

## BrokerCheck Report

**CHARLES MICHAEL FRANK**

CRD# 709163

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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**CHARLES M. FRANK**

CRD# 709163

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

**IA WELLS FARGO ADVISORS**  
 10369 CLAYTON RD  
 FRONTENAC, MO 63131  
 CRD# 19616  
 Registered with this firm since: 06/03/2025

**B WELLS FARGO CLEARING SERVICES, LLC**  
 10369 CLAYTON RD  
 FRONTENAC, MO 63131  
 CRD# 19616  
 Registered with this firm since: 01/01/2008

**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:**

- 6 Self-Regulatory Organizations
- 11 U.S. states and territories

**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):**

- B A. G. EDWARDS & SONS, INC.**  
 CRD# 4  
 ST. LOUIS, MO  
 05/1986 - 01/2008
- B R. ROWLAND & CO., INCORPORATED**  
 CRD# 911  
 05/1980 - 05/1986

**Disclosure Events**

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

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Customer Dispute	2



## 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 6 SROs and is licensed in 11 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE  
MAIL CODE: H0004-05E  
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

SRO	Category	Status	Date
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	11/30/2021
<b>B</b> FINRA	General Securities Representative	Approved	01/01/2008
<b>B</b> NYSE American LLC	General Securities Representative	Approved	07/29/2011
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	10/01/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	01/01/2008
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	01/01/2008

U.S. State/ Territory	Category	Status	Date
<b>B</b> California	Agent	Approved	03/18/2020
<b>B</b> Connecticut	Agent	Approved	02/02/2012
<b>B</b> Florida	Agent	Approved	09/25/2019
<b>B</b> Georgia	Agent	Approved	01/01/2008
<b>B</b> Illinois	Agent	Approved	01/01/2008
<b>B</b> Kansas	Agent	Approved	04/22/2022
<b>B</b> Missouri	Agent	Approved	01/01/2008

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	06/03/2025
B	Nevada	Agent	Approved	01/01/2008
B	New Jersey	Agent	Approved	01/01/2008
B	New Mexico	Agent	Approved	03/19/2020
B	Texas	Agent	Approved	01/01/2008

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC  
10369 CLAYTON RD  
FRONTENAC, MO 63131

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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 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
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	05/17/1980

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	06/02/2025
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/28/1980

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/](http://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>B</b> 05/1986 - 01/2008	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
<b>B</b> 05/1980 - 05/1986	R. ROWLAND & CO., INCORPORATED	911	

### 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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FRONTENAC, MO, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FRONTENAC, MO, 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.

No information reported.



## 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.
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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
Regulatory Event	0	1	0
Customer Dispute	0	2	N/A



## Disclosure Event Details

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

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

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** CBOE

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 04/14/1997

**Docket/Case Number:** 97-0013

**Employing firm when activity occurred which led to the regulatory action:** A. G. EDWARDS & SONS, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** Frank: 1) represented to Spoenman that an annual rate of return of 20% could be achieved in Spoenman's account without referencing any statistics or records to support such a representation, and Frank failed to balance the aforementioned representation with an explanation of the corresponding risks, which conduct was inconsistent with just and equitable principles of trade; 2) violated Spoeneman's written instructions not to exceed a \$10,000 margin debit



balance in her account, which conduct was inconsistent with just and equitable principles of trade; 3) Frank violated Spoeneman's written instructions to maintain \$24,000 in an Edwards' money market fund for one year, which conduct was inconsistent with just and equitable principles of trade; 4) effected numerous unsuitable option transactions in Spoeneman's account, in view of Spoeneman's financial situation and needs and investment experience; 5) exposed Spoeneman's account to an unsuitable level of margin in light of Spoeneman's financial situation and needs and investment experience; 6) effected numerous option transactions in the Montis' account that were excessive in size and frequency in view of the Montis' financial situation and needs and character of their account; 7) effected numerous unsuitable option transactions in the Montis' account, in view of their financial situation and needs, and in light of Frank's knowledge that the proceeds from the sale of the Montis' primary residence was used to fund the account.

**Current Status:**

Final

**Resolution:**

Decision

**Resolution Date:**

10/06/1997

**Sanctions Ordered:**

Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:****Sanction Details:**

CHARLES M. FRANK, A REGISTERED REPRESENTATIVE OF A.G. EDWARDS & SONS, INC., AN EXCHANGE MEMBER ORGANIZATION, WAS  
CENSURED AND FINED \$7,500.

**Regulator Statement**

CHARLES M. FRANK, A REGISTERED REPRESENTATIVE OF A.G. EDWARDS & SONS, INC., AN EXCHANGE MEMBER ORGANIZATION, WAS  
CENSURED AND FINED \$7,500 FOR THE FOLLOWING CONDUCT. IN A LETTER DATED JANUARY 16, 1989, FRANK REPRESENTED TO A PUBLIC CUSTOMER ("CUSTOMER #1") THAT AN ANNUAL RATE OF RETURN OF 20% TO 25% COULD BE ACHIEVED IN CUSTOMER #1'S ACCOUNT BY INVESTING IN COMMON STOCKS, U.S. TREASURY BONDS, AND UTILITY STOCKS WITHOUT REFERENCING ANY STATISTICS OR RECORDS TO SUPPORT SUCH A REPRESENTATION, AND FRANK FAILED TO BALANCE THE AFOREMENTIONED REPRESENTATION WITH AN EXPLANATION OF THE CORRESPONDING



## RISKS.

IN ADDITION, FRANK (i) FROM MARCH 1989 THROUGH MAY 1989, FAILED TO ADHERE TO CUSTOMER #1'S WRITTEN INSTRUCTIONS NOT TO EXCEED A

\$10,000 MARGIN DEBIT BALANCE IN HER ACCOUNT; (ii) FROM JANUARY 1989 THROUGH JANUARY 1990, FAILED TO ADHERE TO CUSTOMER #1'S WRITTEN INSTRUCTIONS TO MAINTAIN \$24,000 IN AN A.G. EDWARDS' MONEY MARKET FUND FOR ONE YEAR; (iii) FROM JANUARY 1989 THROUGH

SEPTEMBER 1991, EFFECTED NUMEROUS EQUITY OPTION TRANSACTIONS IN

CUSTOMER #1'S ACCOUNT THAT WERE UNSUITABLE AND EXPOSED HER ACCOUNT TO AN UNSUITABLE LEVEL OF MARGIN, IN LIGHT OF CUSTOMER #1'S FINANCIAL SITUATION AND NEEDS AND INVESTMENT KNOWLEDGE. IN ADDITION, FRANK: (i) FROM JANUARY 1993 THROUGH AUGUST 23, 1993, EFFECTED NUMEROUS OPTION TRANSACTIONS IN A PUBLIC CUSTOMER JOINT

ACCOUNT ("CUSTOMER #2") THAT WERE EXCESSIVE IN SIZE AND FREQUENCY, IN VIEW OF CUSTOMER #2'S FINANCIAL SITUATION AND NEEDS AND CHARACTER OF THEIR ACCOUNT; AND (ii) FROM APRIL 1993 THROUGH AUGUST 23, 1993, EFFECTED NUMEROUS OPTION TRANSACTIONS

IN CUSTOMER #2'S ACCOUNT THAT WERE UNSUITABLE IN VIEW OF THEIR FINANCIAL SITUATION AND NEEDS, AND IN LIGHT OF FRANK'S KNOWLEDGE THAT THE PROCEEDS FROM THE SALE OF CUSTOMER #2'S PRIMARY RESIDENCE WAS USED TO FUND THE ACCOUNT. (CBOE RULES

4.1

AND 9.9)

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<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	THE CHICAGO BOARD OF OPTIONS EXCHANGE
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	04/14/1997
<b>Docket/Case Number:</b>	97-0013
<b>Employing firm when activity occurred which led to the regulatory action:</b>	A. G. EDWARDS & SONS, INC.

**Product Type:****Other Product Type(s):**

**Allegations:** ALLEGES VIOLATIONS OF EXCHANGE RULES 4.1 AND 9.9 IN RELATION TO THE SPOENEMAN AND MONTE ACCOUNTS.

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 10/06/1997

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:** THE CBOE HAS ACCEPTED THE OFFER OF SETTLEMENT BY CHARLES M. FRANK AND HAS FINED MR. FRANK \$7,500 AND CENSURED HIM FOR VIOLATIONS OF EXCHANGE RULES 4.1 AND 9.9.

**Broker Statement** Not Provided



## 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:** Regulator

**Employing firm when activities occurred which led to the complaint:** A.G. EDWARDS & SONS

**Allegations:** UNAUTHORIZED TRADING; SUITABILITY; ACCOUNT RELATED-BREACH OF CONTRACT; BRCH OF FIDUCIARY DT

**Product Type:**

**Alleged Damages:** \$54,129.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #94-00551

**Date Notice/Process Served:** 03/02/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/28/1994

**Disposition Detail:** CASE IS CLOSED, SETTLED  
Not Provided

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** A.G. EDWARDS & SONS

**Allegations:**

**Product Type:**

**Alleged Damages:** \$54,129.00

### Customer Complaint Information

**Date Complaint Received:**



**Complaint Pending?** No  
**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution  
Amount:**

### Arbitration Information

**Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** National Association of Securities Dealers, Inc.; 94-00551

**Date Notice/Process Served:** 03/02/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/28/1994

**Monetary Compensation  
Amount:** \$29,000.00

**Individual Contribution  
Amount:** \$10,174.85

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**Reporting Source:** Broker

**Employing firm when  
activities occurred which led  
to the complaint:** A.G. EDWARDS & SONS

**Allegations:** UNAUTHORIZED TRADING; UNSUITABILITY; ACCOUNT  
RELATED - BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTY;  
ALLEGED  
DAMAGES IN EXCESS OF \$55,000.00.  
7A. WHAT IS THE PRODUCT? FORD MOTOR CO.

**Product Type:**

**Alleged Damages:** \$54,129.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No



**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-00551

**Date Notice/Process Served:** 03/02/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/28/1994

**Monetary Compensation Amount:** \$29,000.00

**Individual Contribution Amount:** \$10,174.85

**Broker Statement** THE SUM OF \$29,000 WAS PAID TO CUSTOMER. MR. FRANK WILL CONTRIBUTE \$10,174.85 OF THIS AMOUNT.  
NOT PROVIDED  
9A. WHAT FIRM DID THE TRANSACTION TAKE PLACE? A.G. EDWARDS

### Disclosure 2 of 2

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** A.G. EDWARDS & SONS, INC

**Allegations:** BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT; SUITABILITY

**Product Type:**

**Alleged Damages:** \$186,000.00

### Arbitration Information





**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #93-05185

**Date Notice/Process Served:** 01/27/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/28/1994

**Disposition Detail:** CASE IS CLOSED, WITHDRAWN W/ PREJUDICE  
ACTUAL/COMPENSATORY DAMAGES, RELIEF  
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND  
SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD  
AMOUNT  
JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD  
AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF  
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND  
SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS  
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** A.G. EDWARDS & SONS, INC

**Allegations:** LOSSES OF \$93,000; UNSUITABILITY; BREACH OF  
CONTRACT AND FIDUCIARY DUTY  
7A. WHAT IS THE PRODUCT? OPTIONS

**Product Type:**

**Alleged Damages:** \$186,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation



**Status Date:**

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-05185

**Date Notice/Process Served:** 01/27/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/28/1994

**Monetary Compensation  
Amount:** \$75,000.00

**Individual Contribution  
Amount:** \$26,274.85

**Broker Statement** THE SUM OF \$75,000 WAS PAID TO CUSTOMER MR. FRANK CONTRIBUTED  
\$26,274.85 OF THIS AMOUNT.  
NOT PROVIDED  
9A. WHAT FIRM DID THE TRANSACTION TAKE PLACE? A.G. EDWARDS &  
SONS, INC.

## End of Report



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