

## Firm Report



**NASD BrokerCheck**

### Registration Withdrawal Information

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Firm
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information relating to the date the firm ceased doing business and information relating to the firm's financial obligations upon notifying CRD of the firm's intent to voluntarily withdraw its NASD registration, as reported by the firm on Form BDW.

Date firm ceased business or withdrew registration request: **Information not available -- see Summary Page**

Does the broker-dealer owe any money or securities to any customer or broker-dealer? **Information not available -- see Summary Page**

- A. Number of customers owed funds or securities **Information not available -- see Summary Page**
- B. Amount of money owed: customers **Information not available -- see Summary Page**  
broker-dealers **Information not available -- see Summary Page**
- C. Market value of securities owed to: customers **Information not available -- see Summary Page**  
broker-dealers **Information not available -- see Summary Page**
- D. Describe arrangements made for payment.

## Registration Status

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information about the regulators (i.e., U.S. Securities and Exchange Commission (SEC), self-regulatory organizations such as NASD and the New York Stock Exchange (NYSE), states and U.S. territories) the firm is currently registered and licensed with, the category of each registration, and the date on which the registration status became effective, as well as certain information about the firm's SEC registration.

### Current Registration Summary

This firm is no longer registered with NASD.

The firm's registration with NASD was from **3/9/1995** to **9/2/1998**.

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### SEC Registration Questions

2.
  - A. Is applicant registered or registering as a broker-dealer under Section 15(b) or Section 15B of the Securities Exchange Act of 1934. **Information not available -- see Summary Page**
  - B. Is applicant registered or registering as a broker-dealer under Section 15(b) of the Securities Exchange Act of 1934 and also acting or intending to act as a government securities broker or dealer? **Yes**
  - C. Is applicant registered or registering solely as a government securities broker or dealer under Section 15C of the Securities Exchange Act of 1934? **No**
  - D. Is applicant ceasing its activities as a government securities broker or dealer? **No**

## Applicant Information

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section includes details, as reported by the firm on Form BD, regarding the firm's full legal name, business and mailing addresses, the firm's "doing business as" name (i.e., "DBA" name) if different from the full legal name, and any other names by which the firm conducts business and where the name is used.

- 1.
- A. Full name of applicant: **THE BOSTON GROUP, L.P.**
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- B. IRS Empl. Ident. No.: **95-4494861**
- 
- C. (1) Name under which broker-dealer business is primarily conducted, if different from item 1A. **THE BOSTON GROUP**
- (2) List on Schedule D, page 1, Section I, any other name by which the firm conducts business and where it is used.
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- D. If this filing makes a name change on behalf of the applicant, enter the new name and specify whether the name change is of the  applicant name (1A) or  business name (1C):
- 
- E. Firm Main Address: **2049 CENTURY PARK EAST  
30TH FLOOR-SUITE 3000  
LOS ANGELES, CA 90067  
United States**
- 
- F. Mail Address, if different: **2049 CENTURY PARK EAST  
30TH FLOOR-SUITE 3000  
LOS ANGELES, CA  
90067  
United States**
- 
- G. Business Telephone Number: **(310) 843-9007**
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## Legal Status

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information regarding the firm's legal status (e.g., corporation, partnership, sole proprietorship, or limited liability company), the month the firm's fiscal year ends, and the state or country of formation as reported by the firm on Form BD.

3. A. Indicate legal status of applicant: **PARTNERSHIP**
- B. Month applicant's fiscal year ends: **December**
- C. If other than a sole proprietor, indicate date and place applicant obtained its legal status (i.e., state or country where incorporated, where partnership agreement was filed, or where applicant entity was formed):  
State of formation: **California**  
Country of formation:  
Date of formation: **9/2/1994**

## Succession Information

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information relating to successions (e.g., mergers or acquisitions), if any, as reported by the firm on Form BD.

**Information not available -- see Summary Page**

## Industry Arrangements

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information relating to Introducing, Clearing, and Financial and Control Arrangements as reported by the firm on Form BD.

6. Does applicant hold or maintain any funds or securities or provide clearing services for any other broker or dealer? **Information not available -- see Summary Page**

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7. Does applicant refer or introduce customers to any other broker or dealer? **Information not available -- see Summary Page**

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8. Does applicant have any arrangement with any other person, firm, or organization under which:
  - A. any books or records of applicant are kept or maintained by such other person, firm or organization? **Information not available -- see Summary Page**
  - B. accounts, funds, or securities of the applicant are held or maintained by such other person, firm, or organization? **Information not available -- see Summary Page**
  - C. accounts, funds, or securities of customers of the applicant are held or maintained by such other person, firm, or organization? **Information not available -- see Summary Page**

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9. Does any person not named in Item 1 or Schedules A, B, or C, directly or indirectly:
  - A. control the management or policies of the applicant through agreement or otherwise: **Information not available -- see Summary Page**
  - B. wholly or partially finance the business of applicant? **Information not available -- see Summary Page**

## Affiliate Information

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
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<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information relating to Business and Bank Affiliates as reported by the firm on Form BD.

10. A. Directly or indirectly, does applicant control, is applicant controlled by, or is applicant under common control with, any partnership, corporation, or other organization that is engaged in the securities or investment advisory business? **Information not available -- see Summary Page**
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- B. Directly or indirectly, is applicant controlled by any bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings bank or association, credit union, or foreign bank? **Information not available -- see Summary Page**
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## Types of Business

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides the types of business and any other business or other non-securities business the firm is engaged in or is expected to be engaged in as reported by the firm on Form BD.

A.	Exchange member engaged in exchange commission business other than floor activities		EMC
B.	Exchange member engaged in floor activities		EMF
C.	Broker or dealer making inter-dealer markets in corporate securities over-the-counter		IDM
D.	Broker or dealer retailing corporate equity securities over-the-counter		BDR
E.	Broker or dealer selling corporate debt securities		BDD
F.	Underwriter or selling group participant (corporate securities other than mutual funds)		USG
G.	Mutual fund underwriter or sponsor		MFU
H.	Mutual fund retailer		MFR
I.	1. U.S. government securities dealer		GSD
	2. U.S. government securities broker		GSB
J.	Municipal securities dealer		MSD
K.	Municipal securities broker		MSB
L.	Broker or dealer selling variable life insurance or annuities		VLA
M.	Solicitor of time deposits in a financial institution		SSL
N.	Real estate syndicator		RES
O.	Broker or dealer selling oil and gas interests		OGI
P.	Put and call broker or dealer or option writer		PCB
Q.	Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds)		BIA
R.	Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals)		NPB
S.	Investment advisory services		IAD
T.	1. Broker or dealer selling tax shelters or limited partnerships in primary distributions		TAP
	2. Broker or dealer selling tax shelters or limited partnerships in the secondary market		TAS
U.	Non-exchange member arranging for transactions in listed securities by exchange member		NEX
V.	Trading securities for own account		TRA
W.	Private placements of securities		PLA
X.	Broker or dealer selling interests in mortgages or other receivables		MRI
Y.	Broker or dealer involved in a networking kiosk or similar arrangement with a:		
	1. bank, savings bank or association, or credit union		BNA
	2. Insurance company or agency		INA
Z.	Other (give details on Schedule D, Page 1, Section II)		OTH

13. A. Does applicant effect transactions in commodity futures, commodities or commodity options as a broker for others or as dealer for its own account? **Information not available -- see Summary Page**
- B. Does applicant engage in any other non-securities business? **Information not available -- see Summary Page**



If "yes," describe each other business briefly on Schedule D, Page 1, Section II.

## Direct Owners/Executive Officers

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information relating to Direct Owners and Executive Officers as reported by the firm on Form BD.

2. List below the names of
  - (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer, Director, and individuals with similar status or functions,
  - (b) in the case of an applicant that is a corporation, each shareholder that directly owns 5% or more of a class of a voting security of the applicant, unless the applicant is a public reporting company (a company subject to Sections 12 or 15(d) of the Securities Exchange Act of 1934);
  - (c) in the case of an applicant that is a partnership, **all** general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of the applicant's capital, and
  - (d) in the case of a trust that directly owns 5% or more of a class of a voting security of the applicant, or that has the right to receive upon dissolution, or has contributed, 5% or more of the applicant's capital, the trust and each trustee
  - (e) in the case of an applicant that is a Limited Liability Company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
3. Are there any indirect owners of the applicant required to be reported on Schedule B?
4. In the "DE/FE/I" column, enter "DE" if the owner is a domestic entity, or enter "FE" if owner is an entity incorporated or domiciled in a foreign country, or enter "I" if the owner is an individual.
5. Complete the "Title or Status" column by entering board/management titles, status as partner, trustee, sole proprietor, or shareholder, and for shareholders, the class of securities owned (if more than one is issued)

N/A	-	less than 5%	C	-	25% but less than 50%
A	-	5% but less than 10%	D	-	50% but less than 75%
B	-	10% but less than 25%	E	-	75% or more
7. (a) In the "Control Person" column, enter "Yes" if person has "control" as defined in the instructions of this form, and enter "No" if the person does not have control. Note that under this definition most executive officers and all 25% owners, general partners, and trustees would be "control persons".  
(b) In the "PR" column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934.

## Direct Owners/Executive Officers Details

Information not available -- see Summary Page

## Indirect Owners

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

This section provides information relating to Indirect Owners, if any, as reported by the firm on Form BD.

2. With respect to each owner listed on Schedule A, (except individual owners), list below
  - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;  
For purposes of this Schedule, a *person* beneficially owns any securities (i) owned by her/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence, or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant or right to purchase the security
  - (b) in the case of an owner that is a partnership, **all** general partners and those limited and those special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital; and
  - (c) in the case of an owner that is a trust, the trust and each trustee.
  - (d) in the case of an owner that is a Limited Liability Company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers
3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Securities Exchange Act of 1934) is reached, no ownership information further up the chain of ownership need be given.
4. In the "DE/FE/I" column, enter "DE" if the owner is a domestic entity, or enter "FE" if owner is an entity incorporated or domiciled in a foreign country, or enter "I" if the owner is an individual.
5. Complete the "Status" column by entering status as partner, trustee, shareholder, etc., and if shareholder, class of securities owned (if more than one is issued)
6. Ownership codes are:

C	-	25% but less than 50%	E	-	75% or more
D	-	50% but less than 75%	F	-	Other General Partners
7. (a) In the "Control Person" column, enter "Yes" if person has "control" as defined in the instructions of this form, and enter "No" if the person does not have control. Note that under this definition most executive officers and all 25% owners, general partners, and trustees would be "control persons".  
(b) In the "PR" column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of 1934.

## Indirect Owners Details

Information not available -- see Summary Page

## Disclosure Information

Information As Of: **Thursday, June 28, 2007**

<b>Firm Name:</b> THE BOSTON GROUP		
<b>CRD Number:</b> 37652	<b>Firm SEC#:</b> 47860	<b>Source:</b> Regulators
<b>Investment Adviser Firm:</b> Information not available -- see Summary Page		

Firms are required to answer a series of disclosure questions on Form BD and provide the corresponding details to any reported events as part of the securities industry registration and licensing process. The disclosure questions concern potential criminal and regulatory events, civil actions, and certain financial disclosures such as bankruptcy or liquidation proceedings filed within the past ten years, bond actions and unpaid judgments and liens. The firm must answer either "yes" or "no" to each question as it applies to the firm itself or to any of its control affiliates (i.e., an individual, partnership, corporation, trust, or other organization that directly or indirectly controls, is under common control with, or is controlled by the firm). This section lists the various disclosure questions and their corresponding answers as reported by the firm on Form BD.

### FORM BD – DISCLOSURE QUESTIONS

#### Criminal Disclosure Questions

- A. In the past ten years has the applicant or a control affiliate:
- (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any felony? **Information not available -- see Summary Page**
  - (2) Been charged with any felony? **Information not available -- see Summary Page**
- B. In the past ten years has the applicant or a control affiliate:
- (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a misdemeanor involving: investments or an investment-related business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? **Information not available -- see Summary Page**
  - (2) been charged with a misdemeanor specified in 11B(1)? **Information not available -- see Summary Page**

#### Regulatory Action Disclosure Questions

- C. Has the U.S. Securities and Exchange Commission or the Commodities Futures Trading Commission ever:
- (1) found the applicant or a control affiliate to have made a false statement or omission? **Information not available -- see Summary Page**
  - (2) found the applicant or a control affiliate to have been involved in a violation of its regulations or statutes? **Information not available -- see Summary Page**
  - (3) found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? **Information not available -- see Summary Page**
  - (4) entered an order against the applicant or a control affiliate in connection with investment-related activity? **Information not available -- see Summary Page**
  - (5) imposed a civil money penalty on the applicant or a control affiliate, or ordered the applicant or a control affiliate to cease and desist from any activity? **Information not available -- see Summary Page**
- D. Has any other federal agency, and state regulatory agency, or foreign financial regulatory authority:
- (1) ever found the applicant or a control affiliate to have made a false statement or omission or been dishonest, unfair, or unethical? **Information not available -- see Summary Page**
  - (2) ever found the applicant or a control affiliate to have been involved in a violation of investment-related regulations or statutes? **Information not available -- see Summary Page**
  - (3) ever found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? **Information not available -- see Summary Page**

- (4) in the past ten years, entered an order against the applicant or a control affiliate in connection with investment-related activity? **Information not available -- see Summary Page**
- (5) ever denied, suspended, or revoked the applicant's or a control affiliate's registration or license or otherwise, by order, prevented it from associating with an investment-related business or restricted its activities? **Information not available -- see Summary Page**
- E. Has any self-regulatory organization or commodities exchange ever:
- (1) found the applicant or a control affiliate to have made a false statement or omission? **Information not available -- see Summary Page**
- (2) found the applicant or a control affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)? **Information not available -- see Summary Page**
- (3) found the applicant or a control affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? **Information not available -- see Summary Page**
- (4) disciplined the applicant or a control affiliate by expelling or suspending it from membership, barring or suspending its association with other members, or otherwise restricting its activities? **Information not available -- see Summary Page**
- F. Has the applicant's or a control affiliate's authorization to act as an attorney, accountant, or federal contractor ever been revoked or suspended? **Information not available -- see Summary Page**
- G. Is the applicant or a control affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of 11C, D, or E? **Information not available -- see Summary Page**
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### Civil Judicial Action Disclosure Questions

- H (1) Has any domestic or foreign court:
- (a) in the past ten years, enjoined the applicant or a control affiliate in connection with any investment-related activity? **Information not available -- see Summary Page**
- (b) ever found that the applicant or a control affiliate was involved in a violation of investment-related statutes or regulations? **Information not available -- see Summary Page**
- H (2) Is the applicant or a control affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of 11H(1)? **Information not available -- see Summary Page**
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### Financial Disclosure Questions

- I. In the past ten years has the applicant or a control affiliate of the applicant ever been a securities firm or a control affiliate of a securities firm that:
- (1) has been the subject of a bankruptcy petition? **Information not available -- see Summary Page**
- (2) has had a trustee appointed or a direct payment procedure initiated under the Securities Investor Protection Act? **Information not available -- see Summary Page**
- J. Has a bonding company ever denied, paid out on, or revoked a bond for the applicant? **Information not available -- see Summary Page**
- K. Does the applicant have any unsatisfied judgments or liens against it? **Information not available -- see Summary Page**
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## Regulatory - Final

This section provides information regarding a final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. The event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization such as NASD or the New York Stock Exchange (NYSE), a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodities Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of a firm's authority to act as an attorney, accountant or federal contractor, if any, will appear here.

### Disclosure

**Source: REGULATOR (U6)**

**Filing Date:**

#### Part I

The person(s) or entity(ies) for whom this DRP is being filed is (are):

#### Part II

Regulatory Action Initiated by:

**MAINE SECURITIES DIVISION**

Principal Sanction:

Other Sanctions:

Date Initiated:

Docket/Case Number: **99-007**

Principal Product Type:

Other Product Types:

Describe the allegations related to this regulatory action:

**NOTICE OF INTENT TO CENSURE BROKER-DEALER FOR UNLICENSED ACTIVITY BY 5 SALES REPRESENTATIVES EFFECTING A TOTAL OF 31 UNLICENSED TRANSACTIONS IN MAINE; FOR SUBMITTING TWO DOCUMENTS ON BEHALF OF THEIR SALES REPRESENTATIVES IN WHICH THE SALES REPRESENTATIVE FALSELY INDICATED THAT HE HAD NOT EFFECTED SECURITIES TRANSACTIONS IN MAINE WHILE UNLICENSED; FOR FAILING TO DISCLOSE COMPLAINTS ON THE LICENSE APPLICATION OF SIX SALES REPRESENTATIVES; AND FOR FAILING TO UPDATE THREE SALES REPRESENTATIVES' U-4s WHEN DISCLOSABLE COMPLAINTS WERE FILED AGAINST THEM.**

**NOTICE OF INTENT TO CENSURE BROKER-DEALER FOR UNLICENSED ACTIVITY BY 5 SALES REPRESENTATIVES EFFECTING A TOTAL OF 32 UNLICENSED TRANSACTIONS IN MAINE; FOR SUBMITTING TWO DOCUMENTS ON BEHALF OF THEIR SALES REPRESENTATIVES IN WHICH THE SALES REPRESENTATIVES FALSELY INDICATED THAT HE HAD NOT EFFECTED SECURITIES TRANSACTIONS IN MAINE WHILE UNLICENSED; FOR FAILING TO DISCLOSE COMPLAINTS ON THE LICENSE APPLICATION OF SIX SALES REPRESENTATIVES; AND FOR FAILING TO UPDATE THREE SALES REPRESENTATIVES' U-4s WHEN DISCLOSABLE COMPLAINTS WERE FILED AGAINST THEM.**

Current Status? **FINAL**

If on appeal, regulatory action appealed to and Date Appealed Filed:

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How was matter resolved: **DECISION**

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Resolution Date: **04/26/1999**

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A. Sanctions Ordered:

B. Other Sanctions Ordered:

C. Sanction detail:

**THE ISSUES RAISED IN THE NOTICE OF INTENT TO CENSURE BROKER-DEALER HAVE BEEN RESOLVED BY CONSENT ORDER CONTAINING THE FOLLOWING TERMS: 1) ALLEGATIONS NEITHER ADMITTED NOR DENIED; 2) CONSENT TO CENSURE; AND 3) RESTITUTION OF \$5000 TO MAINE RESIDENT.**

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Comment: **CONTACT: JACKIE DROUIN, (207) 624-8554**

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## Regulatory - Final

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### Disclosure

**Source: REGULATOR (U6)**

**Filing Date:**

#### Part I

The person(s) or entity(ies) for whom this DRP is being filed is (are):

#### Part II

Regulatory Action Initiated by:

**MISSOURI SECRETARY OF STATE-SECURITIES DIVISION**

Principal Sanction:

Other Sanctions:

Date Initiated:

Docket/Case Number: **CD-98-42**

Principal Product Type:

Other Product Types:

Describe the allegations related to this regulatory action:

**THE BOSTON GROUP, L. P. OFFERED AND SOLD THE BOSTON GROUP, L. P. OFFERED AND SOLD HIGH-PRESSURE SALES TACTIC, INCLUDING UNSOLICITED "COLD CALLS." RESPONDENTS TOLD MISSOURI RESIDENTS THAT RESPONDENTS WERE IN POSSESSION OF MATERIAL, NONPUBLIC INFORMATION, ENGAGED IN UNAUTHORIZED TRANSACTIONS, FAILED TO PROMPTLY EXECUTE ORDERS, RECOMMENDED SECURITIES WITHOUT REASONABLE GROUNDS TO BELIEVE THAT THE SECURITIES WERE SUITABLE, CONDUCTED SECURITIES TRANSACTIONS THROUGH UNREGISTERED AGENTS, FAILED TO DISCUSS THE RISK INVOLVED IN SPECULATIVE SECURITIES, IMPROPERLY MARKED SOLICITED ORDERS AS "UNSOLICITED," AND FAILED TO SUPERVISE AGENTS.**

Current Status? **FINAL**

If on appeal, regulatory action appealed to and Date Appealed Filed:

How was matter resolved: **ORDER**

Resolution Date: **07/16/1998**

A. Sanctions Ordered:



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B. Other Sanctions Ordered:

C. Sanction detail:

**EX-PARTE CEASE AND DESIST ORDER-THE RESPONDENTS LISTED HAVE THIRTY DAYS TO REQUEST A HEARING.**

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Comment: **RESPONDENTS ARE TO CEASE AND DESIST THE OFFER AND SALE OF SECURITIES IN VIOLATION OF SECTION 409.101, RSMO 1994, AND 409.201, RSMO CUMULATIVE SUPP. 1997. CONTACT: TERESA A. DUNN-573-751-4704**

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## Regulatory - Final

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### Disclosure

**Source: REGULATOR (U6)**

**Filing Date:**

#### Part I

The person(s) or entity(ies) for whom this DRP is being filed is (are):

#### Part II

Regulatory Action Initiated by:

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

Principal Sanction:

Other Sanctions:

Date Initiated:

Docket/Case Number:

Principal Product Type:

Other Product Types:

Describe the allegations related to this regulatory action:

Current Status? **FINAL**

If on appeal, regulatory action appealed to and Date Appealed Filed:

How was matter resolved: **DECISION**

Resolution Date: **05/28/1998**

A. Sanctions Ordered:

B. Other Sanctions Ordered:

C. Sanction detail:

**COMPLAINT NO. C02980010 FILED MARCH 27, 1998 BY DISTRICT NO. 2 AGAINST RESPONDENT THE BOSTON GROUP, L.P. ALLEGING VIOLATIONS OF MARKETPLACE RULES 4632 AND 4642 IN THAT RESPONDENT MEMBER FAILED TO REPORT 19 TRANSACTIONS VARIOUSLY IN NASDAQ NATIONAL MARKET AND NASDAQ SMALLCAP MARKET SECURITIES TO THE AUTOMATED CONFIRMATION**

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Comment:

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## Regulatory – Pending

This section provides information regarding a pending regulatory action as reported by the firm and/or a securities regulator to CRD. The event may include a pending formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization such as NASD or the New York Stock Exchange (NYSE), a federal regulatory agency such as the U.S. Securities and Exchange Commission (SEC) or the Commodities Futures Trading Commission (CFTC), or a foreign financial regulatory body) for alleged violations of investment-related rules or regulations.

### Disclosure

**Source: Regulator (Form U-6)**

**Filing Date:**

### Part II

Regulatory Action Initiated by:

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

Principal Sanction:

Other Sanctions:

Date Initiated: **11/01/2000**

Docket/Case Number: **CAF000027**

Control Affiliate Employing Firm when activity occurred which led to the regulatory action:

Principal Product Type:

Other Product Types:

Describe the allegations related to this regulatory action:

**11-15-00, SEC RULES 10B-5,10B-6, NASD RULES 2110, 2120,2710,3010 - RESPONDENT MEMBER, ACTING THROUGH INDIVIDUALS, SOLD IPO WARRANTS AND COMMON STOCK TO PUBLIC CUSTOMERS EVEN THOUGH THE FIRM HAD PURPORTEDLY COMPLETED THE DISTRIBUTIONS AND CEASED ALL IPO SELLING EFFORTS, CONTINUED TO DISTRIBUTE IPO SECURITIES AT THE PUBLIC OFFERING PRICES WHILE THE FIRM WAS SIMULTANEOUSLY ACTING AS A MARKET MAKER INDUCING OTHERS TO PURCHASE THE SECURITIES IN THE IMMEDIATE AFTERMARKET AT SUBSTANTIALLY HIGHER PRICES, AND CONTINUED THE IPOs BY FULLY EXERCISING THE OVER-ALLOTMENT OPTION AND OBTAINING MORE WARRANTS AND STOCK THAN WAS NEEDED;THE FIRM, ACTING THROUGH INDIVIDUALS,BID FOR, PURCHASED, OR INDUCED OTHERS TO PURCHASE WARRANTS WHILE ENGAGED IN A SECONDARY DISTRIBUTION OF THE SECURITIES AND CONTINUED TO USE SPECIAL SELLING EFFORTS TO SELL WARRANTS TO CUSTOMERS AT MARKET PRICES;THE FIRM, ACTING THROUGH AN INDIVIDUAL, FAILED TO FILE INFORMATION AND DOCUMENTS REGARDING THE PROPOSED TERMS OF THE SECONDARY DISTRIBUTIONS WITH THE NASD, FAILED TO OBTAIN AN OPINION OF "NO OBJECTIONS" TO THE PROPOSED TERMS AND ARRANGEMENTS BEFORE THE SECONDARY DISTRIBUTIONS OF WARRANTS,AND RECEIVED UNFAIR AND UNREASONABLE UNDERWRITING COMPENSATION THAT EXCEEDED NASD GUIDELINES;AND ACTING THROUGH AN INDIVIDUAL,FAILED TO DISCLOSE TO THE FIRM'S RETAIL CUSTOMERS MATERIAL INFORMATION REGARDING THE IPOs;AND THE FIRM, ACTING THROUGH AN INDIVIDUAL, FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE AN ADEQUATE SUPERVISORY SYSTEM AND WRITTEN SUPERVISORY PROCEDURES, AND FAILED TO EXERCISE ADEQUATELY ITS SUPERVISORY RESPONSIBILITIES.**

Current Status? **PENDING**

Comment:

Information As Of: «REPORT\_DATE»

Report Key: «REPORT\_KEY»

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **09/18/1997**

Case Number: **97-04002**

Allegations: **BRCH OF FIDUCIARY DT; OMISSION OF FACTS; SUITABILITY; OTHER**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$134,631.21; ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00; INTEREST, ASKED AMOUNT \$0.00; INTEREST, ASKED AMOUNT \$0.00; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00; OTHER COSTS, ASKED AMOUNT \$0.00; OTHER COSTS, ASKED AMOUNT \$0.00**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **03/02/1999**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$90,661.00; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **09/22/1997**

Case Number: **97-04260**

Allegations: **ACCOUNT RELATED-OTHER**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$1,154.67; OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **04/22/1998**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$50.00**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **09/13/1999**

Case Number: **99-03521**

Allegations: **EXECUTIONS-FAILURE TO EXECUTE**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$90,000.00 SEVERALLY ;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 SEVERALLY ;  
OTHER COSTS, ASKED AMOUNT \$0.00 SEVERALLY ;  
ATTORNEY'S FEES, ASKED AMOUNT \$0.00 SEVERALLY ;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 SEVERALLY ;  
INTEREST, ASKED AMOUNT \$0.00 SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **11/29/2000**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL,  
AWARD AMOUNT \$115,562.00;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL,  
AWARD AMOUNT \$200,000.00;  
OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT  
\$6,453.00;  
ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL**



## Customer Dispute – Award/Judgment

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **07/14/1997**

Case Number: **97-03351**

Allegations: **MISREPRESENTATION; BRCH OF FIDUCIARY DT; OMISSION OF FACTS; SUITABILITY**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$65,003.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00; INTEREST, ASKED AMOUNT \$0.00; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **07/07/1998**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$8,750.00; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **02/19/1999**

Case Number: **98-02717**

Allegations: **FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; EXECUTIONS-FAILURE TO EXECUTE**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$10,000.00 SEVERALLY ;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
INTEREST, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **10/28/1999**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL,  
AWARD AMOUNT \$3,250.00;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT  
\$150.00**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **12/18/1996**

Case Number: **96-04972**

Allegations: **ACCOUNT RELATED - FAILURE TO SUPERVISE; MANIPULATION**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00; OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **NOT PROVIDED**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$62.50 JOINTLY AND SEVERALLY**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

The full text of arbitration awards issued by arbitrators at NASD and at all other dispute resolution forums is available online as a cooperative arrangement between NASD Dispute Resolution and the Securities Arbitration Commentator (SAC) at [http://www.nasd.com/arb\\_awards/](http://www.nasd.com/arb_awards/).

### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **06/22/1998**

Case Number: **98-01565**

Allegations: **FRAUDULENT ACTIVITY-SUITABILITY; FRAUDULENT ACTIVITY-MISREPRESENTATION; FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE**

Type of Securities: **COMMON STOCK;WARRANTS/RIGHTS**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$52,059.52 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
INTEREST, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **11/04/1999**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$52,059.52;  
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$0.01  
7C. RELIEF ASKED:  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 SEVERALLY  
8A. CURRENT STATUS: AWARD AGAINST PARTY  
8B. STATUS DATE: 11/04/1999  
8C. RELIEF AWARDED:  
OTHER MONETARY RELIEF, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$500.00**



## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **03/20/2000**

Case Number: **00-00903**

Allegations: **FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; FRAUDULENT ACTIVITY-MANIPULATION; FRAUDULENT ACTIVITY-MISREPRESENTATION; FRAUDULENT ACTIVITY-SUITABILITY**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$6,124.98 SEVERALLY ; OTHER COSTS, ASKED AMOUNT \$325.00 SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **11/14/2000**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$162.50**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **03/08/1999**

Case Number: **99-00813**

Allegations: **FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-BREACH OF CONTRACT; FRAUDULENT ACTIVITY-SUITABILITY**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$450,000.00 JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$1,350,000.00 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **NO AWARD AGAINST PARTY**

Disposition Date: **11/16/2000**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL  
7C. RELIEF ASKED:  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$450,000.00 JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$1,350,000.00 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY  
8A. CURRENT STATUS: NO AWARD AGAINST PARTY**

**8B. STATUS DATE: 11/16/2000**

**8C. RELIEF AWARDED:**

**ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;**

**OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL;**

**PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;**

**ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL**



## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be reported by brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **07/01/1997**

Case Number: **97-03163**

Allegations: **OTHER; MISREPRESENTATION; UNAUTHORIZED TRADING; ACCOUNT RELATED-NEGLIGENCE**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$75,506.00; INTEREST, ASKED AMOUNT \$0.00; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00; OTHER COSTS, ASKED AMOUNT \$150.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **05/14/1998**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$45,549.00; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$150.00; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL**

## Customer Dispute – Award/Judgment

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **07/01/1997**

Case Number: **97-02909**

Allegations: **SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$50,980.00; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00; INTEREST, ASKED AMOUNT \$0.00; OTHER COSTS, ASKED AMOUNT \$0.00; ATTORNEY'S FEES, ASKED AMOUNT \$0.00**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **06/15/1998**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$3,545.56 JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **07/30/1998**

Case Number: **98-02541**

Allegations: **EXECUTIONS-FAILURE TO EXECUTE; FRAUDULENT ACTIVITY-MISREPRESENTATION; FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$1,000,000.00 JOINTLY AND SEVERALLY;  
INTEREST, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **05/25/2000**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$1,500,000.00;  
INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$0.01;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$250.00**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **04/27/1999**

Case Number: **99-01272**

Allegations: **FRAUDULENT ACTIVITY-SUITABILITY; FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; FRAUDULENT ACTIVITY - OMISSION OF FACTS; FRAUDULENT ACTIVITY-MISREPRESENTATION**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **NO AWARD AGAINST PARTY**

Disposition Date: **09/14/2000**

Relief Awarded: **OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

The full text of arbitration awards issued by arbitrators at NASD and at all other dispute resolution forums is available online as a cooperative arrangement between NASD Dispute Resolution and the Securities Arbitration Commentator (SAC) at [http://www.nasd.com/arb\\_awards/](http://www.nasd.com/arb_awards/).

### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **05/27/1997**

Case Number: **97-02547**

Allegations: **EXECUTIONS-FAILURE TO EXECUTE**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$1,275.00; OTHER COSTS, ASKED AMOUNT \$0.00; INTEREST, ASKED AMOUNT \$0.00**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **NOT PROVIDED**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,275.00 JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$50.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$114.00 JOINTLY AND SEVERALLY**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **11/17/1998**

Case Number: **98-03754**

Allegations: **FRAUDULENT ACTIVITY-MISREPRESENTATION; FRAUDULENT ACTIVITY - OMISSION OF FACTS; FRAUDULENT ACTIVITY-CHURNING; ACCOUNT RELATED-NEGLIGENCE**

Type of Securities: **COMMON STOCK;WARRANTS/RIGHTS**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$150,000.01 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$25,000.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
INTEREST, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
ATTORNEY'S FEES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **02/21/2001**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$172,000.00;  
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$4,000.00;  
ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL**



## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **04/30/1999**

Case Number: **99-00940**

Allegations: **ACCOUNT RELATED - FAILURE TO SUPERVISE; FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; FRAUDULENT ACTIVITY-OTHER**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$150,000.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
INTEREST, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
ATTORNEY'S FEES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **02/27/2001**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$100,000.00;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$300,000.00;  
OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL;**



**PUNITIVE/EXEMPLARY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **02/10/1999**

Case Number: **99-00339**

Allegations: **FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE;  
FRAUDULENT ACTIVITY-MISREPRESENTATION**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$364,355.12 SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **03/26/2001**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL,  
AWARD AMOUNT \$150,000.00**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

The full text of arbitration awards issued by arbitrators at NASD and at all other dispute resolution forums is available online as a cooperative arrangement between NASD Dispute Resolution and the Securities Arbitration Commentator (SAC) at [http://www.nasd.com/arb\\_awards/](http://www.nasd.com/arb_awards/).

### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **09/30/1999**

Case Number: **99-03489**

Allegations: **FRAUDULENT ACTIVITY-CHURNING; FRAUDULENT ACTIVITY-MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; FRAUDULENT ACTIVITY-SUITABILITY**

Type of Securities: **COMMON STOCK**

Relief Asked: **ATTORNEY'S FEES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$75,000.00 JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$100,000.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **07/23/2001**

Relief Awarded: **ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL  
7C. RELIEF ASKED:  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$75,000.00 JOINTLY AND SEVERALLY  
8A. CURRENT STATUS: AWARD AGAINST PARTY  
8B. STATUS DATE: 07/23/2001  
8C. RELIEF AWARDED:  
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL,  
AWARD AMOUNT \$60,860.53**



## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **06/30/1999**

Case Number: **99-02055**

Allegations: **FRAUDULENT ACTIVITY-SUITABILITY; FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; FRAUDULENT ACTIVITY - OMISSION OF FACTS; FRAUDULENT ACTIVITY-MISREPRESENTATION**

Type of Securities: **COMMON STOCK**

Relief Asked: **ATTORNEY'S FEES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$90,000.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$400,000.00 JOINTLY AND SEVERALLY;  
OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **05/15/2001**

Relief Awarded: **ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$30,000.00;  
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$80,971.75;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$50,000.00;  
OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$300.00  
7C. RELIEF ASKED:  
OTHER COSTS, ASKED AMOUNT \$0.00 SEVERALLY  
8A. CURRENT STATUS: AWARD AGAINST PARTY  
8B. STATUS DATE: 05/15/2001**

**8C. RELIEF AWARDED:  
OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL**

## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **07/01/1999**

Case Number: **99-02419**

Allegations: **FRAUDULENT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; FRAUDULENT ACTIVITY-MANIPULATION; FRAUDULENT ACTIVITY-SUITABILITY**

Type of Securities: **UNKNOWN TYPE OF SECURITIES**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$214,000.00 JOINTLY AND SEVERALLY;  
ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
ATTORNEY'S FEES, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER COSTS, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
INTEREST, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY;  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 JOINTLY AND SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **05/18/2001**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL;  
OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL  
7C. RELIEF ASKED:  
OTHER MONETARY RELIEF, ASKED AMOUNT \$0.00 SEVERALLY  
8A. CURRENT STATUS: AWARD AGAINST PARTY  
8B. STATUS DATE: 05/18/2001**

**8C. RELIEF AWARDED:  
OTHER MONETARY RELIEF, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD  
AMOUNT \$11,400.00**



## Customer Dispute – Award/Judgment

Unlike the arbitration information required to be brokers via Form U4, brokerage firm arbitration information is not required to be reported on Form BD and is therefore disclosed through NASD BrokerCheck via a slightly different mechanism. This section provides summary information regarding NASD arbitration awards involving securities and commodity disputes between public customers and NASD-registered firms.

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### Disclosure

Source: **NASD**

Type of Event: **ARBITRATION**

Arbitration Forum: **NASD**

Case Served Date: **02/05/2001**

Case Number: **01-00341**

Allegations: **FRAUDULENT ACTIVITY-MISREPRESENTATION; FRAUDULENT ACTIVITY - OMISSION OF FACTS; FRAUDULENT ACTIVITY-MANIPULATION; OTHER-UNDERWRITING**

Type of Securities: **COMMON STOCK**

Relief Asked: **ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$36,918.00 SEVERALLY ; PUNITIVE/EXEMPLARY DAMAGES, ASKED AMOUNT \$5,000.00 SEVERALLY ; ATTORNEY'S FEES, ASKED AMOUNT \$625.00 SEVERALLY ; INTEREST, ASKED AMOUNT \$7,261.00 SEVERALLY**

Disposition: **AWARD AGAINST PARTY**

Disposition Date: **06/07/2002**

Relief Awarded: **ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$32,612.00; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL  
7C. RELIEF ASKED:  
OTHER COSTS, ASKED AMOUNT \$0.01 SEVERALLY  
8A. CURRENT STATUS: AWARD AGAINST PARTY  
8B. STATUS DATE: 06/07/2002  
8C. RELIEF AWARDED:  
OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL, AWARD AMOUNT \$175.00**

Information As Of: «REPORT\_DATE»

Report Key: «REPORT\_KEY»