



IAPD Report

ROC WILLIAM WILLIS

CRD# 1110815

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Information	10



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



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

ROC WILLIAM WILLIS (CRD# 1110815)

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 **04/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	11/27/2024
IA	OPPENHEIMER & CO. INC.	CRD# 249	12/02/2024

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **22** 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
IA	WEDBUSH SECURITIES INC.	877	LAKE OSWEGO, OR	02/17/2011 - 12/15/2024
B	WEDBUSH SECURITIES INC.	877	LAKE OSWEGO, OR	02/16/2011 - 12/15/2024
B	WELLS FARGO ADVISORS, LLC	19616	LA JOLLA, CA	01/01/2008 - 01/31/2011

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	2



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 **22** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OPPENHEIMER & CO. INC.**

Main Address: 85 BROAD STREET
22ND FLOOR
NEW YORK, NY 10004

Firm ID#: 249

	Regulator	Registration	Status	Date
	Cboe Exchange, Inc.	General Securities Representative	Approved	11/27/2024
	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/27/2024
	Cboe Exchange, Inc.	Securities Trader	Approved	11/27/2024
	FINRA	General Securities Representative	Approved	11/27/2024
	FINRA	General Securities Sales Supervisor	Approved	11/27/2024
	FINRA	Operations Professional	Approved	11/27/2024
	FINRA	Securities Trader	Approved	11/27/2024
	NYSE American LLC	General Securities Representative	Approved	11/27/2024
	NYSE American LLC	General Securities Sales Supervisor	Approved	11/27/2024
	NYSE American LLC	Securities Trader	Approved	11/27/2024
	NYSE Arca, Inc.	General Securities Representative	Approved	11/27/2024
	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/27/2024
	NYSE Arca, Inc.	Securities Trader	Approved	11/27/2024



Qualifications

Regulator	Registration	Status	Date
B NYSE Texas, Inc.	General Securities Representative	Approved	11/27/2024
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/27/2024
B NYSE Texas, Inc.	Securities Trader	Approved	11/27/2024
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/27/2024
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	11/27/2024
B Nasdaq ISE, LLC	Securities Trader	Approved	11/27/2024
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/27/2024
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/27/2024
B Nasdaq PHLX LLC	Securities Trader	Approved	11/27/2024
B Nasdaq Stock Market	General Securities Representative	Approved	11/27/2024
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/27/2024
B Nasdaq Stock Market	Securities Trader	Approved	11/27/2024
B New York Stock Exchange	General Securities Representative	Approved	11/27/2024
B New York Stock Exchange	General Securities Sales Supervisor	Approved	11/27/2024
B New York Stock Exchange	Securities Trader	Approved	11/27/2024
B Alaska	Agent	Approved	11/27/2024
B Arizona	Agent	Approved	11/27/2024
B California	Agent	Approved	11/27/2024
B Colorado	Agent	Approved	11/27/2024



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	12/02/2024
B	Georgia	Agent	Approved	11/27/2024
B	Hawaii	Agent	Approved	11/27/2024
B	Idaho	Agent	Approved	11/27/2024
B	Maryland	Agent	Approved	11/27/2024
B	Minnesota	Agent	Approved	11/27/2024
B	Montana	Agent	Approved	12/04/2024
B	Nevada	Agent	Approved	12/03/2024
B	New Mexico	Agent	Approved	11/27/2024
B	North Dakota	Agent	Approved	08/05/2025
B	Oklahoma	Agent	Approved	11/27/2024
B	Oregon	Agent	Approved	12/02/2024
IA	Oregon	Investment Adviser Representative	Approved	12/02/2024
B	Tennessee	Agent	Approved	12/03/2024
B	Texas	Agent	Approved	11/27/2024
B	Utah	Agent	Approved	11/27/2024
B	Virginia	Agent	Approved	11/27/2024
B	Washington	Agent	Approved	12/16/2024
IA	Washington	Investment Adviser Representative	Approved	12/16/2024



Qualifications

Regulator	Registration	Status	Date
B West Virginia	Agent	Approved	11/27/2024

Branch Office Locations

OPPENHEIMER & CO. INC.
5000 MEADOWS ROAD
SUITE 430
LAKE OSWEGO, OR 97035

OPPENHEIMER & CO. INC.
WEST LINN, OR



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, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/03/1987

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	08/26/1993
B	General Securities Representative Examination (S7)	Series 7	03/19/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/19/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/28/1983



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	02/17/2011 - 12/15/2024	WEDBUSH SECURITIES INC.	CRD# 877	LAKE OSWEGO, OR
B	02/16/2011 - 12/15/2024	WEDBUSH SECURITIES INC.	CRD# 877	LAKE OSWEGO, OR
B	01/01/2008 - 01/31/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	LA JOLLA, CA
IA	01/01/2008 - 01/31/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	LA JOLLA, CA
B	05/06/2004 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	LA JOLLA, CA
IA	05/07/2004 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	LA JOLLA, CA
IA	08/24/1998 - 05/20/2004	MORGAN STANLEY	CRD# 7556	PALM DESERT, CA
B	03/05/1987 - 05/20/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	02/22/1984 - 02/06/1987	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	08/23/1983 - 02/21/1984	SHEARSON/AMERICAN EXPRESS INC.	CRD# 7506	
B	03/24/1983 - 09/01/1983	FOSTER & MARSHALL/AMERICAN EXPRESS INC.	CRD# 321	

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
11/2024 - Present	OPPENHEIMER & CO. INC.	FINANCIAL ADVISOR	Y	LAKE OSWEGO, OR, United States
01/2011 - 11/2024	WEDBUSH SECURITIES INC	REGISTERED REP	Y	WOODLAND HILLS, CA, United States



Registration & Employment History



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.

1-I AM THE TRUSTEE FOR THE MARSUBIAN FAMILY TRUST AND EXECUTOR FOR THE ESTATE. WE ARE IN THE PROCESS OF LIQUIDATING THE ASSETS OF THE TRUST, FILING TAX RETURNS AND THE DISTRIBUTING THE ASSETS TO THE BENEFICIARIES AND DISSOLVING THE TRUST. I CURRENTLY SPEND APPROXIMATELY 5 HOURS PER WEEK ON THIS.

2-I AM ONE OF TWO TRUSTEES RESPONSIBLE FOR THE ADMINISTRATION AND SETTLEMENT OF MY MOTHER'S (KAY MARSUBIAN) AND STEPFATHER'S ESTATE. RICH MARSUBIAN PASSED IN 2024. KAY MARSUBIAN PASSED IN 2025. THE MARSUBIAN SURVIVOR TRUST COMMENCED WITH THE PASSING OF KAY MARSUBIAN IN APRIL 2025. THIS TAKES 1-2 HOURS PER WEEK AND WILL BE DISBURSED INT HE NEXT 6-12 MONTHS.

3. I AM ONE OF TWO TRUSTEES RESPONSIBLE FOR THE ADMINISTRATION AND SETTLEMENT OF MY MOTHER'S (KAY MARSUBIAN) AND STEPFATHER'S ESTATE. RICH MARSUBIAN PASSED IN 2024. KAY MARSUBIAN PASSED IN 2025. THE MARSUBIAN CREDIT SHELTER TRUST COMMENCED WHEN RICH MARSUBIAN PASSED IN JULY 2024. THIS TAKES 1-2 HOURS PER WEEK AND WILL BE DISBURSED INT HE NEXT 6-12 MONTHS



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	2

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 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CONSTRUCTIVE FRAUD, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE.
Product Type:	Other
Other Product Type(s):	SHARES OF STOCK
Alleged Damages:	\$1,700,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-00069
Date Notice/Process Served:	01/03/2002
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	05/23/2006
Disposition Detail:	STIPULATED AWARD ISSUED: THE PARTIES HAVE ENTERED INTO A SETTLEMENT AGREEMENT AND THE CLAIMS IN THIS MATTER ARE DISMISSED WITH PREJUDICE.

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CUSTOMER ALLEGED, INTER ALIA, MISREPRESENTATIONS IN CONNECTION WITH THE HANDLING OF HIS ACCOUNT IN 2000. MR. WILLIS WAS NOT THE BROKER OF RECORD FOR THE CUSTOMER'S ACCOUNT AND WAS NAMED AS A RESPONDENT ONLY IN HIS SUPERVISORY CAPACITY.

Product Type: Other

Other Product Type(s): EQUITY LISTED

Alleged Damages: \$1,700,000.00

Customer Complaint Information

Date Complaint Received: 01/14/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/14/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD NO. 02-00069](#)

Date Notice/Process Served: 01/14/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/14/2006

Monetary Compensation Amount: \$550,000.00

Individual Contribution Amount: \$0.00

Firm Statement PREVIOUSLY REPORTED ON U-4. MR. WILLIS STRONGLY DENIED ANY WRONGDOING. MORGAN STANLEY SETTLED THE MATTER, WITHOUT ANY ADMISSION OF LIABILITY, TO AVOID THE COSTS AND UNCERTAINTY OF LITIGATION.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CUSTOMER ALLEGED VIOLATIONS OF LAW IN CONNECTION WITH THE HANDLING OF HIS ACCOUNT IN 2000. MR. WILLIS WAS NOT THE BROKER OF RECORD FOR THE CUSTOMER'S ACCOUNT AND IS NAMED AS A RESPONDENT ONLY IN HIS SUPERVISORY CAPACITY.

Product Type: Other



Other Product Type(s): EQUITY-LISTED

Alleged Damages: \$1,700,000.00

Customer Complaint Information

Date Complaint Received: 01/14/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/14/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD NO. 02-00069](#)

Date Notice/Process Served: 01/14/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/14/2006

Monetary Compensation Amount: \$550,000.00

Individual Contribution Amount: \$0.00

Broker Statement PREVIOUSLY REPORTED ON U-4, MR. WILLIS STRONGLY DENIED ANY WRONGDOING. MORGAN STANLEY SETTLED THE MATTER, WITHOUT ANY ADMISSION OF LIABILITY, TO AVOID THE COSTS AND UNCERTAINTY OF LITIGATION. AFTER THE SETTLEMENT AND PURSUANT TO THE STIPULATED AWARD DATED APRIL 4, 2006 THE PANEL DECIDED IN FULL AND FINAL RESOLUTION THAT ALL OF CLAIMANTS' CLAIMS IN THE ABOVE-CAPTIONED ACTION ARE DISMISSED, WITH PREJUDICE. THE PANEL RECOMMENDED THE EXPUNGEMENT OF ALL REFERENCE TO THE ABOVE CAPTIONED ARBITRATION FROM THE RESPONDENT'S REGISTRATION RECORD.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: RETAIL BROKERAGE CLIENTS ALLEGE, INTER ALIA, COMMON LAW STATUTORY CAUSES OF ACTION ARISING OUT OF STOCK TRANSACTION CLIENTS MADE IN VARIOUS FAMILY, TRUST AND BUSINESS ACCOUNTS BETWEEN 1998 AND 2001.

Product Type: Other

Other Product Type(s): COMMON STOCK

Alleged Damages: \$20,000,000.00

**Customer Complaint Information**

Date Complaint Received: 08/07/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/17/2004
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 01-02783

Date Notice/Process Served: 08/07/2001
Arbitration Pending? No
Disposition: Settled
Disposition Date: 02/17/2004
Monetary Compensation Amount: \$878,000.00

Individual Contribution Amount:

Firm Statement MPREVIOUSLY REPORTED ON U-4. MR.WILLIS WAS NOT THE COMPLAINING CLIENTS STOCKBROKER. MR.WILLIS IS NAMED AS A RESPONDENT IN THIS CAPACITY AS THE BRANCH MANAGER WHERE THE TRANSACTIONS TOOK PLACE. CLAIMANTS DISMISSED ALL INDIVIDUAL CLAIMS AGAINTS MR.WILLIS AND HE DID NOT PARTICIPATE IN THE SETTLEMENT.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: RETAIL BROKERAGE CLIENTS ALLEGED, INTER ALIA, COMMON LAW AND STTUTORY CAUSES OF ACTION ARISING OUT OF STOCK TRANSACTIONS CLIENTS MADE IN VARIOUS FAMILY, TRUST AND BUSINESS ACCOUNTS BETWEEN 1998 AND 2001.

Product Type: Other
Other Product Type(s): COMMON STOCK
Alleged Damages: \$20,000,000.00

Customer Complaint Information

Date Complaint Received: 08/07/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/17/2004

**Settlement Amount:****Individual Contribution
Amount:****Arbitration Information****Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD `CASE NO. 01-02783**Date Notice/Process Served:** 08/07/2001**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 02/17/2004**Monetary Compensation
Amount:** \$878,000.00**Individual Contribution
Amount:** \$0.00**Broker Statement**

PREVIOUSLY REPORTED ON U-4, MR. WILLIS WAS NOT THE COMPLAINING CLIENTS STOCKBROKER. MR. WILLIS IS NAMED AS A RESPONDENT IN HIS CAPACITY AS THE BRANCH MANAGER WHERE THE TRANSACTIONS TOOK PLACE. CLAIMANTS DISMISSED ALL INDIVIDUAL CLAIMS AGAINST MR. WILLIS AND HE DID NOT PARTICIPATE IN THE SETTLEMENT.



End of Report

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