

BrokerCheck Report

JOHN DAVENPORT WISWELL

CRD# 2313243

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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.



JOHN D. WISWELL

CRD# 2313243

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

IA

OSAIC WEALTH, INC.

18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
CRD# 23131
Registered with this firm since: 10/11/2024

B

OSAIC WEALTH, INC.

850 NW Federal Hwy
Suite VO415
Stuart, FL 34994
CRD# 23131
Registered with this firm since: 10/11/2024

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
- 33 U.S. states and territories

This broker has passed:

- 2 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

AMERICAN PORTFOLIOS ADVISORS, INC

CRD# 112697
HOLBROOK, NY
10/2007 - 10/2024

B

AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.

CRD# 18487
Stuart, FL
09/2007 - 10/2024

IA

RAYMOND JAMES FINANCIAL SERVICES

CRD# 6694
ST. PETERSBURG, FL
02/2003 - 09/2007

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	3

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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 33 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255**

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/11/2024
B	FINRA	General Securities Sales Supervisor	Approved	10/11/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/11/2024
B	Arizona	Agent	Approved	10/11/2024
B	California	Agent	Approved	10/11/2024
IA	California	Investment Adviser Representative	Approved	10/11/2024
B	Colorado	Agent	Approved	10/11/2024
B	Connecticut	Agent	Approved	10/11/2024
B	Delaware	Agent	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
IA	Florida	Investment Adviser Representative	Approved	10/11/2024
B	Georgia	Agent	Approved	10/11/2024
B	Illinois	Agent	Approved	10/11/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	10/11/2024
B	Kentucky	Agent	Approved	10/11/2024
B	Louisiana	Agent	Approved	10/11/2024
B	Maine	Agent	Approved	10/11/2024
B	Maryland	Agent	Approved	10/11/2024
B	Massachusetts	Agent	Approved	10/11/2024
B	Michigan	Agent	Approved	10/11/2024
IA	Michigan	Investment Adviser Representative	Approved	10/11/2024
B	Minnesota	Agent	Approved	10/11/2024
B	Mississippi	Agent	Approved	10/11/2024
B	Missouri	Agent	Approved	10/11/2024
B	Nevada	Agent	Approved	10/11/2024
B	New Jersey	Agent	Approved	10/11/2024
B	New Mexico	Agent	Approved	10/11/2024
B	New York	Agent	Approved	10/11/2024
B	North Carolina	Agent	Approved	10/11/2024
B	North Dakota	Agent	Approved	10/11/2024
IA	North Dakota	Investment Adviser Representative	Approved	10/11/2024
B	Ohio	Agent	Approved	10/11/2024
B	Pennsylvania	Agent	Approved	10/11/2024
B	South Carolina	Agent	Approved	10/11/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	10/11/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	01/28/2025
B	Vermont	Agent	Approved	10/11/2024
B	Virginia	Agent	Approved	10/11/2024
IA	Virginia	Investment Adviser Representative	Approved	10/11/2024
B	West Virginia	Agent	Approved	10/11/2024
IA	West Virginia	Investment Adviser Representative	Approved	10/11/2024
B	Wisconsin	Agent	Approved	10/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
 18700 N. HAYDEN ROAD
 SUITE 255
 SCOTTSDALE, AZ 85255

OSAIC WEALTH, INC.
 850 NW Federal Hwy
 Suite VO415
 Stuart, FL 34994



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	10/07/2003
B General Securities Sales Supervisor - General Module Examination	Series 10	08/20/2003

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	11/21/1994
B General Securities Representative Examination	Series 7	03/17/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/30/1993
B Uniform Securities Agent State Law Examination	Series 63	04/06/1993

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
IA 10/2007 - 10/2024	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY
B 09/2007 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Stuart, FL
IA 02/2003 - 09/2007	RAYMOND JAMES FINANCIAL SERVICES	6694	JENSEN BEACH, FL
B 01/2003 - 09/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	JENSEN BEACH, FL
B 04/2000 - 01/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
IA 04/2000 - 01/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	STUART, FL
B 06/1993 - 04/2000	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 03/1993 - 06/1993	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, 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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
06/2006 - Present	UNIVERSAL FINANCIAL CONSULTANTS	AGENT	Y	JENSEN BEACH, FL, United States
09/2007 - 10/2024	AMERICAN PORTFOLIOS FINC'L SVCS	REGISTERED REP	Y	JENSEN BEACH, FL, 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.

WISWELL FINANCIAL SERVICES LLC

POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 130 START DATE: 01/09/2003

ADDRESS: 850 NW Federal Hwy, Stuart FL 34994, United States

DESCRIPTION: Work with the public as a registered representative and advisor in the securities business and create content, Manage Social Media and Public Outreach for the securities business.

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	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

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

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: n/a
Date Initiated:	12/30/2015
Docket/Case Number:	2013039482701
Employing firm when activity occurred which led to the regulatory action:	American Portfolios Financial Services, Inc.
Product Type:	Mutual Fund
Allegations:	Without admitting or denying the findings, Wiswell consented to the sanctions and to the entry of findings that he failed to reasonably supervise the activities of a registered representative to prevent unsuitable mutual fund switching. The findings stated that Wiswell failed to take reasonable steps to follow up on red flags and approved all of the registered representative's mutual fund switch transactions.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

12/30/2015

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

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



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

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

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	any principal
Duration:	15 business days
Start Date:	01/19/2016
End Date:	02/08/2016

**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:** 01/22/2016**Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: N/A**Date Initiated:** 12/30/2015**Docket/Case Number:** [2013039482701](#)**Employing firm when activity occurred which led to the regulatory action:** American Portfolios Financial Services ,Inc.**Product Type:** Mutual Fund**Allegations:** Without admitting or denying the findings, Wiswell consented to the sanctions and to the entry of findings that he failed to reasonably supervise the activities of a registered representative to prevent unsuitable mutual fund switching. The findings stated that Wiswell failed to take reasonable steps to follow up on red flags and approved all of the registered representative's mutual fund switch transactions.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/30/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Any principal
Duration:	15 business days
Start Date:	01/19/2016
End Date:	02/08/2016
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:	01/19/2016
Was any portion of penalty waived?	No
Amount Waived:	



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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.
Allegations:	LACK OF SUPERVISION
Product Type:	No Product
Alleged Damages:	\$59,367.03
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 #:	10-02461
Filing date of arbitration/CFTC reparation or civil litigation:	07/12/2010

Customer Complaint Information

Date Complaint Received:	07/26/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/26/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-02461
Date Notice/Process Served:	07/26/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/02/2011
Monetary Compensation Amount:	\$18,750.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	RESPONDEAT SUPERIOR, VIOLATION OF FLORIDA STATUTES 517.301, UNAUTHORIZED TRADING
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$425,000.00

Customer Complaint Information

Date Complaint Received:	01/28/2009
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	01/28/2009
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	State Court
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Name of Court: MARTIN COUNTY, FL CLERK OF 19TH JUDICIAL CIRCUIT COURT
Location of Court: MARTIN COUNTY, FL
Docket/Case #: 09-209CA
Date Notice/Process Served: 01/28/2009
Litigation Pending? No
Disposition: Settled
Disposition Date: 12/16/2011
Monetary Compensation Amount: \$300,000.00
Individual Contribution Amount: \$300,000.00
Firm Statement AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE
 AS PART OF A FIRM-WIDE GLOBAL SETTLEMENT

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations: RESPONDEAT SUPERIOR, VIOLATION OF FLORIDA STATUTES 517.301, UNAUTHORIZED TRADING
Product Type: Other: AUCTION RATE SECURITIES
Alleged Damages: \$425,000.00

Customer Complaint Information

Date Complaint Received: 01/28/2009
Complaint Pending? No
Status: Evolved into Civil litigation (the individual is a named party)
Status Date: 01/28/2009

**Settlement Amount:**

**Individual Contribution
Amount:**

Civil Litigation Information

Type of Court:	State Court
Name of Court:	MARTIN COUNTY, FL CLERK OF 19TH JUDICIAL CIRCUIT COURT
Location of Court:	MARTIN COUNTY, FL
Docket/Case #:	09-209CA
Date Notice/Process Served:	01/28/2009
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	12/16/2011
Monetary Compensation Amount:	\$300,000.00
Individual Contribution Amount:	\$300,000.00
Broker Statement	AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE AS PART OF A FIRM-WIDE GLOBAL SETTLEMENT

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CLIENT ALLEGES SUITABILITY AND CHURNING. DAMAGES OVER \$5,000.
Product Type:	Mutual Fund(s)
Other Product Type(s):	EQUITIES; ANNUITY
Alleged Damages:	\$0.00

Customer Complaint Information



Date Complaint Received: 01/26/2000
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 05/11/2004

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO. 01-07168

Date Notice/Process Served: 01/09/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/11/2004

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: CLAIMANTS ALLEGE BREACH OF CONTRACT, FRAUD AND BREACH OF FIDUCIARY DUTIES.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITIES

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 01/09/2002

Complaint Pending? No



Status: Arbitration/Reparation

Status Date: 01/09/2002

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD, CASE NUMBER 01-07168

Date Notice/Process Served: 01/09/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/11/2004

**Monetary Compensation
Amount:** \$20,000.00

**Individual Contribution
Amount:** \$0.00

End of Report



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