

BrokerCheck Report

Charles A. Bryce

CRD# 4175887

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

Please contact FINRA with any concerns.

About BrokerCheck®

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

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



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



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



Charles A. Bryce

CRD# 4175887

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

IA J.P. MORGAN SECURITIES LLC
 101 E. ST. HWY 114
 ROANOKE, TX 76262
 CRD# 79
 Registered with this firm since: 10/01/2012

B J.P. MORGAN SECURITIES LLC
 101 E. ST. HWY 114
 ROANOKE, TX 76262
 CRD# 79
 Registered with this firm since: 10/01/2012

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:

- 26 Self-Regulatory Organizations
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA CHASE INVESTMENT SERVICES CORP.**
 CRD# 25574
 NEW YORK, NY
 06/2012 - 10/2012
- B CHASE INVESTMENT SERVICES CORP.**
 CRD# 25574
 HOUSTON, TX
 06/2012 - 10/2012
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 HOUSTON, TX
 10/2009 - 06/2012

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	1



Broker Qualifications

Registrations

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

This individual is currently registered with 26 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Office Address: **383 MADISON AVENUE
NEW YORK, NY 10179**

Firm CRD#: **79**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	10/05/2012
B	BOX Exchange LLC	General Securities Representative	Approved	10/05/2012
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	10/05/2012
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	10/31/2024
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/31/2024
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	10/31/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/31/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/05/2012
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	10/05/2012
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	10/31/2024
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/31/2024
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	10/31/2024
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	10/31/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/31/2024

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	10/31/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/05/2012
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/05/2012
B Cboe Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B FINRA	General Securities Principal	Approved	10/01/2012
B FINRA	General Securities Representative	Approved	10/01/2012
B FINRA	General Securities Sales Supervisor	Approved	10/01/2012
B Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B Investors' Exchange LLC	General Securities Principal	Approved	08/31/2016
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	04/27/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B MEMX LLC	General Securities Principal	Approved	02/16/2021
B MEMX LLC	General Securities Representative	Approved	02/16/2021
B MEMX LLC	General Securities Sales Supervisor	Approved	02/16/2021
B MIAX Emerald, LLC	General Securities Principal	Approved	03/19/2019
B MIAX Emerald, LLC	General Securities Representative	Approved	03/19/2019
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	03/19/2019
B MIAX PEARL, LLC	General Securities Principal	Approved	10/31/2024
B MIAX PEARL, LLC	General Securities Representative	Approved	10/31/2024
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	10/31/2024
B MIAX Sapphire	General Securities Principal	Approved	10/31/2024
B MIAX Sapphire	General Securities Representative	Approved	10/31/2024

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B MIAX Sapphire	General Securities Sales Supervisor	Approved	10/31/2024
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	10/31/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/31/2024
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	10/31/2024
B NYSE American LLC	General Securities Principal	Approved	10/05/2012
B NYSE American LLC	General Securities Representative	Approved	10/05/2012
B NYSE American LLC	Securities Manager	Approved	03/01/2013
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Principal	Approved	10/05/2012
B NYSE Arca, Inc.	General Securities Representative	Approved	10/05/2012
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/05/2012
B NYSE National, Inc.	General Securities Principal	Approved	05/18/2018
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	10/31/2024
B NYSE Texas, Inc.	General Securities Principal	Approved	10/05/2012
B NYSE Texas, Inc.	General Securities Representative	Approved	10/05/2012
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/01/2019
B Nasdaq BX, Inc.	General Securities Principal	Approved	10/05/2012
B Nasdaq BX, Inc.	General Securities Representative	Approved	10/05/2012
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	10/05/2012

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq GEMX, LLC	General Securities Principal	Approved	08/06/2013
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/06/2013
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq ISE, LLC	General Securities Principal	Approved	10/05/2012
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/05/2012
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq MRX, LLC	General Securities Principal	Approved	04/05/2016
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Principal	Approved	10/05/2012
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/05/2012
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/05/2012
B Nasdaq Stock Market	General Securities Principal	Approved	10/05/2012
B Nasdaq Stock Market	General Securities Representative	Approved	10/05/2012
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/05/2012
B New York Stock Exchange	General Securities Principal	Approved	10/05/2012
B New York Stock Exchange	General Securities Representative	Approved	10/05/2012
B New York Stock Exchange	Securities Manager	Approved	03/01/2013
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	10/01/2012

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	11/07/2013
B	Arizona	Agent	Approved	10/01/2012
B	Arkansas	Agent	Approved	10/01/2012
B	California	Agent	Approved	10/01/2012
B	Colorado	Agent	Approved	10/01/2012
B	Connecticut	Agent	Approved	10/01/2012
B	Delaware	Agent	Approved	10/01/2012
B	District of Columbia	Agent	Approved	06/29/2015
B	Florida	Agent	Approved	10/01/2012
B	Georgia	Agent	Approved	10/01/2012
B	Hawaii	Agent	Approved	11/07/2013
B	Idaho	Agent	Approved	08/08/2014
B	Illinois	Agent	Approved	10/01/2012
B	Indiana	Agent	Approved	10/01/2012
B	Iowa	Agent	Approved	10/01/2012
B	Kansas	Agent	Approved	10/01/2012
B	Kentucky	Agent	Approved	10/01/2012
B	Louisiana	Agent	Approved	10/01/2012
IA	Louisiana	Investment Adviser Representative	Approved	06/09/2014
B	Maine	Agent	Approved	10/11/2012
B	Maryland	Agent	Approved	10/31/2012

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	10/01/2012
B	Michigan	Agent	Approved	10/01/2012
B	Minnesota	Agent	Approved	10/01/2012
B	Mississippi	Agent	Approved	10/01/2012
B	Missouri	Agent	Approved	10/01/2012
B	Montana	Agent	Approved	10/10/2012
B	Nebraska	Agent	Approved	10/01/2012
B	Nevada	Agent	Approved	10/01/2012
B	New Hampshire	Agent	Approved	10/01/2012
B	New Jersey	Agent	Approved	10/01/2012
B	New Mexico	Agent	Approved	10/01/2012
B	New York	Agent	Approved	10/01/2012
B	North Carolina	Agent	Approved	10/01/2012
B	North Dakota	Agent	Approved	11/08/2013
B	Ohio	Agent	Approved	10/01/2012
B	Oklahoma	Agent	Approved	10/01/2012
B	Oregon	Agent	Approved	06/25/2015
B	Pennsylvania	Agent	Approved	10/01/2012
B	Puerto Rico	Agent	Approved	10/13/2015
B	Rhode Island	Agent	Approved	10/31/2012
B	South Carolina	Agent	Approved	11/08/2013



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Dakota	Agent	Approved	02/03/2014
B	Tennessee	Agent	Approved	10/01/2012
B	Texas	Agent	Approved	10/01/2012
IA	Texas	Investment Adviser Representative	Approved	10/01/2012
B	Utah	Agent	Approved	01/31/2014
B	Vermont	Agent	Approved	10/10/2012
B	Virgin Islands	Agent	Approved	10/13/2015
B	Virginia	Agent	Approved	10/01/2012
B	Washington	Agent	Approved	10/01/2012
B	West Virginia	Agent	Approved	10/01/2012
B	Wisconsin	Agent	Approved	10/01/2012
B	Wyoming	Agent	Approved	11/19/2013

Branch Office Locations

J.P. MORGAN SECURITIES LLC

101 E. ST. HWY 114
ROANOKE, TX 76262

J.P. MORGAN SECURITIES LLC

3904 GLADE RD
COLLEYVILLE, TX 76034

J.P. MORGAN SECURITIES LLC

4425 N. TARRANT PKWY
FT. WORTH, TX 76244

J.P. MORGAN SECURITIES LLC

2300 W SOUTHLAKE BLVD



Broker Qualifications

Employment 1 of 1, continued

SOUTHLAKE, TX 76092

J.P. MORGAN SECURITIES LLC

8901 N Tarrant Pkwy
North Richland Hills, TX 76182

J.P. MORGAN SECURITIES LLC

1800 PRECINCT LINE RD.
HURST, TX 76054

J.P. MORGAN SECURITIES LLC

980 KELLER PKWY
KELLER, TX 76248

J.P. MORGAN SECURITIES LLC

7000 GRAPEVINE HIGHWAY
RICHLAND HILLS, TX 76180

J.P. MORGAN SECURITIES LLC

1700 EAST SOUTHLAKE BLVD.
SOUTHLAKE, TX 76092

J.P. MORGAN SECURITIES LLC

4420 GOLDEN TRIANGLE BLVD
FORT WORTH, TX 76244

J.P. MORGAN SECURITIES LLC

6624 WATAUGA ROAD
WATAUGA, TX 76148

J.P. MORGAN SECURITIES LLC

4501 WESTERN CENTER BLVD.
FORT WORTH, TX 76137

J.P. MORGAN SECURITIES LLC

5000 COLLEYVILLE BLVD.
COLLEYVILLE, TX 76034

J.P. MORGAN SECURITIES LLC

5000 Colleyville Blvd
Colleyville, TX 76034

J.P. MORGAN SECURITIES LLC

1100 WILLIAM D. TATE AVE.
GRAPEVINE, TX 76051



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	05/08/2010
B General Securities Sales Supervisor - Options Module Examination	Series 9	04/16/2010
B General Securities Principal Examination	Series 24	01/09/2009

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/13/2002
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/06/2000

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/27/2002
B Uniform Securities Agent State Law Examination	Series 63	06/06/2000

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/.

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
B 06/2012 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	HOUSTON, TX
IA 06/2012 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	HOUSTON, TX
B 10/2009 - 06/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HOUSTON, TX
IA 10/2009 - 06/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HOUSTON, TX
IA 09/2002 - 10/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	CONROE, TX
B 06/2000 - 10/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	CONROE, TX

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2012 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	Colleyville, TX, 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.

Entity Name: Religious Instructor

Investment related: No

Address: Private Residence

Nature of the other business: Religious Services

Position/Title/Relationship: Owner/Partner



Registration and Employment History

Other Business Activities, continued

Start Date: 06/09/2014

Approximate # of hours a week: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Various religious oriented duties related to public speaking, teaching, writing and leadership including speaking, teaching, preaching, church planting, evangelism, missions, Pastoral care, worship services, weddings, funerals and conferences.

ACTIVITY TYPE: 1 - OUTSIDE BUSINESS ACTIVITY WITH A NON-PUBLIC ENTITY

NAME OF ENTITY: (SELF)

POSITION: RELIGION INSTRUCTOR

START DATE: 6/9/2014

ADDRESS: 1318 18th Street, Northlake, TX 76226

DETAILS: VARIOUS RELIGIOUS ORIENTED DUTIES RELATED TO PUBLIC SPEAKING, TEACHING, WRITING AND LEADERSHIP INCLUDING SPEAKING, TEACHING, PREACHING, CHURCH PLANTING, EVANGELISM, MISSIONS, PASTORAL CARE, WORSHIP SERVICES, WEDDINGS, FUNERALS AND CONFERENCES.

HOURS DEDICATED (per month unless otherwise indicated): TYPICALLY LESS THAN 5-10 HOURS PER WEEK.

HOURS DURING TRADING: NONE WITH POSSIBLE EXCEPTION OF A FUNERAL ONCE OR TWICE A YEAR.

INVESTMENT RELATED: NO

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	1	N/A



Disclosure Event Details

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

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

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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BANC OF AMERICA INVESTMENT SERVICES, INC
Allegations:	CUSTOMER ALLEGES THAT FINANCIAL ADVISOR MISREPRESENTED FEATURES OF AN AUCTION RATE SECURITY PURCHASED IN NOVEMBER 2007. COMPENSATORY DAMAGES UNSPECIFIED.
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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:	08/29/2008
Complaint Pending?	No
Status:	Settled



Status Date: 12/19/2008

Settlement Amount: \$54,500.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHERE THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

REGARDING QUESTION 14(I)(5)(A), AFTER RECEIVING SETTLEMENT REFLECTED IN ITEM NUMBER 11, CLAIMANT FILED ARBITRATION REQUESTING REIMBURSEMENT OF \$5337.08 IN LOAN FEES INCURRED DUE TO ILLIQUIDITY OF AUCTION RATE SECURITIES ON SEPTEMBER 10, 2009.

7C. IS THIS AN ARBITRATION/CFTC REPARATION OR CIVIL LITIGATION? - YES

7C I. ARBITRATION/REPARATION FORUM OR COURT NAME AND LOCATION: FINRA MIDWEST REGIONAL OFFICE

7C II. DOCKET/CASE#: 09-05150

7C III. FILING DATE OF ARBITRATION/CFTC REPARATION OR CIVIL LITIGATION (MM/DD/YYYY): 09/10/2009

7D. DATE RECEIVED BY/SERVED ON FIRM (MM/DD/YYYY): 09/15/2009, EXACT

8. IS THE COMPLAINT, ARBITRATION/CFTC REPARATION OR CIVIL LITIGATION PENDING? - NO.

9. IF THE COMPLAINT, ARBITRATION/CFTC REPARATION OR CIVIL LITIGATION IS NOT PENDING, PROVIDE STATUS: SETTLED.

10. STATUS DATE: 10/23/2009

11A. SETTLEMENT/AWARD/MONETARY JUDGMENT AMOUNT: \$4,500.00

11B. YOUR CONTRIBUTION AMOUNT: \$0.00

End of Report



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