

BrokerCheck Report

ROBERT LEE KEYS

CRD# 720689

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, 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.

www.finra.org/brokercheck User Guidance

ROBERT L. KEYS

CRD# 720689

This broker is not currently registered.

Report Summary for this Broker



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

Broker Qualifications

This broker is not currently registered.

This broker has passed:

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

Registration History

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

- B PRIVATE CONSULTING GROUP, INC. CRD# 45053 PORTLAND, OR 01/2001 - 03/2009
- B NFP SECURITIES, INC. CRD# 42046 AUSTIN, TX 07/2000 - 12/2000
- PRIVATE CONSULTING GROUP, INC.
 CRD# 45053
 PORTLAND, OR
 09/1998 07/2000

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? Yes

The following types of disclosures have been reported:

Туре	Count	
Regulatory Event	3	
Customer Dispute	1	

Investment Adviser Representative Information

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

https://www.adviserinfo.sec.gov

www.finra.org/brokercheck
User Guidance

Broker Qualifications



Registrations

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

This broker is not currently registered.

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. 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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	09/14/1981

General Industry/Product Exams

Exam		Category	Date
В	General Securities Representative Examination	Series 7	12/20/1980

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	08/11/1998
B	Uniform Securities Agent State Law Examination	Series 63	01/17/1983

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/.

www.finra.org/brokercheck
User Guidance

Broker Qualifications



Professional Designations

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration and Employment History



Registration History

The broker previously was registered with the following securities firms:

Reg	istration Dates	Firm Name	CRD#	Branch Location
B	01/2001 - 03/2009	PRIVATE CONSULTING GROUP, INC.	45053	PORTLAND, OR
B	07/2000 - 12/2000	NFP SECURITIES, INC.	42046	AUSTIN, TX
B	09/1998 - 07/2000	PRIVATE CONSULTING GROUP, INC.	45053	PORTLAND, OR
B	07/1983 - 12/1998	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	EL SEGUNDO, CA
B	08/1996 - 09/1998	PFG DISTRIBUTION COMPANY	38383	PHILADELPHIA, PA
B	03/1986 - 06/1988	COOPERATIVE FINANCIAL PLANNERS, LTD.	16891	
B	05/1981 - 07/1983	UNIVERSITY SECURITIES CORPORATION	6518	
B	12/1980 - 06/1981	INTERPACIFIC INVESTORS SERVICES, INC.	4879	

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
01/2009 - Present	PRIVATE WEALTH ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Υ	PORTLAND, OR, United States
12/2000 - Present	THE PRIVATE CONSULTING GROUP	REGISTERED REPRESENTATIVE/RE GISTERED PRINCIPAL	Υ	PORTLAND, OR, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. Disclosure events in BrokerCheck reports come from different sources:
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	3	0
Customer Dispute	1	N/A



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 3

Regulatory Action Initiated FINRA

By:

Sanction(s) Sought: Other: N/A

Date Initiated: 08/31/2010

Docket/Case Number: <u>2009017125101</u>

Employing firm when activity occurred which led to the regulatory action:

PRIVATE CONSULTING GROUP, INC.

Product Type: Promissory Note

Allegations: SEC SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934, SEC

RULE 10B-5, FINRA RULES 2010, 2020, NASD RULES 2110, 2120, 3012: KEYS

RECOMMENDED THAT A CUSTOMER INVEST \$1.1 MILLION IN A
PROMISSORY NOTE ISSUED BY A LIMITED LIABILITY COMPANY AND
REPRESENTED TO THE CUSTOMER THAT THE PROMISSORY NOTE WAS
SECURED BY \$1.1 MILLION IN UNITED STATES TREASURY BONDS, WHEN IN
FACT, NO SUCH BONDS EXISTED. KEYS PROVIDED WIRING INSTRUCTIONS

TO THE CUSTOMER IN CONNECTION WITH THE RECOMMENDED

PURCHASE DIRECTING HER TO WIRE FUNDS TO THE BANK ACCOUNT OF THE LIMITED LIABILITY COMPANY OWNER, WHICH SHE FOLLOWED AND WIRED THE \$1.1 MILLION IN ORDER TO INVEST IN THE PROMISSORY NOTE. KEYS FAILED TO INVESTIGATE AND DISCOVER THAT NO TREASURY

KEYS FAILED TO INVESTIGATE AND DISCOVER THAT NO TREASURY BONDS OF SUCH EXISTED, BUT RELIED ON INFORMATION HE WAS GIVEN DURING A CONFERENCE CALL INITIATED BY THE COMPANY OWNER TO AN UNKNOWN INDIVIDUAL THAT CLAIMED TO BE A REPRESENTATIVE OF A WELL-KNOWN FINANCIAL INSTITUTION, WHICH WAS THE CURRENT

CUSTODIAN OF THE BONDS, AND KEYS FAILED TO INVESTIGATE WHETHER

THE UNKNOWN INDIVIDUAL WAS IN FACT AN EMPLOYEE OF THE

FINANCIAL INSTITUTION. KEYS USED THE MEANS AND



INSTRUMENTALITIES OF INTERSTATE COMMERCE TO RECKLESSLY MAKE AN UNTRUE STATEMENT OF A MATERIAL FACT IN CONNECTION WITH THE PURCHASE OR SALE OF A SECURITY; NEGLIGENTLY MADE AN UNTRUE STATEMENT OF A MATERIAL FACT AND NEGLIGENTLY OMITTED MATERIAL FACTS IN CONNECTION WITH INDUCING A CUSTOMER TO ENTER INTO A FINANCIAL TRANSACTION: AND USED THE MEANS AND INSTRUMENTALITIES OF INTERSTATE COMMERCE TO RECKLESSLY OMIT MATERIAL FACTS NECESSARY TO MAKE STATEMENTS MADE IN CONNECTION WITH THE PURCHASE OR SALE OF A SECURITY NOT MISLEADING. AT THE TIME OF KEYS' RECOMMENDATION TO THE CUSTOMER. HE DID NOT DISCLOSE INFORMATION OF THE COMPENSATION, DIRECT OR INDIRECT, THAT HE EXPECTED TO RECEIVE OR THE FACT THAT COMMISSIONS WERE TO BE PAID TO ENTITIES WHOLLY OWNED OR HELD OWNERSHIP INTEREST. KEYS WAS RESPONSIBLE FOR ESTABLISHING, MAINTAINING AND ENFORCING HIS MEMBER FIRM'S SUPERVISORY CONTROL POLICIES AND PROCEDURES. BUT FAILED TO IMPLEMENT REASONABLE SUPERVISORY CONTROL. WHEN HE FAILED TO ENSURE THAT AN INDIVIDUAL AT THE FIRM WHO WAS SENIOR TO OR OTHERWISE INDEPENDENT OF HIMSELF SUPERVISED AND REVIEWED HIS CUSTOMER ACCOUNT ACTIVITY.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date: 02/08/2011

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? Yes



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

Yes

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the **Securities Exchange Act of** 1934, the Investment Advisers Act of 1940, the **Investment Company Act of** 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

No



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the **Securities Exchange Act of** 1934, the Investment Advisers Act of 1940, the **Investment Company Act of** 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Sanction 1 of 1

Sanction Type: Bar (Permanent)
Capacities Affected: All Capacities

Duration:

Start Date: 02/08/2011

End Date:

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, KEYS CONSENTED

TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS;

THEREFORE HE IS BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER

IN ANY CAPACITY.

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:

Date Initiated: 10/15/2008

Docket/Case Number: 2007007407201



Employing firm when activity occurred which led to the regulatory action:

PRIVATE CONSULTING GROUP, INC.

Product Type:

Allegations: NASD RULES 2110, 3010(B) - A MEMBER FIRM, ACTING UNDER THE

DIRECTION AND CONTROL OF KEYS AND ANOTHER INDIVIDUAL, RECEIVED INVESTOR FUNDS IN CONNECTION WITH A CONTINGENCY OFFERING OF GENERAL PARTNERSHIP UNITS AND FAILED TO TRANSMIT THE FUNDS TO

A BANK ESCROW ACCOUNT PENDING SATISFACTION OF THE

CONTINGENCY. THE FUNDS WERE FORWARDED TO THE ISSUER WHICH PLACED THE FUNDS IN A SEGREGATED, NON-ESCROW BANK ACCOUNT IN ITS OWN NAME. THE FIRM, ACTING UNDER THE DIRECTION AND CONTROL OF KEYS AND ANOTHER INDIVIDUAL, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN PROCEDURES REASONABLY DESIGNED TO ENSURE

COMPLIANCE WITH SEC RULE 15C2-4.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

10/15/2008

Sanctions Ordered:

Censure

Civil and Administrative Penalty(ies)/Fine(s)

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, KEYS CONSENTED TO

THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$20,000, JOINTLY AND

SEVERALLY. FINE PAID 11/04/2008.

Reporting Source: Broker

Regulatory Action Initiated

FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

By:

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:



Date Initiated: 10/15/2008

Docket/Case Number: NO. 2007007407201 AWC

Employing firm when activity occurred which led to the regulatory action:

PRIVATE CONSULTING GROUP, INC.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: ACTING THROUGH KEYS AND [THIRD PARTY], PCGI PARTICIPATED IN A

> CONTINGENT OFFERING OF GENERAL PARTNERSHIP UNITS WITHIOUT ESTABLISHING AN ESCROW ACCOUNT TO HOLD INVESTOR FUNDS UNTIL THE CONTINGENCY WAS MET. IN ADDITION, PCGI, ACTING THROUGH KEYS

AND [THIRD PARTY], FAILED TO ESTABLISH, MAINTAIN AND ENFORCE

WRITTEN PROCEDURES REASONABLY DESIGNED TO ENSURE

COMPLIANCE WITH SEC AND FINRA RULES PERTAINING TO CONTINGENCY

OFFERINGS AND ESCROW ACCOUNTS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/15/2008

Sanctions Ordered: Censure

Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, FIRM AND

> CONTROL AFFILIATE CONSENTED TO A CENSURE AND FINE OF \$20,000, JOINT AND SEVERAL BETWEEN ROBERT L. KEYS, [THIRD PARTY]AND THE PRIVATE CONSULTING GROUP, INC. THE FINE IS PENDING PAYMENT

VERSUS INVOICING FROM FINRA.

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By:

NASD

Sanction(s) Sought:

Date Initiated: 01/10/2005



Docket/Case Number: C3B040032

Employing firm when activity occurred which led to the regulatory action:

PRIVATE CONSULTING GROUP, INC.

Product Type:

Allegations: NASD CONDUCT RULE 2110 - ROBERT KEYS, ACTING ON BEHALF OF HIS

MEMBER FIRM. PARTICIPATED IN A CONTINGENCY OFFERING OF

DEBENTURES BY A COMPANY. HOWEVER, INVESTOR FUNDS RAISED IN THE OFFERING WERE NOT TRANSMITTED TO A SEPARATE BANK ESCROW ACCOUNT MEETING THE REQUIREMENTS OF SEC RULE 15C2-4. KEYS ALSO SOLICITED INVESTMENTS IN THE CONTINGENCY OFFERING BY THE COMPANY THROUGH THE USE OF A PRIVATE PLACEMENT MEMORANDUM. ALTHOUGH THE RELEASE OF FUNDS FROM THE ESCROW ACCOUNT

BEFORE THE CONTINGENCY WAS SATISFIED RENDERED THE

REPRESENTATIONS IN THE PRIVATE PLACEMENT MEMORANDUM FALSE

AND MISLEADING.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC) No

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or

deceptive conduct?

Resolution Date:

01/10/2005

Sanctions Ordered: Censure

Civil and Administrative Penalty(ies)/Fine(s)

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS RESPONDENT

CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF

FINDINGS: THEREFORE, HE IS CENSURED AND FINED \$15,000 JOINTLY AND

SEVERALLY. FINES PAID.

Reporting Source: Broker **Regulatory Action Initiated**

By:

NASD INC.

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)



Other Sanction(s) Sought:

Date Initiated: 01/10/2005

Docket/Case Number: C3B040032 AWC

Employing firm when activity occurred which led to the

regulatory action:

PRIVATE CONSULTING GROUP, INC.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: THE NASD ALLEGED VIOLATIONS OF NASD CONDUCT RULE 2110.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/10/2005

Sanctions Ordered: Censure

Monetary/Fine \$15,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS FIRM AND

CONTROL AFFILIATE CONSENTED TO A CENSURE AND FINE OF \$15,000, JOINTLY AND SEVERALLY AND AN UNDERTAKING TO REVISE THE FIRMS

WRITTEN SUPERVISORY PROCEDURES CONCERNING ESCROW

ACCOUNTS. THE \$15000.00 FINE WAS PAID ON 01/26/2005.



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

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration containing allegations of sales practice violations against the broker that resulted in an award to the customer, along with an associated civil suit that was dismissed, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when

activities occurred which led

to the complaint:

Allegations:

PRIVATE CONSULTING GROUP, INC.

CLAIMANTS ENGAGED A REGISTERED INVESTMENT ADVISORY FIRM OWNED AND OPERATED BY AN ASSOCIATED PERSON OF PRIVATE

CONSULTING GROUP, INC. AS INVESTMENT ADVISOR ON OR ABOUT AUGUST 5, 2004. CLAIMANTS HAVE FILED A DEMAND FOR ARBITRATION

REQUESTING ARBITRATION OF CLAIMS ASSERTED AGAINST THE REGISTERED INVESTMENT ADVISORY FIRM, THE REGISTERED

REPRESENTATIVE OF PRIVATE CONSULTING GROUP, INC. WHO OWNS AND

OPERATES THE REGISTERED INVESTMENT ADVISORY FIRM, PRIVATE CONSULTING GROUP, INC. AND AN OFFICER OF PRIVATE CONSULTING

GROUP, INC. THE CLAIMS ALLEGE BREACH OF FIDUCIARY DUTY, IMPROPER MANAGEMENT AND MISREPRESENTATIONS REGARDING TRANSACTIONS ENTERED INTO BY CLAIMANTS WITH COMPANIES KNOWN

AS CLASSICSTAR, LLC.

Product Type: Other

Other Product Type(s): THOROUHBRED HORSE BREEDING BUSINESS AND STOCK LOAN

PROVIDER

Alleged Damages: \$1,150,000.00

Customer Complaint Information

01/14/2008 **Date Complaint Received:**

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/13/2008

Settlement Amount:

Individual Contribution

Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case

tiled with and Doci

No.:

JAMS REF. NO. 1100051983

Date Notice/Process Served: 01/14/2008

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/13/2008

Monetary Compensation

Amount:

\$300,000.00

Individual Contribution

Amount:

\$0.00

Civil Litigation Information

Court Details: COMPANION CASE: SUPERIOR COURT OF CALIFORNIA COUNTY OF MARIN,

CASE NO. CV-07-6081, STAYED AT DIAMOND/BAYER'S REQUEST PENDING ARBITRATION. STAY WAS NEVER LIFTED, CASE HAS NOT PROCEEDED.

Date Notice/Process Served: 12/21/2007

Litigation Pending? No

Disposition: No Action

Disposition Date: 10/13/2008

Monetary Compensation

Amount:

\$0.00

Individual Contribution

Amount:

Broker Statement

\$0.00

ON 05/30/2008, JAMS ARBITRATOR HON. JOHN FLAHERTY (RET.) RULED

ROBERT KEYS NOT A PROPER PARTY TO THE ARBITRATION AND

DISMISSED KEYS FROM ARBITRATION.

End of Report



This page is intentionally left blank.