

BrokerCheck Report

GREGORY ALLEN EASTMAN

CRD# 2456282

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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:
 - o 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
 - o 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.

**GREGORY A. EASTMAN**

CRD# 2456282

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 3100 W Ray Rd Ste 201
 San Tan Corporate Cent
 Chandler, AZ 85226
 CRD# 6363
 Registered with this firm since: 04/04/2022

B AMERIPRISE FINANCIAL SERVICES, LLC
 3100 W Ray Rd Ste 201
 San Tan Corporate Cent
 Chandler, AZ 85226
 CRD# 6363
 Registered with this firm since: 04/04/2022

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
- 19 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA FIRST FINANCIAL EQUITY CORPORATION**
 CRD# 16507
 SCOTTSDALE, AZ
 04/2013 - 04/2022
- B FIRST FINANCIAL EQUITY CORPORATION**
 CRD# 16507
 SCOTTSDALE, AZ
 09/2007 - 04/2022
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 OMAHA, NE
 04/2007 - 06/2007

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	2
Criminal	1
Termination	1



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

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/04/2022

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/21/2022
IA	California	Investment Adviser Representative	Approved	04/04/2022
B	California	Agent	Approved	04/05/2022
B	Colorado	Agent	Approved	04/22/2022
B	Florida	Agent	Approved	04/05/2022
B	Georgia	Agent	Approved	04/05/2022
B	Illinois	Agent	Approved	04/25/2022
B	Indiana	Agent	Approved	04/25/2022
B	Kentucky	Agent	Approved	04/21/2022
B	Maryland	Agent	Approved	04/05/2022
B	Minnesota	Agent	Approved	04/22/2022
B	New Jersey	Agent	Approved	04/22/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	04/28/2022
B	North Carolina	Agent	Approved	04/25/2022
B	Ohio	Agent	Approved	04/04/2022
B	Pennsylvania	Agent	Approved	04/22/2022
B	Tennessee	Agent	Approved	04/25/2022
B	Texas	Agent	Approved	04/04/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	04/05/2022
B	Virginia	Agent	Approved	04/23/2022
B	Washington	Agent	Approved	04/22/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

3100 W Ray Rd Ste 201
 San Tan Corporate Cent
 Chandler, AZ 85226

AMERIPRISE FINANCIAL SERVICES, LLC

Chandler, AZ



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/23/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/01/2006
B National Commodity Futures Examination	Series 3	05/09/1994

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/02/2013
IA Uniform Investment Adviser Law Examination	Series 65	04/06/1994
B Uniform Securities Agent State Law Examination	Series 63	03/30/1994

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 04/2013 - 04/2022	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ
B 09/2007 - 04/2022	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ
B 04/2007 - 06/2007	SECURITIES AMERICA, INC.	10205	OMAHA, NE
B 06/2006 - 08/2006	SECURITIES AMERICA, INC.	10205	LAVISTA, NE
B 06/2002 - 03/2004	SECURITIES AMERICA, INC.	10205	LAVISTA, NE
B 05/2002 - 06/2002	RBC DAIN RAUSCHER INC.	31194	NEW YORK, NY
IA 05/2002 - 06/2002	RBC DAIN RAUSCHER INC.	31194	SCOTTSDALE, AZ
B 06/1997 - 06/2002	U.S. BANCORP PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN
B 06/1994 - 06/1997	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ

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
04/2022 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	REGISTERED REP	Y	CHANDLER, AZ, United States
09/2007 - 04/2022	FIRST FINANCIAL EQUITY CORPORATION	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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.

Business Ownership; G Consulting LLC; Run the Business; Consulting; 5121 Camellia Drive, , Chandler, AZ, 85248; Not Investment-Related;

Registration and Employment History



Other Business Activities, continued

06/01/2006; 20 to 39 hours per month; 0 during trading hours.

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	2	0
Criminal	0	1	0
Termination	N/A	1	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	05/05/2008
Docket/Case Number:	0700453
Employing firm when activity occurred which led to the regulatory action:	U.S. BANCORP PIPER JAFFRAY, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD FOUND THAT RESPONDENT ENGAGED IN UNETHICAL CONDUCT IN VIOLATION OF RULE 2110 BY FALSELY REPRESENTING HAS COMMISSIONS AND ASSETS UNDER MANAGEMENT OF HIS HAND - CURRENT EMPLOYER IS ORDER TO OBTAIN EMPLOYMENT AT ANOTHER FIRM. RESPONDENT REGISTRATIONS AS A SALESPERSON IN IL IS SUBJECT TO DENIAL.
Current Status:	Final
Resolution:	Consent



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

Resolution Date: 06/23/2008

Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered: CONSENT ORDER WITHDRAWAL OF APPLICATION

Sanction Details: RESPONDENT WILL CAUSE TO HAVE HIS APPLICATIONS FOR REGISTRATION AS A SALESPERSON IN THE STATE OF IL. WITHDRAWN WITHIN 3 DAYS FROM THE ENTRY OF THIS CONSENT ORDER, AND SHALL NOT REAPPLY FOR REGISTRATION FOR A PERIOD OF 5 YEARS. RESPONDENT ALSO IS TO PAY \$250 TO COVER COSTS OF INVESTIGATIONS.

Regulator Statement IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MR. JAY BIONDO AT 312-793-3384.

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF ILLINOIS SECRETARY OF STATE SECURITIES DEPARTMENT

Sanction(s) Sought: Denial

Date Initiated: 05/05/2008

Docket/Case Number: 0700453

Employing firm when activity occurred which led to the regulatory action: US BANCORP PIPER JAFFRAY, INC.

Product Type: No Product

Allegations: NASD FOUND THAT RESPONDENT ENGAGED IN UNETHICAL CONDUCT IN VIOLATION OF RULE 2110 BY FALSELY REPRESENTING COMMISSIONS AND ASSETS UNDER MGMT IN ORDER TO OBTAIN EMPLOYMENT AT ANOTHER FIRM. RESPONDENT REGISTRATIONS AS A SALESPERSON IN IL IS SUBJECT TO DENIAL.

Current Status: Final

Resolution: Consent



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

Resolution Date: 06/23/2008

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$250.00

Portion Levied against individual: \$250.00

Payment Plan: N/A

Is Payment Plan Current: Yes

Date Paid by individual: 06/23/2008

Was any portion of penalty waived? No

Amount Waived:

Broker Statement MR. EASTMAN AGREED TO WITHDRAW HIS APPLICATION IN THE STATE OF ILLINOIS AND WAS ASKED TO PAY \$250 FOR THE INVESTIGATION COSTS OF ORIGINAL APPLICATION.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Date Initiated: 05/08/2003

Docket/Case Number: C3A030012



Employing firm when activity occurred which led to the regulatory action:	RBC DAIN RAUSCHER, INC.
Product Type:	No Product
Allegations:	NASD CONDUCT RULE 2110 - RESPONDENT SUBMITTED MATERIAL FALSE DOCUMENTATION TO A FIRM CONCERNING THE AMOUNT OF HIS YEAR 2001 GROSS COMMISSIONS AND THE AMOUNT OF HIS ASSETS UNDER MANAGEMENT FOR THE FIRST QUARTER OF 2002. BASED ON RESPONDENT'S FALSE SUBMISSIONS, HE WAS OFFERED A JOB BY THE FIRM AND A FORGIVABLE LOAN OF \$400,000. THE LOAN WAS FORGIVABLE OVER A 72-MONTH PERIOD. THE EMPLOYMENT AGREEMENT EXPLICITLY STATED THAT A MAJOR INDUCEMENT FOR THE EMPLOYMENT OF RESPONDENT BY THE FIRM, AND THE \$400,000 LOAN WERE THE AMOUNT OF RESPONDENT'S 2001 COMMISSIONS AND THE AMOUNT OF HIS 2002 ASSETS UNDER MANAGEMENT THAT RESPONDENT REPRESENTED TO BE TRUE AND ACCURATE. AFTER LEARNING OF THE MATERIAL DISCREPANCIES IN THE AMOUNTS OF RESPONDENT'S 2001 COMMISSIONS AND THE AMOUNTS OF HIS 2002 ASSETS UNDER MANAGEMENT PREVIOUSLY REPORTED, THE FIRM RECLAIMED THE \$400,000 FROM RESPONDENT'S INDIVIDUAL BROKERAGE ACCOUNT AT THE FIRM AND ON JUNE 11, 2002, RESPONDENT WAS PERMITTED TO RESIGN FROM THE FIRM.
Current Status:	Final
Resolution:	Decision
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:	04/06/2004
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	RESPONDENT GREGORY A. EASTMAN ENGAGED IN UNETHICAL CONDUCT, IN VIOLATION OF RULE 2110, BY FALSELY REPRESENTING HIS COMMISSIONS AND ASSETS UNDER MANAGEMENT AT HIS THEN-CURRENT EMPLOYER IN ORDER TO OBTAIN EMPLOYMENT WITH ANOTHER NASD MEMBER FIRM. HEARING PANEL DECISION RENDERED ON FEBRUARY 18, 2004, WHEREIN GREGORY A. EASTMAN WAS SUSPENDED FROM ASSOCIATION WITH ANY



NASD MEMBER IN ANY CAPACITY FOR 2 YEARS, FINED \$20,000.00 AND ORDERED TO PAY \$1,572.27 IN COSTS OF HEARING. THE FINE SHALL BE DUE AND PAYABLE EITHER PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SANCTIONS WERE BASED ON FINDINGS THAT GREGORY A. EASTMAN ENGAGED IN UNETHICAL CONDUCT, IN VIOLATION OF RULE 2110, BY FALSELY REPRESENTING HIS COMMISSIONS AND ASSETS UNDER MANAGEMENT AT HIS MEMBER FIRM IN ORDER TO OBTAIN EMPLOYMENT WITH ANOTHER MEMBER FIRM. IF NO OTHER ACTION IS TAKEN, DECISION WILL BECOME FINAL ON APRIL 6, 2004. APRIL 6, 2004 - DECISION IS NOW FINAL AND EFFECTIVE IMMEDIATELY. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON APRIL 19, 2004, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON APRIL 19, 2006.
FINES PAID ON AUGUST 6, 2009.

Reporting Source:	Firm
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	NASD FILED A FORMAL DISCIPLINARY COMPLAINT AGAINST GREGORY EASTMAN
Date Initiated:	05/05/2003
Docket/Case Number:	NASD CASE #C3A030012
Employing firm when activity occurred which led to the regulatory action:	US BANCORP PIPER JAFFERY
Product Type:	No Product
Other Product Type(s):	
Allegations:	FALSIFICATION OF RECORDS: PRIOR TO MAY 31, 2002 GREG EASTMAN SUBMITTED MATERIALLY FALSE INFORMATION TO HIS POTENTIAL NEW B/D RBC DAIN RAUSHER CONCERNING 2001 GROSS COMMISSIONS. AS WELL AS SUBMITTING MATERIALLY FALSE ASSETS UNDER MANAGEMENT FIGURES FOR THE FIRST 3 MONTHS OF 2002 TO RBC DAIN RAUSHER. THE INFLATED FIGURES ALLOWED MR. EASTMAN TO SECURE A LARGER LOAN FROM RBC DAIN RAUSHER IN CONNECTION WITH HIS TRASITION FROM



US BANCORP PIPER JAFFRAY TO RBC DAIN RAUSHER.

Current Status:

Final

Resolution:

Decision

Resolution Date:

02/18/2004

Sanctions Ordered:

Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details:

MR. EASTMAN TWO YEAR SUSPENSION SHALL BEGIN MONDAY APRIL 19, 2004 AND SHALL END WEDNESDAY APRIL 19, 2006. HE IS SUSPENDED IN ALL CAPACITIES OF HIS SECURITIES LICENSES. NO REQUALIFICATION REQUIREMENTS WERE NOTED IN THE DECISION. FINED \$20,000 TO BE PAID BY MR. EASTMAN.

Firm Statement

MR EASTMAN INTENDS TO CONTEST THE STATEMENT OF COMPLAINT AND THE PRAYER FOR RELIEF. PURSUANT TO RULE 9221 OF THE NASD CODE, MR. EASTMAN WILL ALSO REQUEST A HEARING AND DEFEND THIS MATTER.

Reporting Source:

Broker

Regulatory Action Initiated By:

NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought:

Other

Other Sanction(s) Sought:

NASD FILED A FORMAL DISCIPLINARY COMPLAINT AGAINST GREGORY EASTMAN

Date Initiated:

05/05/2003

Docket/Case Number:

NASD CASE #C3A030012

Employing firm when activity occurred which led to the regulatory action:

US BANCORP PIPER JAFFERY

Product Type:

No Product

Other Product Type(s):

Allegations:

FALSIFICATION OF RECORDS: PRIOR TO MAY 31, 2002 GREG EASTMAN SUBMITTED MATERIALLY FALSE INFORMATION TO HIS POTENTIAL NEW B/D RBC DAIN RAUSHER CONCERNING 2001 GROSS COMMISSIONS. AS WELL AS SUBMITTING MATERIALLY FALSE ASSETS UNDER MANAGEMENT FIGURES FOR THE FIRST 3 MONTHS OF 2002 TO RBC DAIN RAUSHER. THE



INFLATED FIGURES ALLOWED MR. EASTMAN TO SECURE A LARGER LOAN FROM RBC DAIN RAUSHER IN CONNECTION WITH HIS TRASITION FROM US BANCORP PIPER JAFFRAY TO RBC DAIN RAUSHER.

Current Status:

Final

Resolution:

Decision

Resolution Date:

02/18/2004

Sanctions Ordered:

Monetary/Fine \$20,000.00
Suspension

Other Sanctions Ordered:**Sanction Details:**

MR. EASTMAN TWO YEAR SUSPENSION SHALL BEGIN MONDAY APRIL 19, 2004 AND SHALL END WEDNESDAY APRIL 19, 2006. HE IS SUSPENDED IN ALL CAPACITIES OF HIS SECURITIES LICENSES.
NO REQUALIFICATION REQUIREMENTS WERE NOTED IN THE DECISION.
FINED \$20,000 TO BE PAID BY MR. EASTMAN.

Broker Statement

MR EASTMAN INTENDS TO CONTEST THE STATEMENT OF COMPLAINT AND THE PRAYER FOR RELIEF. PURSUANT TO RULE 9221 OF THE NASD CODE, MR. EASTMAN WILL ALSO REQUEST A HEARING AND DEFEND THIS MATTER.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	State Court
Name of Court:	Commonwealth of Pennsylvania
Location of Court:	Allegheny County
Docket/Case #:	8302165
Charge Date:	02/26/1983
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Simple Assault False Imprisonment Involuntary Deviate Sexual Intercourse Indecent Assault Rape
No of Counts:	5
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	09/20/1984
Charge was Amended or reduced to:	Charges reduced to misdemeanor assault. Three years probation from 09/20/1984- 9/20/1987. No monetary penalty or fine.



Amended No of Counts: 1

Amended Charge: Misdemeanor

Amended Plea: Guilty

Disposition of Amended Charge: Reduced

Current Status: Final

Status Date: 09/20/1984

Disposition Date: 09/20/1984

Sentence/Penalty: Charges reduced to misdemeanor assault.
Three years probation from 09/20/1984- 9/20/1987.
No monetary penalty or fine.

Broker Statement

ON FEBRUARY 26, 1983 I MADE A VERY POOR DECISION, FOLLOWING A NIGHT OF DRINKING, WHEN I DECIDED TO ACCEPT AN INVITATION TO A FEMALE FRIENDS DORM ROOM. WHAT ENSUED COST ME THREE PRECIOUS YEARS OF MY LIFE AND BROUGHT GREAT EMBARRASSMENT, SHAME, & HUMILIATION AND REMORSE TO MY FAMILY. I HOWEVER, HAVE GROWN AND MATURED IMMEASURABLE FOLLOWING THE ABOVE-REFERENCED EVENT INCLUDING COMPLETING MY UNDERGRADUATE DEGREE DURING THE ORDEAL.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	RBC DAIN RAUSCHER INC.
Termination Type:	Permitted to Resign
Termination Date:	06/11/2002
Allegations:	ALTERED, FALSIFIED, AND PRESENTED DOCUMENTS/RECORDS FROM PRIOR FIRM TO REFLECT SEVERAL TIMES ACTUAL PRODUCTION AND ASSETS UNDER MANAGEMENT AT THE PRIOR FIRM FOR THE PURPOSE OF OBTAINING EMPLOYMENT AND GREATER TRANSITIONAL COMPENSATION.
Product Type:	No Product
Other Product Types:	
Broker Statement	MR. EASTMAN RETURNED ALL TRANSITIONAL COMPENSATION AND SERVED A SUSPENSION DETAILED IN NASD CASE C3A030012

End of Report



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