



IAPD Report

VINCENT WOO

CRD# 1014737

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

VINCENT WOO (CRD# 1014737)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	03/28/2025
IA	MORGAN STANLEY	CRD# 149777	03/28/2025

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **37** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	RBC CAPITAL MARKETS, LLC	31194	Rolling Hills, CA	04/04/2011 - 04/14/2025
IA	RBC CAPITAL MARKETS, LLC	31194	Rolling Hills, CA	04/04/2011 - 04/14/2025
B	OPPENHEIMER & CO. INC.	249	LOS ANGELES, CA	07/14/2004 - 04/15/2011

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	6



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **37** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MORGAN STANLEY**
Main Address: 2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530
Firm ID#: 149777

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/28/2025
B	FINRA	General Securities Sales Supervisor	Approved	03/28/2025
B	NYSE American LLC	General Securities Representative	Approved	03/28/2025
B	NYSE American LLC	General Securities Sales Supervisor	Approved	03/28/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	03/28/2025
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/28/2025
B	New York Stock Exchange	General Securities Representative	Approved	03/28/2025
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	03/28/2025
B	Alabama	Agent	Approved	03/28/2025
B	Alaska	Agent	Approved	04/03/2025
B	Arizona	Agent	Approved	03/28/2025
B	Arkansas	Agent	Approved	09/17/2025
B	California	Agent	Approved	03/28/2025



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	04/01/2025
B Colorado	Agent	Approved	03/28/2025
B Connecticut	Agent	Approved	03/28/2025
B Delaware	Agent	Approved	03/28/2025
B Florida	Agent	Approved	03/28/2025
B Georgia	Agent	Approved	09/04/2025
B Hawaii	Agent	Approved	03/31/2025
B Idaho	Agent	Approved	03/28/2025
B Illinois	Agent	Approved	04/03/2025
B Indiana	Agent	Approved	04/01/2025
B Louisiana	Agent	Approved	03/28/2025
B Maryland	Agent	Approved	03/28/2025
B Massachusetts	Agent	Approved	04/01/2025
B Michigan	Agent	Approved	03/28/2025
B Minnesota	Agent	Approved	09/09/2025
B Mississippi	Agent	Approved	04/25/2025
B Nevada	Agent	Approved	03/28/2025
B New Hampshire	Agent	Approved	09/05/2025
B New Jersey	Agent	Approved	03/28/2025



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	03/28/2025
B North Carolina	Agent	Approved	03/28/2025
B Ohio	Agent	Approved	03/28/2025
B Oklahoma	Agent	Approved	03/31/2025
B Oregon	Agent	Approved	03/28/2025
B Pennsylvania	Agent	Approved	03/28/2025
B Puerto Rico	Agent	Approved	03/28/2025
B Rhode Island	Agent	Approved	04/15/2025
B Tennessee	Agent	Approved	03/28/2025
B Texas	Agent	Approved	03/28/2025
IA Texas	Investment Adviser Representative	Restricted Approval	03/28/2025
B Utah	Agent	Approved	09/05/2025
B Virginia	Agent	Approved	03/28/2025
B Washington	Agent	Approved	04/14/2025
B Wisconsin	Agent	Approved	03/28/2025

Branch Office Locations

MORGAN STANLEY
609 Deep Valley Drive
Suite 400
Rolling Hills Estates, CA 90274





Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/04/2011
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/27/2011

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/10/2011
 General Securities Representative Examination (S7)	Series 7	10/17/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/30/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/05/1982

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/04/2011 - 04/14/2025	RBC CAPITAL MARKETS, LLC	CRD# 31194	Rolling Hills, CA
IA	04/04/2011 - 04/14/2025	RBC CAPITAL MARKETS, LLC	CRD# 31194	Rolling Hills, CA
B	07/14/2004 - 04/15/2011	OPPENHEIMER & CO. INC.	CRD# 249	LOS ANGELES, CA
IA	07/14/2004 - 04/15/2011	OPPENHEIMER & CO. INC.	CRD# 249	LOS ANGELES, CA
IA	07/08/1997 - 07/20/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LOS ANGELES, CA
B	10/31/1994 - 07/20/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	11/15/1981 - 11/03/1994	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2025 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
03/2025 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	ROLLING HILLS ESTATES, CA, United States
09/2017 - 03/2025	CITY NATIONAL BANK	EMPLOYEE OF AN AFFILIATE	Y	CENTURY CITY, CA, United States
04/2011 - 03/2025	RBC CAPITAL MARKETS, LLC	FINANCIAL ADVISOR	Y	CENTURY CITY, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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 Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	6

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLAIMANTS ALLEGE INTER ALIA MISREPRESENTATIONS REGARDING ARS.
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$65,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA, LOS ANGELES, CA
Docket/Case #:	12-02322
Filing date of arbitration/CFTC reparation or civil litigation:	06/19/2012

Customer Complaint Information

Date Complaint Received:	07/02/2012
Complaint Pending?	No
Status:	Settled



Status Date: 02/17/2014
Settlement Amount: \$45,000.00
Individual Contribution Amount: \$0.00
Firm Statement REGISTRANT IS NOT A NAMED RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.
Allegations: CLAIMANTS ALLEGE INTER ALIA MISREPRESENTATIONS REGARDING ARS.
Product Type: Other: AUCTION RATE SECURITIES
Alleged Damages: \$65,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA, LOS ANGELES, CA
Docket/Case #: 12-02322
Filing date of arbitration/CFTC reparation or civil litigation: 06/19/2012

Customer Complaint Information

Date Complaint Received: 07/02/2012
Complaint Pending? No
Status: Settled
Status Date: 02/17/2014
Settlement Amount: \$45,000.00
Individual Contribution Amount: \$0.00
Broker Statement REGISTRANT IS NOT A NAMED RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.

Disclosure 2 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.
Allegations: CUSTOMER ALLEGES, INTER ALIA, MISREPRESENTATIONS AND UNSUITABILITY OR ARS.



Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$5,550,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-02063

Filing date of arbitration/CFTC reparation or civil litigation: 04/30/2010

Customer Complaint Information

Date Complaint Received: 05/17/2010

Complaint Pending? No

Status: Settled

Status Date: 01/09/2012

Settlement Amount: \$365,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE REGISTRANT IS NOT NAMED AS A RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CUSTOMER ALLEGES, INTER ALIA, MISREPRESENTATIONS AND UNSUITABILITY OR ARS.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$5,550,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-02063

Filing date of arbitration/CFTC reparation or civil litigation: 04/30/2010

**Customer Complaint Information**

Date Complaint Received: 05/17/2010
Complaint Pending? No
Status: Settled
Status Date: 01/09/2012
Settlement Amount: \$365,000.00
Individual Contribution Amount: \$0.00
Broker Statement THE REGISTRANT IS NOT NAMED AS A RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.

Disclosure 3 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.
Allegations: CLAIMANT ALLEGES, INTER ALIA, UNSUITABILITY AND MISREPRESENTATIONS REGARDING THE SALE OF ARS
Product Type: Other: AUCTION RATE SECURITIES
Alleged Damages: \$3,500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 10-05449
Date Notice/Process Served: 12/13/2010
Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/12/2012
Monetary Compensation Amount: \$100,000.00
Individual Contribution Amount: \$0.00
Firm Statement IN ADDITION TO MONETARY PAYMENT, THE FIRM HAS AGREED TO BUY BACK CLAIMANT'S ARS OVER TIME AT 90% OF PAR VALUE AND PAY THE DIFFERENCE UPON MATURITY.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC
Allegations: CLAIMANT ALLEGES, INTER ALIA, UNSUITABILITY AND MISREPRESENTATIONS REGARDING THE SALE OF ARS



Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$3,500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-05449

Date Notice/Process Served: 11/30/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/12/2012

Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Broker Statement IN ADDITION TO MONETARY PAYMENT, THE FIRM HAS AGREED TO BUY BACK CLAIMANT'S ARS OVER TIME AT 90% OF PAR VALUE AND PAY THE DIFFERENCE UPON MATURITY.

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANT, A PUBLIC COMPANY, CLAIMS BREACH OF FIDUCIARY DUTY, UNSUITABILITY, MISREPRESENTATION, NEGLIGENCE, AND FAILURE TO SUPERVISE REGARDING ARS INVESTMENTS IN JULY 2007.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$14,450,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-01121

Date Notice/Process Served: 03/17/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/2012

Monetary Compensation Amount: \$3,000,000.00

Individual Contribution Amount: \$0.00



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANT, A PUBLIC COMPANY, CLAIMS BREACH OF FIDUCIARY DUTY, UNSUITABILITY, MISREPRESENTATION, NEGLIGENCE, AND FAILURE TO SUPERVISE REGARDING ARS INVESTMENTS IN JULY 2007.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$14,450,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-01121

Date Notice/Process Served: 03/17/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/2012

Monetary Compensation Amount: \$3,000,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIM ALLEGES UNSUITABILITY REGARDING THE PURCHASE OF AUCTION RATE SECURITIES.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$253,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [09-00878](#)

Date Notice/Process Served: 03/05/2009

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/13/2013



Monetary Compensation Amount: \$30,000,000.00

Individual Contribution Amount: \$0.00

Firm Statement MR. WOO'S LIABILITY WAS JOINT AND SEVERAL, BUT LIMITED BY THE ARBITRATORS, NOT TO EXCEED THE DOLLAR AMOUNT OF HIS COMMISSIONS GENERATED BY CERTAIN TRANSACTIONS.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIM ALLEGES UNSUITABILITY REGARDING THE PURCHASE OF AUCTION RATE SECURITIES

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$253,000,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status:

Status Date: 03/05/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [09-00878](#)

Date Notice/Process Served: 03/05/2009

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/13/2013

Monetary Compensation Amount: \$30,000,000.00

Individual Contribution Amount: \$0.00

Broker Statement MR. WOO'S LIABILITY WAS JOINT AND SEVERAL, BUT LIMITED BY THE ARBITRATORS, NOT TO EXCEED THE DOLLAR AMOUNT OF HIS COMMISSIONS GENERATED BY CERTAIN TRANSACTIONS.

Disclosure 6 of 6

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

SALOMON SMITH BARNEY

Allegations:

CORPORATE REPRESENTATIVE ALLEGED THAT THE CMO BOUGHT ON JUNE 7,2001 VIOLATED THE CORPORATION'S INVESTMENT POLICY.

DAMAGES UNSPECIFIED.

Product Type:

Debt - Asset Backed

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/27/2001

Complaint Pending? No

Status: Settled

Status Date: 07/27/2001

Settlement Amount: \$8,812.00

Individual Contribution Amount: \$2,937.33

Broker Statement THE CLAIM WAS ADJUSTED; LOSS INCURRED WAS \$8,812.



End of Report

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