



## IAPD Report

# HELEN SUZANNE HOFFMAN

CRD# 1045308

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7
Disclosure Information	8



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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

### HELEN SUZANNE HOFFMAN (CRD# 1045308)

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 **03/18/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	10/15/2012
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	10/15/2012

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **26** 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>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	POUGHKEEPSIE, NY	11/05/1998 - 10/17/2012
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	POUGHKEEPSIE, NY	11/04/1998 - 10/17/2012
<b>B</b>	ADOLPH KOMORSKY HOFFMAN & ASSOCIATES LTD	30838	TARRYTOWN, NY	12/22/1995 - 12/15/1998

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	5



## 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 **26** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**  
Main Address: 1200 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086  
Firm ID#: 8174

Regulator	Registration	Status	Date
<b>B</b> BOX Exchange LLC	General Securities Principal	Approved	10/15/2012
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	10/15/2012
<b>B</b> BOX Exchange LLC	General Securities Sales Supervisor	Approved	10/15/2012
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	10/15/2012
<b>B</b> Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/15/2012
<b>B</b> Cboe Exchange, Inc.	General Securities Principal	Approved	03/18/2026
<b>B</b> FINRA	General Securities Principal	Approved	10/15/2012
<b>B</b> FINRA	General Securities Representative	Approved	10/15/2012
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	10/15/2012
<b>B</b> NYSE American LLC	General Securities Principal	Approved	10/15/2012
<b>B</b> NYSE American LLC	General Securities Representative	Approved	10/15/2012
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> NYSE Arca, Inc.	General Securities Principal	Approved	10/15/2012



## Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Representative	Approved	10/15/2012
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/15/2012
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B NYSE Texas, Inc.	General Securities Principal	Approved	03/18/2026
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/18/2026
B Nasdaq ISE, LLC	General Securities Principal	Approved	10/15/2012
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/15/2012
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Principal	Approved	10/15/2012
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/15/2012
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/15/2012
B Nasdaq Stock Market	General Securities Principal	Approved	10/15/2012
B Nasdaq Stock Market	General Securities Representative	Approved	10/15/2012
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/15/2012
B New York Stock Exchange	General Securities Principal	Approved	10/15/2012
B New York Stock Exchange	General Securities Representative	Approved	10/15/2012
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Arizona	Agent	Approved	10/15/2012
B California	Agent	Approved	10/16/2012



## Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	05/22/2013
B	Connecticut	Agent	Approved	10/17/2012
B	Delaware	Agent	Approved	10/15/2012
B	District of Columbia	Agent	Approved	10/15/2012
B	Florida	Agent	Approved	10/15/2012
B	Georgia	Agent	Approved	10/15/2012
IA	Georgia	Investment Adviser Representative	Approved	12/15/2021
B	Illinois	Agent	Approved	10/31/2012
B	Indiana	Agent	Approved	05/31/2013
B	Maine	Agent	Approved	11/08/2012
B	Maryland	Agent	Approved	10/15/2012
B	Massachusetts	Agent	Approved	10/15/2012
B	Michigan	Agent	Approved	10/15/2012
B	Missouri	Agent	Approved	07/12/2013
B	New Hampshire	Agent	Approved	10/15/2012
B	New Jersey	Agent	Approved	10/15/2012
IA	New Jersey	Investment Adviser Representative	Approved	12/15/2021
B	New York	Agent	Approved	10/15/2012
IA	New York	Investment Adviser Representative	Approved	10/26/2021



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	10/15/2012
<b>B</b> Ohio	Agent	Approved	10/15/2012
<b>B</b> Pennsylvania	Agent	Approved	10/15/2012
<b>B</b> Rhode Island	Agent	Approved	11/14/2023
<b>B</b> South Carolina	Agent	Approved	05/23/2013
<b>B</b> Texas	Agent	Approved	10/15/2012
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	10/15/2012
<b>B</b> Virginia	Agent	Approved	10/15/2012
<b>B</b> Washington	Agent	Approved	12/11/2018

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
1285 AVENUE OF THE AMERICAS  
15 THRU 18TH FLOORS  
NEW YORK, NY 10019






## 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 3 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	11/30/2004
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/14/2004
 General Securities Principal Examination (S24)	Series 24	12/20/1995

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	04/18/1996
 General Securities Representative Examination (S7)	Series 7	04/17/1982

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/20/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/1987

### 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
IA	11/05/1998 - 10/17/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	POUGHKEEPSIE, NY
B	11/04/1998 - 10/17/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	POUGHKEEPSIE, NY
B	12/22/1995 - 12/15/1998	ADOLPH KOMORSKY HOFFMAN & ASSOCIATES LTD	CRD# 30838	TARRYTOWN, NY
B	06/17/1994 - 12/05/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	05/22/1992 - 06/15/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	10/16/1990 - 05/26/1992	DOLLAR DRY DOCK INVESTMENT SERVICES, INC.	CRD# 26601	
B	04/01/1987 - 10/24/1990	MURPHEY FAVRE, INC.	CRD# 599	IRVINE, CA
B	04/22/1982 - 03/05/1987	E. F. HUTTON & COMPANY INC	CRD# 235	

#### 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
10/2012 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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.

BSSS LP / HAVEN TERRACE,NJ 08008 / PARTNERSHIP/ REAL ESTATE / MANAGE FAMILY BEACH HOUSE / PARTNER / BILLPAY,ARRANGE RENTALS / START DATE 9/1/1993.



## 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	5

### 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 5

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
<b>Allegations:</b>	CUSTOMER ALLEGES THAT THE FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENT RECOMMENDATIONS.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$100,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/16/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	03/02/2010
<b>Settlement Amount:</b>	

### Individual Contribution Amount:

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	10-00814



**Date Notice/Process Served:** 03/02/2010  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 10/01/2010  
**Monetary Compensation Amount:** \$6,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** MS. HOFFMAN STRONGLY DENIES THE ALLEGATIONS. THE FIRM SETTLED THIS MATTER TO AVOID THE EXPENSE OF ARBITRATION.

**Disclosure 2 of 5**

**Reporting Source:** Regulator  
**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.,  
**Allegations:** UNSUITABLE INVESTMENTS, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, MISREPRESENTATION, BREACH OF THE DUTY OF GOOD FAITH AND FAIR DEALING  
**Product Type:** Other  
**Other Product Type(s):** UNSPECIFIED SECURITIES  
**Alleged Damages:** \$66,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #04-07482](#)  
**Date Notice/Process Served:** 10/26/2004  
**Arbitration Pending?** No  
**Disposition:** Other  
**Disposition Date:** 04/07/2006  
**Disposition Detail:** STIPULATED AWARD ISSUED: CLAIMANT AND RESPONDENTS NOTIFIED NASD DISPUTE RESOLUTION THAT THE PARTIES FULLY AND FINALLY SETTLED ALL CLAIMS BY AND BETWEEN THEM; THE CLAIMANT HAS DISMISSED ALL CLAIMS WITH PREJUDICE AGAINST RESPONDENTS.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INC.  
**Allegations:** CLAIMANT ALLEGES FA PLACED HER RETIREMENT FUNDS INTO HIGH RISK EQUITIES WHICH WERE UNSUITABLE GIVEN HER AGE AND FINANCIAL GOALS. CLAIMANT ALSO ALLEGES FA MADE MISREPRESENTATIONS REGARDING THE NATURE OF THE RECOMMENDED INVESTMENTS, OMITTED MATERIAL FACTS CONCERNING RISK, AND MISLED CLAIMANT INTO PURCHASING SPECULATIVE SECURITIES.



**Product Type:** Equity - OTC

**Alleged Damages:** \$66,000.00

### Customer Complaint Information

**Date Complaint Received:** 11/02/2004

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 11/02/2004

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD DISPUTE RESOLUTION CASE NO. 04-07482](#)

**Date Notice/Process Served:** 11/02/2004

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/24/2006

**Monetary Compensation Amount:** \$38,500.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** HELEN S. HOFFMAN MADE NO CONTRIBUTION TO THE SETTLEMENT.

### Disclosure 3 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** ADOLPH KOMORSKY HOFFMAN & ASSOCIATES LTD

**Allegations:** NONE. CLAIM IS DIRECTED TO MARC KOMORSKY AND PETER ADOLPH. \$300,000.00 AND DAMAGES UNSUIABILITY CHURNING, MISREPRESENTATION

**Product Type:** Other: SECURITIES

**Alleged Damages:** \$300,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 02/23/1998

**Complaint Pending?** No



**Status:** Closed/No Action

**Status Date:** 03/18/1998

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** CLIENT SUBSEQUENTLY FILED FOR ARBITRATION AND DID NOT NAMED MS. HOFFMAN AS A RESPONDENT. I HAVE NEVER SPOKEN WITH CUSTOMER. THIS ACCOUNT WAS HANDLED BY MARC KOMORSKY AND PETER ADOLPH. CLIENT STATED IN HER ORIGINAL LETTER THAT SHE NEVER SPOKE TO ME.  
NOT PROVIDED.

**Disclosure 4 of 5**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** ADOLPH KOMORSKY HOFFMAN LLC

**Allegations:** UNAUTHORIZED TRADING; SUITABILITY; BRCH OF FIDUCIARY DT; CHURNING

**Product Type:**

**Alleged Damages:** \$42,200.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #97-02771

**Date Notice/Process Served:** 07/16/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/24/1998

**Disposition Detail:** CLOSED - PARTIES SETTLED THRU MEDIATION  
\*\* CASE SETTLED THRU MEDIATION \*\*

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** ADOLPH KOMORSKY HOFFMAN LLC

**Allegations:** BREACH OF FIDUCIARY DUTY CHURNING  
UNAUTHORIZED TRANSACTIONS UNSORTABILITY

**Product Type:**

**Alleged Damages:** \$42,200.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No



**Status:** Arbitration/Reparation

**Status Date:** 04/24/1998

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-02771

**Date Notice/Process Served:** 07/16/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/24/1998

**Monetary Compensation Amount:** \$31,500.00

**Individual Contribution Amount:**

**Broker Statement** THE CLAIM SETTLE FOR \$31,500 AGAINST [THIRD PARTY] ALL CLAIMS AGAINST ME WERE DISMISSED. I HAVE NEVER SPOKEN TO [CUSTOMER].

**Disclosure 5 of 5**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** FIRST ALBANY CORP.

**Allegations:** ACCOUNT RELATED-NEGLIGENCE; SUITABILITY; MISREPRESENTATION

**Product Type:**

**Alleged Damages:** \$14,055.51

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [UNKNOWN - CASE #95-03324](#)

**Date Notice/Process Served:** 07/12/1995

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 09/06/1996

**Disposition Detail:** AWARD AGAINST PARTY  
\*\*\*HOFFMAN IS LIABLE IN THE AMOUNT OF \$500.00 IN COMPENSATORY DAMAGES.\*\*\*

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** FIRST ALBANY CORP.

**Allegations:** UNDUE CONCENTRATION AND SUITABILITY IN MUTUAL FUNDS (\$14,055.51 LOSS)

**Product Type:**

**Alleged Damages:** \$14,055.51

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 09/06/1996

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-03324](#)

**Date Notice/Process Served:** 07/12/1995

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 09/06/1996

**Monetary Compensation Amount:** \$15,055.00

**Individual Contribution Amount:** \$500.00

**Broker Statement**

THE ARBITRATION PANEL FOUND AGAINST THE FIRM IN THE AMOUNT OF \$14,555.00 AND AGAINST ME IN THE AMOUNT OF \$500.00  
I INVESTED CLIENT ([CUSTOMER]) ASSETS IN A SHORT TERM FIXED INCOME FUND. CLIENT WAS AWARE THAT FUND WAS NOT A MONEY MARKET AND NAV WOULD FLUCTUATE. NO GUARANTY WASMADE AS REGARD TO PERFORMANCE. CLIENT OBTAINED MONTHLY INCOME AT A SOMEWHAT HIGHER RATE. I MAINTAIN I DID NOTHING WRONG IN REGARD TO THIS CUSTOMER OR THE TRANSACTION.



## End of Report

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