleges the recommendation to surrender the annuity was unsuitable and further states his client was told that the surrender would not trigger any taxes, which was not true.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$5,000.00

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

Docket/Case #: 18-04106



Filing date of arbitration/CFTC reparation or civil litigation: 12/03/2018

Customer Complaint Information

Date Complaint Received: 12/21/2018

Complaint Pending? No

Status: Settled

Status Date: 06/06/2019

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Broker Statement

This was an inherited client. He was not comfortable with the annual expenses that his annuity was charging and independently decided to surrender it. The annuity was out of its surrender charge schedule but we anticipated a sizeable tax liability. I advised that he speak with his accountant to discuss the tax implications of surrendering his annuity. He decided to move forward with the surrender after speaking to his accountant. To help offset the tax liability, I recommended a tax-exempt municipal bond portfolio with the expectation that the interest earned would allow the client to break even on the taxes paid within a few years.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CUSTOMER ALLEGED THAT BROKER MISREPRESENTED THE RISK OF INVESTMENTS IN CITICORP PREFERRED STOCK MADE 03/18/99 AND PHILADELPHIA AUTHORITY PREFERRED STOCK MADE 01/21/99.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 07/21/1999

Complaint Pending? No

Status: Settled



Status Date: 05/12/2000

Settlement Amount: \$6,500.00

Individual Contribution Amount: \$0.00

Firm Statement UPON REVIEW, THE FIRM DETERMINED THAT THE CLAIM LACKED MERIT AS AN ACCOMODATION AND TO AVOID THE COSTS AND UNCERTAINTIES OF ARBITRATION, THE FIRM SETTLED THE MATER.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CLIENT ALLEGED THAT BROKER MISREPRESENTED THE RISK OF INVESTMENTS IN CITICORP PREFERRED STOCK MADE 03/18/1999 AND PHILADELPHIA AUTHORITY PREFERRED STOCK MADE 1/21/99.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 07/21/1999

Complaint Pending? No

Status: Settled

Status Date: 05/12/2000

Settlement Amount: \$6,500.00

Individual Contribution Amount: \$0.00

Broker Statement DEAN WITTER DETERMINED THAT THE CLAIM LACKED MERIT, BUT AS AN ACCOMODATION AND TO AVOID THE COSTS AND UNCERTAINTIES OF ARBITRATION, THE FIRM SETTLED THE MATTER.



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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS.
Product Type:	Mutual Fund
Alleged Damages:	\$30,000.00
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:	01/15/2010
Complaint Pending?	No
Status:	Denied
Status Date:	01/27/2010
Settlement Amount:	
Individual Contribution Amount:	

End of Report



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