



IAPD Report

JAMES WESLEY LEWIS

CRD# 1125729

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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

JAMES WESLEY LEWIS (CRD# 1125729)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	04/11/1988
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	05/31/1990

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **43** 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	JOHNSTON, LEMON & CO. INCORPORATED	473	LOCATION	04/20/1983 - 04/18/1988

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 **43** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
Main Address: ONE BRYANT PARK
NEW YORK, NY 10036
Firm ID#: 7691

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/07/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/07/2014
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
B FINRA	General Securities Representative	Approved	04/11/1988
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	04/11/1988
B Alaska	Agent	Approved	01/22/2021
B Arizona	Agent	Approved	04/20/2018
B Arkansas	Agent	Approved	04/02/2025
B California	Agent	Approved	07/25/1988
B Colorado	Agent	Approved	07/16/2018
B Connecticut	Agent	Approved	05/15/1992
B Delaware	Agent	Approved	07/26/2012



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	05/13/1988
IA District of Columbia	Investment Adviser Representative	Approved	06/28/1998
B Florida	Agent	Approved	04/11/1988
IA Florida	Investment Adviser Representative	Approved	04/19/2017
B Georgia	Agent	Approved	06/12/1990
B Hawaii	Agent	Approved	07/31/2024
B Idaho	Agent	Approved	08/07/2014
B Illinois	Agent	Approved	03/05/2003
B Indiana	Agent	Approved	01/06/2003
B Kansas	Agent	Approved	04/23/2018
B Kentucky	Agent	Approved	04/17/2002
B Louisiana	Agent	Approved	04/28/1993
B Maine	Agent	Approved	10/28/2024
B Maryland	Agent	Approved	04/11/1988
B Massachusetts	Agent	Approved	05/02/1991
B Michigan	Agent	Approved	04/08/2016
B Minnesota	Agent	Approved	04/22/2018
B Mississippi	Agent	Approved	04/16/1996
B Missouri	Agent	Approved	04/21/2026



Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	04/25/2012
B	Nevada	Agent	Approved	11/19/2024
B	New Hampshire	Agent	Approved	05/26/2009
B	New Jersey	Agent	Approved	03/05/2013
B	New Mexico	Agent	Approved	04/26/2002
B	New York	Agent	Approved	04/11/1988
B	North Carolina	Agent	Approved	04/11/1988
B	Ohio	Agent	Approved	09/23/1992
B	Oklahoma	Agent	Approved	06/14/2011
B	Oregon	Agent	Approved	05/28/1998
B	Pennsylvania	Agent	Approved	04/11/1988
B	Rhode Island	Agent	Approved	10/20/2023
B	South Carolina	Agent	Approved	02/21/1989
B	Tennessee	Agent	Approved	04/27/2018
B	Texas	Agent	Approved	05/31/1990
IA	Texas	Investment Adviser Representative	Restricted Approval	05/31/1990
B	Virginia	Agent	Approved	04/11/1988
B	Washington	Agent	Approved	11/23/2004



Qualifications

Regulator	Registration	Status	Date
B West Virginia	Agent	Approved	02/24/1998
B Wisconsin	Agent	Approved	07/16/2012

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
1800 K ST NW
WASHINGTON, DC 20006

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
401 E LAS OLAS BLVD
FORT LAUDERDALE, FL 33301



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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	04/16/1983
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/13/1993
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/03/1983
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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	04/20/1983 - 04/18/1988	JOHNSTON, LEMON & CO. INCORPORATED	CRD# 473	

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
12/2009 - Present	BANK OF AMERICA, N.A.	SVP; SENIOR FINANCIAL ADVISOR	Y	WASHINGTON, DC, United States
04/1988 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SVP; SENIOR FINANCIAL ADVISOR	Y	WASHINGTON, DC, 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.

I*134369
 For-Profit
 Name: POA
 Investment related: Yes
 Address: Lowland, NC 28552
 Nature of business: Revocable Trust
 Start: 10/26/2020
 Hrs devoted: 1 Hr mthly
 Duties: Timber land Family Held

I*9350
 For profit
 Name: Rental
 Investment related: No
 Address: New York, New York 10065
 Start date: 1/31/2020
 Hrs devoted: 1 hr
 Hrs during trading: 0

I*111410
 For-Profit
 Name: Dexter Street LLC
 Investment related: No
 Address: Washington, DC 20037
 Nature of business: LLC
 Start date: 01/01/2018
 Hrs devoted: 1 hr Mthly
 During trading hours: 0



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Duties: Rental property
I*327
For-Profit
Name: J. L.
Address: Falls Church, Virginia 22044
Start date: 10/12/2011
Hrs devoted: 1 hr Mthly
During trading: 0
Duties: Rental property
I*675
For-Profit
Name: J. L.
Address: Great Falls, Virginia 22066
Start date: 08/19/2013
Hrs devoted: 1 hour Mthly
During trading : 0
Duties: Rental property
I*2488
For-Profit
Name: J. L.
Address: Alexandria, Virginia 20037
Start date: 01/01/1998
Hrs devoted: 2 hrs Mthly
During trading: 0
Duties: Rental Property
I*2489
For-Profit
Name: J. L.
Address: Alexandria, Virginia 22312
Start date: 01/01/1998
Hrs devoted: 2 hours Monthly
During trading: 0
Duties: Rental property
I*2491
For-Profit
Name: J. L.
Address: Alexandria, Virginia 22312
Start date: 01/01/1998
Hrs devoted: 2 hrs Mthly
During trading: 0
Duties: Rental property
I*2492
For-Profit
Name: J. L.
Address: Falls Church, Virginia 22207
Start date: 01/01/1998
Hrs Devoted: 2 hrs Mthly
During trading: 0
Duties: Rental Property
I*2493



Registration & Employment History



OTHER BUSINESS ACTIVITIES

For-Profit

Name: J. L.

Address: Herndon, Virginia 20171

Start date: 01/01/1998

Hrs Devoted: 2 hrs Mthly

During trading: 0

Duties: Rental property

I*2494

For-Profit

Name: J. L.

Address; Arlington, Virginia 22207

Start date: 01/01/1998

Hrs Devoted: 2 hrs Mthly

During trading: 0

Duties: Rental property

I*2495

For-Profit

Name: J. L.

Address: Alexandria, Virginia 22207

Start date : 01/01/1998

Hrs Devoted: 2 hrs Mthly

During trading: 0

Duties: Rental property

I*2496

For-Profit

Name: J. L.

Address: Washington, DC 20011

Start date: 01/01/1998

Hrs Devoted: 2 hrs Mthly

During trading: 0

Duties: Rental property

I*2497

For-Profit

Name: J. L.

Address: New York, NY 10045

Start date: 01/01/1998

Hrs Devoted: 2 hrs Mhly

During trading: 0

Duties: Rental property

I*2498

For-Profit

Name: J. L.

Address: New York, NY 10045

Start date: 01/01/1998

Hrs Devoted: 2 hrs Mthly

During trading: 0

Duties: Rental property

I*2721

For-Profit

Name: J. W. L.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Address: Washington, DC 20037

Start date: 09/15/2011

Hrs Devoted: 2 hrs Mthly

Hrs During trading: 0

Duties: Rental property

I*2851

For-Profit

Name: J. W L. Rental Property

Address: Washington, DC 20037

Start date: 12/03/2012

Hrs Devoted: 1 hr Annually

Hrs During trading: 0

Duties: Rental property

I*2852

For-Profit

Name: J. L. Rental Property

Address: Washington, DC 20037

Start date: 05/31/2013

Hrs Devoted: 1 hr Mthly

Hrs During trading: 0

Duties: Rental property

I*3036

For-Profit

Name: J. L.

Address: Ft. Lauderdale, FL 33301

Start date: 10/01/2014

Hrs Devoted: 1 hr Mthly

Hrs Devoted during trading: 0

Duties: Rental property

I*3102

For-Profit

Name: J. L.

Address: New York, NY 10065

Start Date: 02/27/2015

Hrs Devoted: 1 hr Mhly

Hrs devoted during trading: 0

Duties: Rental property

I*71143

Name: ALL SOULS EPISCOPAL CHURCH

Investment Related: NO

Address: WASHINGTON, DC 20008

Entity Type: CHARITABLE ORGANIZATION,

Position: COMMITTEE MEMBER

Start Date: 4/1/2014

Hrs Devoted: 2

I*1221271

For profit or not for profit:

Name: F. R. B., III

Investment related: No

Address: Washington, DC, 20037



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Position, title, association: Power of Attorney

Start date: 3/17/2023

Hrs devoted: 4 hours Weekly

Hrs devoted during trading hours: 0

Duties: POA

I*: 418639

Entity Type:

Name of OBA: Watergate East

Address: Washington, DC 20037

Investment Related: No

Position, Title, Association: Committee, Board Member

Employee Start Date: 4/11/2014

Number of Hours: 3 hrs mtly

Number of Hours during trading: 0

Duties: Board member



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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMERS ALLEGE MISREPRESENTATION FROM SEPTEMBER 2011 TO DECEMBER 2013.
Product Type:	Other: DEBT - FOREIGN
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES NOT SPECIFIED
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/19/2014
Complaint Pending?	No
Status:	Settled
Status Date:	10/09/2014
Settlement Amount:	\$43,947.00



Individual Contribution Amount: \$0.00

Broker Statement FA SOLD AUSTRALIAN BONDS THAT HE THOUGHT TRADED IN US CURRENCY. AFTER THE FA LEARNED THAT THE BONDS DID NOT TRADE IN US CURRENCY, THE FIRM OFFERED TO MAKE THE CLIENTS WHOLE. THE CONFIRMATIONS SENT TO THE CUSTOMERS SET FORTH THE CORRECT INFORMATION.

Disclosure 2 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES MISREPRESENTATION FROM MARCH 2011 TO MARCH 2014. ACTIVITY PERIOD: 09/12/2011 TO 03/21/2014

Product Type: Other: DEBT-FOREIGN

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES NOT SPECIFIED

Is this an oral complaint? Yes

Is this a written complaint? No

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

Customer Complaint Information

Date Complaint Received: 03/07/2014

Complaint Pending? No

Status: Settled

Status Date: 07/11/2014

Settlement Amount: \$34,566.67

Individual Contribution Amount: \$0.00

Broker Statement FA SOLD AUSTRALIAN BONDS THAT HE THOUGHT TRADED IN US CURRENCY. AFTER THE FA LEARNED THAT THE BONDS DID NOT TRADE IN US CURRENCY, THE FIRM OFFERED TO MAKE THE CLIENTS WHOLE. THE CONFIRMATIONS SENT TO THE CUSTOMERS SET FORTH THE CORRECT INFORMATION.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMERS ALLEGE MISREPRESENTATION FROM MARCH 2011 TO



MARCH 2014. ACTIVITY PERIOD: 03/12/2011 TO 03/21/2014

Product Type: Other: DEBT-FOREIGN**Alleged Damages:** \$28,764.49**Is this an oral complaint?** Yes**Is this a written complaint?** No**Is this an arbitration/CFTC
reparation or civil litigation?** No**Customer Complaint Information****Date Complaint Received:** 03/21/2014**Complaint Pending?** No**Status:** Settled**Status Date:** 06/30/2014**Settlement Amount:** \$42,055.99**Individual Contribution
Amount:** \$0.00**Broker Statement**

THE FINANCIAL ADVISOR SOLD AUSTRALIAN BONDS THAT HE THOUGHT TRADED IN US CURRENCY. AFTER THE FINANCIAL ADVISOR LEARNED THAT THE BONDS DID NOT TRADE IN US CURRENCY, THE FIRM OFFERED TO MAKE THE CLIENTS WHOLE. THE CONFIRMATIONS SENT TO THE CUSTOMERS SET FORTH THE CORRECT INFORMATION.

Disclosure 4 of 5**Reporting Source:** Individual**Employing firm when
activities occurred which led
to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**Allegations:** CLIENT ALLEGES MISREPRESENTATION FROM JULY 2011 TO DECEMBER 2013. ACTIVITY PERIOD: 07/25/2011-12/16/2013.**Product Type:** Other: DEBT-FOREIGN**Alleged Damages:** \$0.00**Alleged Damages Amount
Explanation (if amount not
exact):** DAMAGES ARE NOT SPECIFIED**Is this an oral complaint?** Yes**Is this a written complaint?** No**Is this an arbitration/CFTC
reparation or civil litigation?** No**Customer Complaint Information****Date Complaint Received:** 02/19/2014**Complaint Pending?** No**Status:** Settled



Status Date: 04/01/2014

Settlement Amount: \$36,191.00

Individual Contribution Amount: \$0.00

Broker Statement FA SOLD AUSTRALIAN BONDS THAT HE THOUGHT TRADED IN US CURRENCY. AFTER THE FA LEARNED THAT THE BONDS DID NOT TRADE IN US CURRENCY, THE FIRM OFFERED TO MAKE CLIENTS WHOLE. THE CONFIRMATIONS SENT TO THE CUSTOMERS SET FORTH THE CORRECT INFORMATION.

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING IN SEPTEMBER 2012

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE NOT SPECIFIED.

Is this an oral complaint? Yes

Is this a written complaint? No

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

Customer Complaint Information

Date Complaint Received: 08/30/2013

Complaint Pending? No

Status: Settled

Status Date: 09/03/2013

Settlement Amount: \$54,331.06

Individual Contribution Amount: \$0.00



End of Report

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