

BrokerCheck Report

WAYNE THOMAS BOUCHER

CRD# 26819

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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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

WAYNE T. BOUCHER

CRD# 26819

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

CORECAP INVESTMENTS, INC.

CRD# 37068
SOUTHFIELD, MI
10/2012 - 03/2017

L.M. KOHN & COMPANY

CRD# 27913
STERLING HEIGHTS, MI
07/2012 - 10/2012

LEONARD & COMPANY

CRD# 36527
STERLING HEIGHTS, MI
01/2010 - 07/2012

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	32

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	03/03/2017
Registered Representative Examination	Series 1	05/26/1966

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	03/31/2007
Uniform Securities Agent State Law Examination	Series 63	08/23/1985

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
10/2012 - 03/2017	CORECAP INVESTMENTS, INC.	37068	SOUTHFIELD, MI
07/2012 - 10/2012	L.M. KOHN & COMPANY	27913	STERLING HEIGHTS, MI
01/2010 - 07/2012	LEONARD & COMPANY	36527	STERLING HEIGHTS, MI
03/1999 - 12/2009	OPPENHEIMER & CO. INC.	249	JENSEN BEACH, FL
06/1974 - 03/1999	FIFTH THIRD/THE OHIO COMPANY	628	CINCINNATI, OH
05/1966 - 07/1974	CHARLES A PARCELLS & CO	1000001	

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 Dates	Employer Name	Employer Location
10/2012 - Present	CORE CAPITAL ADVISORS	SOUTHFIELD, MI
10/2012 - Present	WINDSOR SHEFFIELD	WAYNE, PA
07/2012 - Present	L.M. KOHN & COMPANY	CINCINNATI, OH
01/2010 - 07/2012	LEONARD & COMPANY	STERLING HEIGHTS, MI
03/1999 - 12/2009	FAHNESTOCK & CO., INC.	PORT HURON, MI

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.

MR BOUCHER IS A REGISTERED REPRESENTATIVE FOR CORECAP INVESTMENTS AND CORE CAPITAL ADVISORS. NO CONFLICTS ARE ANTICIPATED.



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
Customer Dispute	0	32	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 31

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CoreCap Investments, Inc., Leonard & Co., Inc., L.M. Kohn Inc.
Allegations:	Negligence; fraud, breach of fiduciary; breach of contract, negligent misrepresentation; violation of FINRA rules, all in the sale of corporate bonds.
Product Type:	Debt-Corporate
Alleged Damages:	\$800,000.00
Alleged Damages Amount Explanation (if amount not exact):	Complaints seeks compensatory damages in the amount of \$800,000 to \$1,400,000, plus interest, costs, attorney fees, and exemplary and punitive damages.
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 Office of Dispute Resolution
Docket/Case #:	16-03202



Filing date of arbitration/CFTC reparation or civil litigation: 10/31/2016

Customer Complaint Information

Date Complaint Received: 11/14/2016

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 01/30/2018

Settlement Amount: \$167,500.00

Individual Contribution Amount: \$25,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): GeorgeSharrow et al v. Wayne Boucher & CoreCap Investments

Docket/Case #: FINRA Docket No. 16-03202

Date Notice/Process Served: 11/14/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/30/2018

Monetary Compensation Amount: \$167,500.00

Individual Contribution Amount: \$25,000.00

Firm Statement Case was settled to avoid risks and costs of litigation. No wrongdoing was admitted or denied.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CoreCap Investments, Inc., Leonard & Co., L.M. Kohn Inc.

Allegations: Negligence, fraud, breach of fiduciary, breach of contract, negligent



misrepresentation, violation of FINRA Rules, all in the sale of corporate bonds

Product Type: Debt-Corporate

Alleged Damages: \$800,000.00

Alleged Damages Amount Explanation (if amount not exact): Complainant seeks compensatory damages in the amount of \$800,000 to 1,400,000, plus interest, costs, attorney fees, and exemplary and punitive damages.

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 office of Dispute Resolution

Docket/Case #: 16-03202

Filing date of arbitration/CFTC reparation or civil litigation: 10/31/2016

Customer Complaint Information

Date Complaint Received: 11/14/2016

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 31

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CoreCap Investments, Inc., Leonard & Co., Inc., L.M. Kohn Inc.

Allegations: Client claims bonds purchased were higher risk than he should have had and therefore unsuitable and fraud in the offer of securities.

Product Type: Debt-Corporate

Alleged Damages: \$750,000.00



Alleged Damages Amount Explanation (if amount not exact): Damages are estimated.

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 Office of Dispute Resolution

Docket/Case #: 16-02828 Nichols v. CoreCap Investments, Inc

Filing date of arbitration/CFTC reparation or civil litigation: 09/09/2016

Customer Complaint Information

Date Complaint Received: 12/14/2016

Complaint Pending? No

Status: Settled

Status Date: 10/25/2017

Settlement Amount: \$262,000.00

Individual Contribution Amount: \$50,000.00

Arbitration Information

Disposition: Settled

Disposition Date: 10/25/2017

Firm Statement Case was settled to avoid costs and risks of litigation. No wrongdoing was admitted or denied.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CoreCap Investments, Inc., Leonard & Co., L.M. Kohn Inc.

Allegations: Client claims bonds purchased were higher risk than he should have had and



therefore unsuitable and fraud in the offer of securities.

Product Type: Debt-Corporate

Alleged Damages: \$750,000.00

Alleged Damages Amount Explanation (if amount not exact): Damages are estimated.

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 Office of Dispute Resolution

Docket/Case #: 16-02828 Nichols v. CoreCap Investments, Inc

Filing date of arbitration/CFTC reparation or civil litigation: 09/09/2016

Customer Complaint Information

Date Complaint Received: 12/14/2016

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT



Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 88-CV-30123-PH

Date Notice/Process Served: 09/09/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Broker Statement PLAINTIFF RECEIVES \$35,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. THE DECISION TO SETTLE THE LAWSUITE WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS, PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 4 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES



UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution
Amount:****Civil Litigation Information****Court Details:** C-88-001221-CZ**Date Notice/Process Served:** 08/12/1988**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 11/15/1990**Monetary Compensation
Amount:** \$35,000.00**Individual Contribution
Amount:****Broker Statement**

PLAIANTIFF RECEIVES \$35,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. THE DECISION TO SETTLE THE LAWSUITE WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS, PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 5 of 31**Reporting Source:** Broker**Employing firm when
activities occurred which led
to the complaint:** THE OHIO COMPANY



Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 88-CV-30062-PH

Date Notice/Process Served: 06/15/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$17,956.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$17,956.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADING ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE



OF
LITIGATION.

Disclosure 6 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Court Details: 88-CV-30127-PH

Date Notice/Process Served: 09/15/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$10,726.00



**Individual Contribution
Amount:**

Broker Statement

PLAINTIFF RECEIVES \$10,726.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEDGE THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 7 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information



Court Details: 88-CV-30071-PH
Date Notice/Process Served: 06/24/1988
Litigation Pending? No
Disposition: Settled
Disposition Date: 11/15/1990
Monetary Compensation Amount: \$118,179.00
Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$118,179.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 8 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No
Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: D-89-001679-CZ

Date Notice/Process Served: 10/17/1989

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$15,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 9 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF



DEBENTURES OF PUBLIC SERVICES OF NEW HAMPSHIRE AND GULF STATES
UTILITIES SECURITIES IN THE CUCTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 88-CV-30027-PH

Date Notice/Process Served: 03/29/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$23,319.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$23,319.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDTGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF



LITIGATION.

Disclosure 10 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** C-88-000468-CZ**Date Notice/Process Served:** 02/24/1988**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 11/15/1990**Monetary Compensation Amount:** \$91,000.00**Individual Contribution Amount:**



Broker Statement PLAINTIFF RECEIVES \$91,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES.

Disclosure 11 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICES OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: D-88-001413-CZ

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$61,692.00

Individual Contribution

**Amount:****Broker Statement**

PLAINTIFF RECEIVES \$61,692.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 12 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information



Court Details: D-88-000464-CZ

Date Notice/Process Served: 02/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$75,000.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$75,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 13 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No
Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: C-88-000115-CZ

Date Notice/Process Served: 07/12/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$61,692.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$61,692.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 14 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOSUGHT ACTUAL,



EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 88-CV-30058-PH

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$14,456.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$14,456.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. THE DECISION TO SETTLE THE LAWSUITE WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS, PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 15 of 31

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:

THE OHIO COMPANY

Allegations:

THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

No

Status:

Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details:

0-88000469-CZ

Date Notice/Process Served:

02/24/1988

Litigation Pending?

No

Disposition:

Settled

Disposition Date:

11/15/1990

Monetary Compensation Amount:

\$160,000.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$160,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER".



IN
FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH
LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE
OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVIOD THE EXPENSE
OF
LITIGATION.

Disclosure 16 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 0-88-000112-CZ

Date Notice/Process Served: 07/12/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990



Monetary Compensation Amount: \$15,625.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$15,625.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 17 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:



Civil Litigation Information

Court Details: 0-88-001321-CZ

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$81,147.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$81,147.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 18 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

**Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** D-88-000462-CZ**Date Notice/Process Served:** 02/24/1988**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 11/15/1990**Monetary Compensation Amount:** \$90,000.00**Individual Contribution Amount:****Broker Statement**

PLAINTIFF RECEIVES \$90,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 19 of 31**Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** THE OHIO COMPANY**Allegations:** THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL



AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 0-88-000461-CZ

Date Notice/Process Served: 02/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$123,000.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$123,000.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF



LITIGATION.

Disclosure 20 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** 88-CV-30073-PH**Date Notice/Process Served:** 06/24/1988**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 11/15/1990**Monetary Compensation Amount:** \$72,120.00**Individual Contribution Amount:**

**Broker Statement**

PLAINTIFF RECEIVES \$72,120.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 21 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: C-88-000109-CZ

Date Notice/Process Served: 06/24/1988



Litigation Pending? No
Disposition: Settled
Disposition Date: 11/15/1990
Monetary Compensation Amount: \$18,546.00
Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$18,546.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 22 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation



Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: D-88-000103-CZ

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$11,482.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$11,482.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 23 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

**Product Type:****Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** D-000101-CZ**Date Notice/Process Served:** 07/12/1988**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 11/15/1990**Monetary Compensation Amount:** \$15,312.00**Individual Contribution Amount:****Broker Statement**

PLAINTIFF RECEIVES \$15,312.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. THE THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HANPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 0-88-000102-CZ

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$10,427.00

Individual Contribution Amount:

Broker Statement PLAINTIFF RECEIVES \$10,427.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED



THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 25 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: C-88-000104-CZ

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled



Disposition Date: 11/15/1990

Monetary Compensation Amount: \$28,538.50

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$28,538.50 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 26 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

**Individual Contribution****Amount:****Civil Litigation Information****Court Details:** 88-VC-30024-PH**Date Notice/Process Served:** 03/24/1988**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 11/15/1990**Monetary Compensation Amount:** \$33,268.00**Individual Contribution****Amount:****Broker Statement**

PLAINTIFF RECEIVES \$33,268.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 27 of 31**Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:**Alleged Damages:**



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 88-CV-30069-PH

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$10,071.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$10,071.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 28 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY



Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACUTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 88-CV-30077-PH

Date Notice/Process Served: 07/12/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$15,877.00

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$15,877.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECEISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE



OF
LITIGATION.

Disclosure 29 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE OHIO COMPANY

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Court Details: 87-CV-30086-PH

Date Notice/Process Served: 11/20/1987

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$65,654.00



**Individual Contribution
Amount:**

Broker Statement

PLAINTIFF RECEIVES \$65,654.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 30 of 31

Reporting Source:

Broker

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

THE OHIO COMPANY

Allegations:

THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

No

Status:

Litigation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information



Court Details: 88-CV-30059-PH
Date Notice/Process Served: 06/24/1988
Litigation Pending? No
Disposition: Settled
Disposition Date: 11/15/1990
Monetary Compensation Amount: \$19,326.00
Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$19,326.00 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. TO THE BEST OF MY KNOWLEDGE THE PLEADINGS ALLEGED THAT I WAS VICARIOUSLY LIABLE FOR THE ACTS OR OMISSIONS OF OTHER EMPLOYEES OF THE OHIO COMPANY AS AN "OFFICE MANAGER". IN FACT I WAS NOT AN "OFFICE MANAGER" AND THEREFORE HAD NO SUCH LIABILITY. THE DECISION TO SETTLE THE LAWSUIT WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 31 of 31

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: THE COMPLAINT ALLEGED VIOLATIONS OF FEDERAL AND STATE SECURITIES LAW AND COMMON LAW. IT SOUGHT ACTUAL, EXEMPLARY AND TREBLE DAMAGES IN CONNECTION WITH THE SALE OF DEBENTURES OF PUBLIC SERVICE OF NEW HAMPSHIRE AND GULF STATES UTILITIES SECURITIES IN THE CUSTOMER'S ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No
Status: Litigation
Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 88-CV-30067-PH

Date Notice/Process Served: 06/24/1988

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/15/1990

Monetary Compensation Amount: \$35,430.75

Individual Contribution Amount:

Broker Statement

PLAINTIFF RECEIVES \$35,430.75 AFTER DEDUCTION BY HIS COUNSEL OF FEES, COSTS AND EXPENSES. THE DECISION TO SETTLE THE LAWSUITE WAS MADE BY THE OTHER PRINCIPAL DEFENDANTS, PRESUMABLY TO AVOID THE EXPENSE OF LITIGATION.



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:	Firm
Employing firm when activities occurred which led to the complaint:	THE OHIO COMPANY (PURCHASED BY FIFTH THIRD)
Allegations:	CUSTOMER ALLEGES REPRESENTATIVE MADE UNSUITABLE RECOMMENDATION OF CORPORATE DEBT SECURITY THAT LED TO PURCHASE IN JANUARY 1998
Product Type:	Debt-Corporate
Alleged Damages:	\$28,000.00
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:	04/10/2009
Complaint Pending?	No
Status:	Denied
Status Date:	09/03/2009
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	THE OHIO COMPANY (PURCHASED BY FIFTH THIRD)



Allegations: CUSTOMER ALLEGES REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS OF CORPORATE DEBT SECURITY THAT LED TO PURCHASE IN JANUARY 1998

Product Type: Debt-Corporate

Alleged Damages: \$28,000.00

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: 04/10/2009

Complaint Pending? No

Status: Denied

Status Date: 09/03/2009

Settlement Amount:

Individual Contribution Amount:

End of Report



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