BrokerCheck Report

MOEEZ UL-HAQ ANSARI

CRD# 4053253

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
-

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

MOEEZ U. ANSARI

CRD# 4053253

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

IA **COMPAK ASSET MANAGEMENT**
1801 DOVE STREET
NEWPORT BEACH, CA 92660
CRD# 109930
Registered with this firm since: 03/21/2001

B **COMPAK SECURITIES, INC.**
1801 DOVE STREET
NEWPORT BEACH, CA 92660
CRD# 125472
Registered with this firm since: 09/03/2003

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
- 23 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **MULTIPLE FINANCIAL SERVICES, INC.**
CRD# 100100
SAN JUAN CAPISTRANO, CA
01/2003 - 10/2003

B **MULTIPLE FINANCIAL SERVICES, INC.**
CRD# 100100
SAN JUAN CAPISTRANO, CA
01/2003 - 10/2003

B **TRIAD ADVISORS, INC.**
CRD# 25803
ATLANTA, GA
02/2001 - 04/2002

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	6

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Broker Qualifications

Registrations

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

This individual is currently registered with 1 SRO and is licensed in 23 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **COMPAK ASSET MANAGEMENT**

Main Office Address: **1801 DOVE STREET**
NEWPORT BEACH, CA 92660

Firm CRD#: **109930**

	U.S. State/ Territory	Category	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	06/04/2003
IA	California	Investment Adviser Representative	Approved	03/21/2001
IA	Colorado	Investment Adviser Representative	Approved	06/11/2014
IA	Hawaii	Investment Adviser Representative	Approved	04/05/2016
IA	Idaho	Investment Adviser Representative	Approved	05/29/2014
IA	Illinois	Investment Adviser Representative	Approved	11/19/2010
IA	Indiana	Investment Adviser Representative	Approved	03/21/2023
IA	Iowa	Investment Adviser Representative	Approved	03/20/2023
IA	Maryland	Investment Adviser Representative	Approved	06/02/2014
IA	Michigan	Investment Adviser Representative	Approved	05/29/2014
IA	Minnesota	Investment Adviser Representative	Approved	05/28/2014
IA	Nevada	Investment Adviser Representative	Approved	11/19/2010
IA	New Mexico	Investment Adviser Representative	Approved	03/13/2023
IA	New York	Investment Adviser Representative	Approved	03/13/2023

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Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	05/29/2014
IA	Ohio	Investment Adviser Representative	Approved	03/13/2023
IA	Oregon	Investment Adviser Representative	Approved	05/28/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	10/20/2004
IA	Virginia	Investment Adviser Representative	Approved	02/25/2011
IA	Washington	Investment Adviser Representative	Approved	11/18/2010
IA	Wisconsin	Investment Adviser Representative	Approved	05/30/2014

Branch Office Locations

1801 DOVE STREET
NEWPORT BEACH, CA 92660

1801 DOVE STREET
NEWPORT BEACH, CA 92660

Employment 2 of 2

Firm Name: **COMPAK SECURITIES, INC.**

Main Office Address: **1801 DOVE STREET**
NEWPORT BEACH, CA 92660

Firm CRD#: **125472**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/03/2003
B	FINRA	General Securities Representative	Approved	09/03/2003
B	FINRA	Operations Professional	Approved	10/24/2011
B	FINRA	Compliance Officer	Approved	10/01/2018

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Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/11/2007
B	California	Agent	Approved	04/10/2007
B	Colorado	Agent	Approved	04/13/2016
B	Hawaii	Agent	Approved	08/19/2025
B	Idaho	Agent	Approved	11/22/2010
B	Nevada	Agent	Approved	01/21/2009
B	Oregon	Agent	Approved	08/31/2005
B	Pennsylvania	Agent	Approved	11/14/2025
B	Texas	Agent	Approved	04/09/2015
B	Utah	Agent	Approved	02/04/2025
B	Washington	Agent	Approved	11/18/2010

Branch Office Locations

COMPAK SECURITIES, INC.
1801 DOVE STREET
NEWPORT BEACH, CA 92660

COMPAK SECURITIES, INC.
8865 E. BELL ROAD, SUITE 201
SCOTTSDALE, AZ 85251

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Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	Compliance Officer Examination	Series 14	01/02/2023
B	General Securities Principal Examination	Series 24	05/19/2003

General Industry/Product Exams

Exam		Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/13/1999

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	01/10/2000

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2003 - 10/2003	MULTIPLE FINANCIAL SERVICES, INC.	100100	SAN JUAN CAPISTRANO, CA
IA 01/2003 - 10/2003	MULTIPLE FINANCIAL SERVICES, INC.	100100	MISSION VIEJO, CA
B 02/2001 - 04/2002	TRIAD ADVISORS, INC.	25803	ATLANTA, GA
B 10/1999 - 12/2000	SENTRA SECURITIES CORPORATION	10249	PHOENIX, AZ

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
12/2002 - Present	COMPAK SECURITIES INC.	PRESIDENT	Y	Newport Beach, CA, United States
12/1999 - Present	COMPAK ASSET MANAGEMENT	PRESIDENT	Y	Newport Beach, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

CURRENTLY HOSTS A 1 HOUR "MAARKET WRAP" TALK RADIO SHOW FOR A TOTAL OF 20 HOURS PER MONTH. THE TALK SHOW IS RECORDED LIVE AT 1801 DOVE STREET, NEWPORT BEACH, CA, THE MAIN OFFICES OF COMPAK ASSET MANAGEMENT, A REGISTERED INVESTMENT ADVISOR.
REGISTERED AS AN INVESTMENT ADVISOR WITH COMPAK ASSET MANAGEMENT. REGISTERED AS AN REGISTERED REPRESENTATIVE WITH COMPAK SECURITIES, INC.

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Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	6	N/A

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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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SENTRA SECURITIES CORPORATION
Allegations:	CONCERNING HIS COMMODITIES ACCOUNT WITH ANSARI AND COMPAK ASSET MANAGEMENT, [CUSTOMER] ALLEGED CHURNING, MISREPRESENTATION, FAILURE TO DISCLOSE RISKS, BREACH OF FIDUCIARY DUTY, AND FAILURE TO SUPERVISE. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.
Product Type:	Commodity Option(s)
Alleged Damages:	$53,427.91

Customer Complaint Information

Date Complaint Received:	01/03/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/11/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim	[CUSTOMER] V. MOEEZ ANSARI, COMPAK ASSET MANAGEMENT, [THIRD

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filed with and Docket/Case No.:	PARTY], ET AL. NFA ARBITRATION CASE NO. 00ARB71.
Date Notice/Process Served:	08/11/2000
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/12/2002
Monetary Compensation Amount:	$57,527.91
Individual Contribution Amount:	$0.00
Firm Statement	NFA RECORDS SHOW AN AWARD DATE OF 7/12/2002. RB&H FINANCIAL SERVICES, LP, COMPAK ASSET MANAGEMENT CO., MOEEZ ANSARI AND [THIRD PARTY] WERE DIRECTED TO PAY [CUSTOMER] THE NOTED AWARD AMOUNT. AVAILABLE NFA RECORDS DO NOT STATE WHETHER THE AWARD HAS BEEN PAID OR ANSARI'S CONTRIBUTION AMOUNT, THEREFORE, "0.00" WAS INDICATED AS THE "INDIVIDUAL CONTRIBUTION AMOUNT."

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	COMPAK TRADING CO.
Allegations:	CHURNING, MISREPRESENTATION, FAILURE TO SUPERVISE, FAILURE TO DISCLOSE RISKS, BREACH OF FIDUCIARY DUTY, RICO AND COSTS.
Product Type:	Commodity Option(s)
Alleged Damages:	$160,283.73

Customer Complaint Information

Date Complaint Received:	05/24/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/12/2002
Settlement Amount:	
Individual Contribution Amount:	

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Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL FUTURES ASSOCIATION (NFA). CASE NUMBER 00-ARB-71
Date Notice/Process Served:	05/24/2001
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/12/2002
Monetary Compensation Amount:	$57,627.91
Individual Contribution Amount:	$57,627.91

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	COMPAK TRADING CO
Allegations:	CLIENT FILED A COMPLAINT AGAINST COMPAK TRADING, ITS PRINCIPAL MOEEZ ANSARI AND ACCOUNT EXECUTIVE [OTHER FIRM EMPLOYEE] ALLEGING THAT THE FIRM AND ITS REPRESENTATIVES FAILED TO DISCLOSE RISKS; UNAUTHORIZED TRADING; MISREPRESENTATION; FRAUDULANT SOLICITATION.
Product Type:	Commodity Option(s)
Alleged Damages:	$160,283.73

Customer Complaint Information

Date Complaint Received:	08/11/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/11/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

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Arbitration/Reparation Claim filed with and Docket/Case No.:	00-ARB-71
Date Notice/Process Served:	05/24/2001
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/12/2002
Monetary Compensation Amount:	$57,527.91
Individual Contribution Amount:	
Broker Statement	[CUSTOMER] WAS AWARDED $57,527.91. THE FIRM CONTRIBUTED $27,763.95; THE ACCOUNT EXECUTIVE [OTHER FIRM EMPLOYEE] PAID THE BALANCE OF $27,763.95.

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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 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: COMPAK ASSET MANAGEMENT

Allegations: CLIENT ALLEGED THAT ACCOUNT EXECUTIVE [OTHER FIRM EMPLOYEE] AND MOEEZ ANSARI CHURNED HIS ACCOUNT. AT THE TIME OF THE CLIENT HAD A DEBIT BALANCE IN HIS ACCOUNT OF $14,539.73.

Product Type: Commodity Option(s)

Alleged Damages: $14,539.73

Customer Complaint Information

Date Complaint Received: 03/19/2001

Complaint Pending? No

Status: Settled

Status Date: 04/06/2001

Settlement Amount: $14,539.73

Individual Contribution Amount: $0.00

Broker Statement THE FIRM MADE A DECISION TO PAY THE DEBIT BALANCE OF $14,539.73 TO THE CLEAARING FIRM TO RESOLVE THE MATTER.

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SENTRA SECURITIES CORPORATION

Allegations: THE CUSTOMER ALLEGES THAT BETWEEN APRIL 1999 AND JANUARY 2001 ANSARI VIOLATED HIS FIDUCIARY RESPONSIBLITIY TO THE CUSTOMER BY OVER EXTENDING HIS MANAGED COMMODITIES ACCOUNT ON MARGIN. THE CUSTOMER STATES THAT HIS COMMODITIES ACCOUNT WAS WITH COMPAK TRADING COMPANY/COMPAK ASSET MANAGEMENT. THE

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ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.

Product Type: Commodity Option(s)

Alleged Damages: $22,726.79

Customer Complaint Information

Date Complaint Received: 07/12/2002

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SENTRA SECURITIES CORPORATION

Allegations: THE CUSTOMER ALLEGES THAT BETWEEN APRIL 1999 AND JANUARY 2001 ANSARI VIOLATED HIS FIDUCIARY RESPONSIBILITY TO THE CUSTOMER BY OVER EXTENDING HIS MANAGED COMMODITIES ACCOUNT ON MARGIN. THE CUSTOMER STATES THAT HIS COMMODITIES ACCOUNT WAS WITH COMPAK TRADING COMPANY/COMPAK ASSET MANAGEMENT. THE ALLEGED ACTIVITES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.

Product Type: Commodity Option

Alleged Damages: $22,726.79

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: CFTC

Docket/Case #: CFTC DOCKET NO. 01-RO65

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Filing date of arbitration/CFTC reparation or civil litigation:	07/12/2002

Customer Complaint Information

Date Complaint Received:	07/12/2002
Complaint Pending?	No
Status:	Settled
Status Date:	09/04/2001
Settlement Amount:	$2,500.00
Individual Contribution Amount:	$0.00

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SENTRA SECURITIES CORPORATION
Allegations:	THE CUSTOMER'S COMPLAINT IS AGAINST ANSARI AND COMPAK TRADING CO. THE CUSTOMER ALLEGES THAT ANSARI MISPREPRESENTED THE RISKS, CHURNED HIS ACCOUNT AND VIOLATED HIS FIDUCIARY DUTY TO THE CUSTOMER. THE ALLEGED ACTIVITIES OCCURRED BETWEEN SEPTEMBER 1999 AND APRIL 2000. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.
Product Type:	Commodity Option(s)
Alleged Damages:	$32,166.09

Customer Complaint Information

Date Complaint Received:	07/12/2002
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker

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Employing firm when activities occurred which led to the complaint:	SENTRA SECURITIES CORPORATION
Allegations:	THE CUSTOMER'S COMPLIANT IS AGAINST ANSARI AND COMPAK TRADING CO. THE CUSTOMER ALLEGES THAT ANSARI MISREPRESENTED THE RISKS, CHURNED HIS ACCOUNT AND VIOLATED HIS FIDUCIARY DUTY TO THE CUSTOMER. THE ALLEGED ACTIVITES OCCURRED BETWEEN SEPTEMBER 1999 AND APRIL 2000. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.
Product Type:	Commodity Option
Alleged Damages:	$32,166.09
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:	CFTC
Docket/Case #:	CFTC DOCKET NO. 02-RO33
Filing date of arbitration/CFTC reparation or civil litigation:	07/12/2002

Customer Complaint Information

Date Complaint Received:	07/12/2002
Complaint Pending?	No
Status:	Settled
Status Date:	08/06/2002
Settlement Amount:	$4,000.00
Individual Contribution Amount:	$0.00

Disclosure 4 of 4

Reporting Source:	Firm

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Employing firm when activities occurred which led to the complaint:	SENTRA SECURITIES CORPORATION
Allegations:	[CUSTOMER] ALLEGES THAT ANSARI, DBA COMPAK TRADING COMPANY, FRAUDULENTLY SOLICITED HIS COMMODITY ACCOUNT BY MISREPRESENTING MATERIAL FACTS AND OMITTING OTHER MATERIAL FACTS. [CUSTOMER] ALSO ALLEGES THAT ANSARI CHURNED HIS COMMODITY ACCOUNT AND EXECUTED UNAUTHORIZED TRADES. THE ALLEGED ACTIVITY OCCURRED SOMETIME BETWEEN APRIL 1998 AND MAY 2001. THE ALLEGED ACTIVITY DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.THE CLIENT FILED A COMPLAINT AGAINST ADM INVESTOR SERVICES, CHAS SCHWAB, COMPAK TRADING-ITS PRINCIPAL ANSARI AND FA [THIRD PARTY] ALLEGING FIRM FAILED TO DISCLOSE RISK:FRAULUANT SOLICITATION: MISREPRESENTATION, FAILURE TO DISCLOSE RISK AND UNAUTHORIZED TRADING
Product Type:	Commodity Option(s)
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	08/30/2001
Complaint Pending?	No
Status:	Litigation
Status Date:	07/12/2002
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	CFTC DOCKET # 01-R101
Date Notice/Process Served:	07/12/2002
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	08/28/2002
Monetary Compensation Amount:	$29,000.00

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Individual Contribution Amount:	$0.00
Firm Statement	ADM INVESTOR SERVICES CONTRICBUTED $14500.00 AND THE BALANCE OF $14500.00 WAS PAID BY [THIRD PARTY]. EVENT BEGAN AS A CUSTOMER COMPLAINT AND THEN EVOLVED, AND WAS SETTLED, THROUGH LITIGATION.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	COMPAK TRADING CO.
Allegations:	NOT REGISTERED AS A CTA, DID NOT DISCLOSE RISK.
Product Type:	Commodity Option(s)
Alleged Damages:	$68,000.00

Customer Complaint Information

Date Complaint Received:	10/26/2001
Complaint Pending?	No
Status:	Settled
Status Date:	08/28/2002
Settlement Amount:	$29,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	CFTC DOCKET NO. 01-R101
Date Notice/Process Served:	08/28/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/28/2002
Monetary Compensation Amount:	$29,000.00

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Individual Contribution Amount:	$0.00
Firm Statement	ADM INVESTOR SERVICES CONTRIBUTED $14,500.00 AND THE BALANCE OF $14,500.00 WAS PAID BY MR. ROBERT DUFFY.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	COMPAK TRADING CO / COMPAK ASSET MANAGEMENT
Allegations:	THE CLIENT FILED A COMPLAINT AGAINST ADM INVESTOR SERVICES, CHARLES SCHWAB, COMPAK TRADING, ITS PRINCIPAL MOEEZ ANSARI AND ACCOUNT EXECUTIVE MR. ROBERT DUFFY ALLEGING THAT THE FIRM FAILED TO DISCLOSE RISKS; FRAUDULENT SOLICITATION; MISREPRESENTATION, FAILURE TO DISCLOSE RISK AND UNAUTHORIZED TRADING.
Product Type:	Commodity Option(s)
Alleged Damages:	$68,000.00

Customer Complaint Information

Date Complaint Received:	10/26/2001
Complaint Pending?	No
Status:	Settled
Status Date:	08/28/2002
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	CFTC DOCKET NO. 01-R101
Date Notice/Process Served:	
Arbitration Pending?	
Disposition:	Settled
Disposition Date:	

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Monetary Compensation Amount:	$29,000.00
Individual Contribution Amount:	
Broker Statement	ADM INVESTOR SERVICES CONTRIBUTED $14,500.00 AND THE BALANCE OF $14,500.00 WAS PAID BY MR. ROBERT DUFFY.

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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:	COMPAK ASSET MANAGEMENT
Allegations:	THE FIRM RECEIVED A CUSTOMER COMPLAINT FROM THE LAW OFFICES OF HOLAND & KNIGHT ON BEHALF OF 4 INDIVIDUALS ALLEGING THAT OPTION TRANSACTIONS WERE EXECUTED IN CLIENT ACCOUNTS WITHOUT THE DISCLOSURES OF RISK. THE FIRM HAS REQUESTED THAT HOLAND & KNIGHT ADVISE COMPAK ASSET OF THE TRADE SPCIFICS. COMPAK ASSET TO DATE HAS NOT HEARD BACK FROM HOLAND & KNIGHT.
Product Type:	Commodity Option
Alleged Damages:	$111,405.00
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:	12/06/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/05/2002
Settlement Amount:	
Individual Contribution Amount:	

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End of Report

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