



## IAPD Report

# DAVID JOEL GORDON

CRD# 1198044

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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

### DAVID JOEL GORDON (CRD# 1198044)

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 **11/17/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MORGAN STANLEY	CRD# 149777	03/28/2013
<b>IA</b>	MORGAN STANLEY	CRD# 149777	03/28/2013

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **28** 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>	WELLS FARGO ADVISORS, LLC	19616	DEERFIELD, IL	05/21/1998 - 04/01/2013
<b>B</b>	WELLS FARGO ADVISORS, LLC	19616	DEERFIELD, IL	02/19/1991 - 04/01/2013
<b>B</b>	MESIROW INVESTMENT SERVICES, INC.	15113	DEERFIELD, IL	02/08/1988 - 03/06/1991

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 **28** 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>B</b>	FINRA	General Securities Representative	Approved	03/28/2013
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	03/28/2013
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	03/28/2013
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	03/28/2013
<b>B</b>	Arizona	Agent	Approved	03/28/2013
<b>B</b>	Arkansas	Agent	Approved	03/28/2013
<b>B</b>	California	Agent	Approved	03/28/2013
<b>B</b>	Colorado	Agent	Approved	03/28/2013
<b>B</b>	Delaware	Agent	Approved	05/08/2024
<b>B</b>	District of Columbia	Agent	Approved	05/28/2025
<b>B</b>	Florida	Agent	Approved	04/10/2013
<b>B</b>	Hawaii	Agent	Approved	09/28/2017
<b>B</b>	Illinois	Agent	Approved	03/28/2013



## Qualifications

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	03/28/2013
B	Indiana	Agent	Approved	04/02/2013
B	Kansas	Agent	Approved	04/19/2024
B	Maryland	Agent	Approved	02/28/2025
B	Massachusetts	Agent	Approved	04/08/2013
B	Michigan	Agent	Approved	03/28/2013
B	Minnesota	Agent	Approved	03/28/2013
B	Mississippi	Agent	Approved	10/27/2020
B	New Jersey	Agent	Approved	04/10/2013
B	New York	Agent	Approved	03/28/2013
B	North Carolina	Agent	Approved	03/28/2013
B	Ohio	Agent	Approved	03/28/2013
B	Pennsylvania	Agent	Approved	01/13/2016
B	South Carolina	Agent	Approved	02/06/2018
B	Tennessee	Agent	Approved	03/28/2013
B	Texas	Agent	Approved	12/04/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	09/12/2016
B	Utah	Agent	Approved	09/19/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virginia	Agent	Approved	03/28/2013
<b>B</b> Washington	Agent	Approved	07/11/2016
<b>B</b> Wisconsin	Agent	Approved	03/28/2013

### Branch Office Locations

**MORGAN STANLEY**  
111 South Pfingsten Road  
Suite 200  
Deerfield, IL 60015




## 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/08/1993

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	10/10/1994
 General Securities Representative Examination (S7)	Series 7	10/15/1983

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/31/1983

### 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	05/21/1998 - 04/01/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	DEERFIELD, IL
B	02/19/1991 - 04/01/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	DEERFIELD, IL
B	02/08/1988 - 03/06/1991	MESIROW INVESTMENT SERVICES, INC.	CRD# 15113	
B	12/01/1983 - 02/19/1988	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

### 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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
03/2013 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	DEERFIELD, IL, 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.

- \*163325 - LifeStyle Designs; Investment related - No; Deerfield; Illinois; Manufacturing; Sole Proprietor/Owner(proprietor, partner, officer, director, employee, trustee, agent);05/2013; During business hours: 0; After business hours: 5; Labor/Service
- FINANCIAL INDUSTRY REGULATORY ASSOCIATION (FINRA); CHICAGO, IL; INDEPENDENT CONTRACTOR; ARBITRATION HEARING PANEL MEMBER; FINRA DISPUTE RESOLUTION; .1 AFTER BUSINESS HOURS; .1 DURING BUSINESS HOURS; STARTED 1990\*\*\*
- HOOKED ON DRIVING (HOD); COACH TO NOVICE SPORTS CAR DRIVERS; JOLIET, IL; SPORTS CAR DRIVING; .1 AFTER BUSINESS HOURS; .1 DURING BUSINESS HOURS; STARTED 2012\*\*\*
- JOURNAL OF FINANCIAL PLANNING; PEER REVIEW COMMITTEE READS / VETS SUBMITTED ARTICLES PRIOR TO PUBLICATION; DENVER, COLORADO; SCHOLARLY PUBLICATION IN FINANCIAL INDUSTRY; .1 AFTER BUSINESS HOURS; .1 DURING BUSINESS HOURS; BEGAN 2011\*\*\*
- CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS; ATTEND ARBITRATIONS; WASHINGTON, DC; SELF REGULATORY ORGANIZATION / ARBITRATION HEARING EXAMINER; .1 AFTER BUSINESS HOURS; .1 DURING BUSINESS HOURS



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

HOURS; BEGAN 1994\*\*\*

6. WHARTON SCHOOL CERTIFIED INVESTMENT MANAGEMENT ANALYST PROGRAM; DUTIES- INSTRUCTOR ETHICS TEACHING, INVESTMENT INDUSTRY; DEERFIELD, IL; 1 HOUR AFTER BUSINESS; 1 HOUR DURING BUSINESS; 2013\*\*

7. Investment & Wealth Institute ; Investment Related ; Selecting Topics and Speakers for Conferences ; Committee Member ; May 2019 ; During business hours : 1 ; After business hours : 1 ; Screening and Selecting Speakers and topics for Conferences ;

\*374794 - Yoga Journal; Investment related No; Authorship; Independent Contractor (proprietor, partner, officer, director, employee, trustee, agent); Sep 2019; During business hours: 0; After business hours: 1; Create, write articles for magazine publication

\*374583 - General Yoga Studios; Investment related No; Yoga Teaching and Class Instruction; Independent Contractor (proprietor, partner, officer, director, employee, trustee, agent); Aug 2019; During business hours: 0; After business hours: 2

\*382579 - Yoga Alliance; Investment related No; Arlington, VA; Yoga education; Independent Contractor (proprietor, partner, officer, director, employee, trustee, agent); Nov 2019; During business hours: 0+; Assist in drafting and presenting code of conduct, ethics materials and practice standards

\*382580 - Kripalu Center for Yoga and Health; Investment related No; Stockbridge, MA; Yoga Education, Credentialling and Standards; Independent Contractor (proprietor, partner, officer, director, employee, trustee, agent); Nov 2019; Help draft educational, credentialling and teaching standards for nonprofit organization



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	WACHOVIA SECURITIES, LLC
<b>Allegations:</b>	IL CLIENT WROTE EXPRESSING CONCERN REGARDING UNAUTHORIZED PURCHASE OF SECURITIES IN HER MANAGED ACCOUNT IN JUNE 2008, UNAUTHORIZED WITHDRAWALS IN HER LIVING TRUST ACCOUNT, FEES ASSESSED AND INVESTMENT LOSSES. CLAIMED DAMAGES OF \$105,670.30 (06/25/2008)
<b>Product Type:</b>	Other: WRAP ACCOUNTS
<b>Alleged Damages:</b>	\$105,670.30
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	02/17/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	09/10/2009
<b>Settlement Amount:</b>	

**Individual Contribution Amount:****Broker Statement**

ALL PURCHASES OF SECURITIES IN CLIENT'S ACCOUNTS WERE PROPER, WERE MADE ENTIRELY FOR THE CLIENT'S BENEFIT AND WERE SPECIFICALLY AUTHORIZED BY THE CLIENT. IN ADDITION TO VERBAL CONFIRMATION, THE CLIENT ALSO PROVIDED WRITTEN AUTHORIZATION TO MAINTAIN A MANAGED DISCRETIONARY ACCOUNT, AND FURTHER CLIENT AUTHORIZATION TO EXECUTE TRANSACTIONS WAS NOT REQUIRED. THERE WERE NO WITHDRAWALS FROM CLIENT'S OTHER ACCOUNT AND ALL FEES CHARGED WERE DISCLOSED IN WRITING AND WERE CONSISTENT WITH CLIENT'S SIGNED, WRITTEN AGREEMENT.

**Disclosure 2 of 6****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

WACHOVIA SECURITIES, LLC

**Allegations:**

[CUSTOMER], AN ILLINOIS RESIDENT, STATES THAT HIS ADVISORS, DAVID GORDON AND [OTHER FIRM EMPLOYEE], FAILED TO DISCLOSE ALL OF THE FEES AND COMMISSIONS ASSOCIATED WITH REALLOCATING HIS ACCOUNTS IN NOVEMBER OF 2005. FURTHER, CLIENT ASSETS HE WAS COERCED BY HIS ADVISORS INTO MAKING ACCOUNT CHANGES. CLIENT ESTIMATES EXPENSES ASSOCIATED WITH THOSE CHANGES AT \$16,000 AND REQUESTS ITS RETURN.

**Product Type:**

Other

**Other Product Type(s):**

WRAP ACCOUNTS

**Alleged Damages:**

\$16,000.00

**Customer Complaint Information****Date Complaint Received:**

12/19/2005

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

04/24/2006

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

CLAIM DENIED BY FIRM ON 4/24/2006. ON REVIEW NO EVIDENCE WAS DISCOVERED SUPPORTING CLIENT'S CLAIM THAT FEES AND COMMISSIONS WERE NOT DISCLOSED. WITH REGARD TO THE CLAIM OF COERCION, BROKER'S INITIAL PRESENTATION WAS MADE ON JULY 21, 2005, MORE THAN SIX WEEKS BEFORE THE DECISION TO MOVE ASSETS WAS FINALIZED BY THE CLIENT ON SEPTEMBER 9, 2005. IN ADDITION, CLIENT'S COMPLAINT WAS NOT RECEIVED UNTIL DECEMBER 20. IN THIS CONTEXT, IT DOES NOT APPEAR CLIENT WAS IN ANY WAY COERCED OR PRESSURED BY HIS ADVISORS.

**Disclosure 3 of 6****Reporting Source:**

Individual



**Employing firm when activities occurred which led to the complaint:** FIRST UNION SECURITIES INC.

**Allegations:** CLIENT HAS ALLEGED THAT IN APRIL 2001 HIS BROKER RECOMMENDED THAT HE SURRENDER HIS VARIABLE ANNUITY WITHOUT ADVISING HIM OF THE TAX CONSEQUENCES OR THE SURRENDER CHARGES.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$13,457.00

### Customer Complaint Information

**Date Complaint Received:** 05/10/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/28/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE FIRM'S REVIEW REVEALED THAT THERE WAS SIGNIFICANT EVIDENCE SUPPORTING THE DENIAL OF THE CLIENT'S ALLEGATIONS. THE CLAIMS AND DEMAND FOR DAMAGES WERE DENIED IN THEIR ENTIRETY.

### Disclosure 4 of 6

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** EVEREN SECURITIES, INC.

**Allegations:** ALLEGES HE DID NOT UNDERSTAND HIS B SHARE MUTUAL FUNDS HAD BACK-END LOADS AND THAT HE MIGHT HAVE AVOIDED SOME COSTS HAD HE BEEN PUT IN A SHARES. HE ALLEGES HE'S PAID \$70,000 IN EXTRA FEES.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$70,000.00

### Customer Complaint Information

**Date Complaint Received:** 11/08/2000

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/08/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** MR. GORDON'S FIRM, FIRST UNION SECURITIES, INC., DENIED THE CLAIMANT'S ALLEGATIONS.

### Disclosure 5 of 6



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** FIRST UNION SECURITIES

**Allegations:** CLIENT ALLEGES THAT FINANCIAL ADVISER FAILED TO FOLLOW HER INSTRUCTIONS CONCERNING THE PURCHASE AND SALE OF A STOCK. DAMAGES ARE NOT ALLEGED BUT ARE REASONABLY CALCULATED BY THE FIRM TO BE IN EXCESS OF \$5,000.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$5,000.00

**Customer Complaint Information**

**Date Complaint Received:** 03/10/2000

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/22/2000

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 6 of 6**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** EVEREN SECURITIES, INC.

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

**Product Type:**

**Alleged Damages:** \$325,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** UNKNOWN - CASE #96-01610

**Date Notice/Process Served:** 05/29/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/07/1997

**Disposition Detail:** CASE CLOSED,SETTLED/OTHER  
\*\* CASE SETTLED \*\*

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** EVEREN SECURITIES, INC.

**Allegations:** CLAIMANT ALLEGES UNAUTHORIZED TRADING AND MISREPRESENTATION IN CONNECTION WITH INVESTMENTS IN MUNICIPAL BONDS, FNMA BONDS AND MUTUAL FUNDS. DAMAGES SOUGHT \$325,000.00

**Product Type:**

**Alleged Damages:** \$325,000.00

### Customer Complaint Information

**Date Complaint Received:** 02/23/1995

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 05/07/1997

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 96-01610

**Date Notice/Process Served:** 05/29/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/07/1997

**Monetary Compensation Amount:** \$31,000.00

**Individual Contribution Amount:** \$10,000.00

**Broker Statement** THE FIRM AND THE CLAIMANTS AGREED TO AN AMICABLE SETTLEMENT IN THE AMOUNT OF \$31,000.00 SOLELY FOR BUSINESS CONSIDERATION. MR GORDON HAS AGREED TO CONTRIBUTE \$10,000.00 TOWARD THE SETTLEMENT.  
Not Provided



## End of Report

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