BrokerCheck Report

LEWIS GENE WENTZ

CRD# 2865313

Section Title

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.
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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.

LEWIS G. WENTZ

CRD# 2865313

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

IA **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
5790 HUDSON DRIVE
HUDSON, OH 44236
CRD# 149018
Registered with this firm since: 05/19/2016

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
5790 HUDSON DRIVE
HUDSON, OH 44236
CRD# 6694
Registered with this firm since: 04/27/2015

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
- 47 U.S. states and territories

This broker has passed:

- 2 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):

IA **WESTMINSTER FINANCIAL ADVISORY CORP**
CRD# 110283
BEAVERCREEK, OH
05/2012 - 04/2015

B **WESTMINSTER FINANCIAL SECURITIES, INC.**
CRD# 20677
HUDSON, OH
05/2012 - 04/2015

IA **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**
CRD# 11025
ST. LOUIS, MO
04/2006 - 05/2012

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
Criminal	1
Customer Dispute	3

Broker Qualifications

Registrations

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

This individual is currently registered with 1 SRO and is licensed in 47 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Office Address: **880 CARILLON PARKWAY**
SAINT PETERSBURG, FL 33716

Firm CRD#: **149018**

	U.S. State/ Territory	Category	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	05/19/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	04/11/2017

Branch Office Locations

5790 HUDSON DRIVE
HUDSON, OH 44236

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Office Address: **880 CARILLON PARKWAY**
ST. PETERSBURG, FL 33716

Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/27/2015
B	FINRA	General Securities Sales Supervisor	Approved	04/27/2015

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/18/2015
B	Arizona	Agent	Approved	04/14/2016
B	California	Agent	Approved	04/27/2015
B	Colorado	Agent	Approved	04/27/2015
B	Connecticut	Agent	Approved	04/27/2015
B	Delaware	Agent	Approved	02/11/2019
B	District of Columbia	Agent	Approved	01/06/2016
B	Florida	Agent	Approved	04/27/2015
B	Georgia	Agent	Approved	04/27/2015
B	Hawaii	Agent	Approved	02/10/2025
B	Idaho	Agent	Approved	04/27/2015
B	Illinois	Agent	Approved	04/27/2015
B	Indiana	Agent	Approved	04/28/2015
B	Kansas	Agent	Approved	09/04/2024
B	Kentucky	Agent	Approved	09/26/2016
B	Louisiana	Agent	Approved	04/27/2015
B	Maine	Agent	Approved	04/17/2019
B	Maryland	Agent	Approved	08/05/2015
B	Massachusetts	Agent	Approved	04/27/2015
B	Michigan	Agent	Approved	04/27/2015
B	Minnesota	Agent	Approved	04/27/2015

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Mississippi	Agent	Approved	01/17/2020
B	Missouri	Agent	Approved	04/27/2015
B	Montana	Agent	Approved	05/18/2021
B	Nebraska	Agent	Approved	11/05/2020
B	Nevada	Agent	Approved	10/06/2016
B	New Hampshire	Agent	Approved	10/02/2020
B	New Jersey	Agent	Approved	04/27/2015
B	New Mexico	Agent	Approved	04/27/2015
B	New York	Agent	Approved	04/27/2015
B	North Carolina	Agent	Approved	04/27/2015
B	Ohio	Agent	Approved	04/27/2015
B	Oklahoma	Agent	Approved	09/26/2016
B	Oregon	Agent	Approved	04/27/2015
B	Pennsylvania	Agent	Approved	04/27/2015
B	Puerto Rico	Agent	Approved	04/20/2022
B	Rhode Island	Agent	Approved	03/23/2016
B	South Carolina	Agent	Approved	04/27/2015
B	Tennessee	Agent	Approved	04/27/2015
B	Texas	Agent	Approved	04/27/2015
B	Utah	Agent	Approved	06/22/2015
B	Vermont	Agent	Approved	06/03/2024

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	04/27/2015
B	Washington	Agent	Approved	04/27/2015
B	West Virginia	Agent	Approved	04/27/2015
B	Wisconsin	Agent	Approved	06/05/2015
B	Wyoming	Agent	Approved	04/27/2015

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
5790 HUDSON DRIVE
HUDSON, OH 44236

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, 2 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	03/17/2006
B	General Securities Sales Supervisor - General Module Examination	Series 10	02/24/2006

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	05/29/1997

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	04/14/2006
B	Uniform Securities Agent State Law Examination	Series 63	05/30/1997

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	05/2012 - 04/2015	WESTMINSTER FINANCIAL ADVISORY CORP	110283	HUDSON, OH
B	05/2012 - 04/2015	WESTMINSTER FINANCIAL SECURITIES, INC.	20677	HUDSON, OH
IA	04/2006 - 05/2012	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	HUDSON, OH
B	12/2004 - 05/2012	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	HUDSON, OH
B	05/1997 - 01/2005	EDWARD JONES	250	ST. LOUIS, MO

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
05/2016 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	HUDSON, OH, United States
02/2016 - Present	Wentz Financial Group	Other	N	Hudson, OH, United States
04/2015 - Present	HUMMER ENTERTAINMENT	OWNER	Y	STOW, OH, United States
04/2015 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	HUDSON, OH, United States
04/2015 - Present	WENTZ REAL ESTATE HOLDINGS	OWNER	Y	STOW, OH, 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.

Registration and Employment History

Other Business Activities, continued

(1)Name of Business: Fear the roo Collective LLC Address: 5788 Hudson Drive, Hudson, OH, 44236, United States Activity Type: Non profit Position/Title: Founder Investment Related: No Start Date: 10/31/2020 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: communicate with coaching staff about player eligibility, activities and events associated with akron university basketball. Sole donator of funds to the entity.
(2)Name of Business: Hummer Entertainment LLC Address: 3483 Churchill Downs , Stow, OH, 44224, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 04/01/2015 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: This is a holding company for a car collection
(3)Name of Business: Wentz Family Foundation Address: 5790 Hudson Dr, Hudson, OH, 44236, United States Activity Type: Non profit Position/Title: Director Investment Related: Yes Start Date: 07/09/2018 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Aid in the decision making process of donating to charities
(4)Name of Business: Wentz Financial Group Address: 5790 Hudson Dr, Hudson, OH, 44236, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 02/05/2016 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Financial Advisor, Branch Manager
(5)Name of Business: Wentz Real Estate Holdings Address: 3483 Churchill Downs, Stow, OH, 44224, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 04/01/2015 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Sole owner, Pay Bills and Authorize Maintenance of properties

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.
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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
Criminal	0	1	0
Customer Dispute	0	3	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

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
Formal Charges were brought in:	State Court
Name of Court:	Warren County Common Pleas Court, General Division
Location of Court:	Warren County, OH
Docket/Case #:	22CR39278
Charge Date:	06/03/2022
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Aggravated Vehicular Assault (2903.08(A)(1)(a))
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Charge(s) 2 of 2	
Formal Charge(s)/Description:	Vehicular Assault (2903.08(A)(2)(b))
No of Counts:	1

Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	04/03/2023
Charge was Amended or reduced to:	Failure to Yield (4511-43(a))
Amended No of Counts:	1
Amended Charge:	Minor Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Convicted
Current Status:	Final
Status Date:	05/01/2023
Disposition Date:	05/01/2023
Sentence/Penalty:	60 days jail time (with work release); 3 years probation; $1,075 fine; 2 years driver license suspension with privileges, including driving to work (effective 1/21/2022 - 1/21/2024).

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	PLAINTIFFS, RESIDENTS OF OHIO, ALLEGED RESPONDENTS MISREPRESENTED THE FACTS ON TRANSFERRING ANNUITY FUNDS. PLAINTIFFS SOUGHT JUDGMENT FOR COMPENSATORY DAMAGES IN EXCESS OF $25,000. (DATES OF ACTIVITY ARE NOT SPECIFIED.)
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	JUDGMENT FOR COMPENSATORY DAMAGES IN EXCESS OF $25,000.

Customer Complaint Information

Date Complaint Received:	09/23/2010
Complaint Pending?	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	State Court
Name of Court:	THE COURT OF COMMON PLEAS STARK COUNTY, OHIO
Location of Court:	STARK COUNTY, OHIO
Docket/Case #:	2010CV03390
Date Notice/Process Served:	09/23/2010
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/14/2011

Monetary Compensation Amount:	$15,000.00
Individual Contribution Amount:	$0.00
Broker Statement	WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR $15,000.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	ALLEGATIONS OF UNSUITABLE INVESTMENTS, FAILURE TO SUPERVISE, CHURNING, COMMON LAW NEGLIGENCE OR FRAUD, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND BREACH OF NASD RULES 2120 & 2310 BY RECOMMENDING AN IMPROPER CONCENTRATION OF SPECULATIVE INVESTMENTS THROUGH THE USE OF MARGIN. (AMOUNT CLAIMED: $1,098,919 OR WHATEVER AMOUNT IS PROVEN AT THE HEARING; RECISION OF THE TRANSACTIONS AND AN ACCOUNT BALANCE; PUNITIVE DAMAGES OF $3 MILLION; THE AMOUNT OF CLAIMANT'S LOST OPPORTUNITY AT THE RATE OF 8.5% PER YEAR, OR INTEREST FROM THE DATE OF JUDGEMENT AT THE RATE OF 10% PER YEAR; PREJUDGEMENT INTEREST; EXPERT WITNESS FEES; FILING AND FORUM FEES; ATTORNEYS' FEES; AND ANY OTHER AWARD DEEMED APPROPRIATE)
Product Type:	Other
Alleged Damages:	$1,098,919.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE; CASE NO: 2004-015884
Date Notice/Process Served:	12/28/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/01/2006
Monetary Compensation Amount:	$537,500.00
Individual Contribution Amount:	$107,500.00
Firm Statement	SETTLED FOR $537,500. ($430,000 PAID BY JONES AND $107,500 PAID BY WENTZ.)

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	ALLEGATIONS OF UNSUITABLE INVESTMENTS, FAILURE TO SUPERVISE, CHURNING, COMMON LAW NEGLIGENCE OR FRAUD, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND BRACH OF NASD RULES 2120 & 2310 BY RECOMMENDING AN IMPROPER CONCENTRATION OF SPECULATIVE INVESTMENTS THROUGH THE USE OF MARGIN. (AMOUNT CLAIMED: $1,098,919 OR WHATEVER AMOUNTIS PROVEN AT THE HEARING; RECISION OF THE TRANSACTIONS AND AN ACCOUNT BALANCE; PUNITIVIE DAMAGES OF $3 MILLION; THE AMOUNT OF CLAIMANT'S LOST OPPORTUNITY AT THE RATE OF 8.5% PER YEAR, OR THE INTEREST FROM THE DATE OF JUDGEMENT AT THE RATE OF 10% PER YEAR; PREJUDGEMENT INTEREST; EXPERT WITNESS FEES; FILING AND FORUM FEES; ATTORNEYS' FEES; AND ANY OTHER AWARD DEEMED APPROPRIATE)
Product Type:	Other
Alleged Damages:	$1,098,919.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE; CASE NO.: 2004-015884
Date Notice/Process Served:	12/28/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/01/2006
Monetary Compensation Amount:	$537,500.00
Individual Contribution Amount:	$107,500.00
Broker Statement	SETTLED FOR $537,500 ($430,000 PAID BY JONES AND $107,500 PAID BY WENTZ).

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGED UNAUTHORIZED TRADES. (DAMAGES NOT SPECIFIED, BUT BELIEVED OVER $5,000.) (11/24/2008 - 02/24/2009)
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES NOT SPECIFIED, BUT BELIEVED OVER $5,000.
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:	04/05/2010
Complaint Pending?	No
Status:	Denied
Status Date:	07/29/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I DENY THE CLIENTS ALLEGATION OF UNAUTHORIZED TRADING FOR A PURCHASE IN HIS ACCOUNT; AND UNAUTHORIZED TRADING TO COVER MARGIN CALLS. THE CLIENT WAS AWARE OF THE TRANSACTION IN HIS

ACCOUNT OF NOVEMBER 2008. MARGIN CALLS ON THE ACCOUNT WERE SATISFIED WITH LIQUIDATION OF EXISTING POSITIONS AS PERMITTED UNDER REGULATORY GUIDELINES.

End of Report

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