



## IAPD Report

# BRYAN ALEXANDER PERRY

CRD# 1232078

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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

### BRYAN ALEXANDER PERRY (CRD# 1232078)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/24/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MINT ASSET MANAGEMENT LLC	CRD# 315568	02/21/2023

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	NAVELLIER & ASSOCIATES INC	107568	New York, NY	02/03/2016 - 02/17/2023
IA	ALEXANDER PERRY CORPORATION	117341	MONTROSS, VA	12/20/2000 - 02/22/2016
IA	ALEXANDER PERRY CORPORATION	117341	FAIRFAX, VA	12/20/2000 - 12/31/2004

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
Civil Event	1
Customer Dispute	5
Termination	1





## 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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **MINT ASSET MANAGEMENT LLC**  
Main Address: 165 BROADWAY  
23RD FLOOR  
NEW YORK, NY 10006  
Firm ID#: 315568

	Regulator	Registration	Status	Date
	Texas	Investment Adviser Representative	Restricted Approval	09/12/2024
	Virginia	Investment Adviser Representative	Approved	02/21/2023

#### Branch Office Locations

**MINT ASSET MANAGEMENT LLC**  
MCLEAN, VA



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/16/1992
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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
IA	02/03/2016 - 02/17/2023	NAVELLIER & ASSOCIATES INC	CRD# 107568	New York, NY
IA	12/20/2000 - 02/22/2016	ALEXANDER PERRY CORPORATION	CRD# 117341	MONTROSS, VA
IA	12/20/2000 - 12/31/2004	ALEXANDER PERRY CORPORATION	CRD# 117341	FAIRFAX, VA

### 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
01/2023 - Present	MINT ASSET MANAGEMENT, LLC	PORTFOLIO MANAGER	Y	NEW YORK, NY, United States
03/2015 - Present	EAGLE FINANCIAL PUBLICATIONS	SENIOR EDITOR, INDEPENDENT CONTRACTOR	Y	WASHINGTON, DC, United States
09/2007 - Present	KONA BODY CARE	MANAGING MEMBER	N	Reston, VA, United States
07/1999 - Present	ALEXANDER PERRY CORPORATION	PRESIDENT	N	McLean, VA, United States
01/2016 - 02/2023	Navellier & Associates, Inc.	Sr. Director Private Client Svcs	Y	Reno, NV, 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.

(1) EAGLE FINANCIAL PUBLICATIONS/INVESTMENT RELATED/122 C STREET NW, SUITE 515, WASHINGTON, DC 20001/SUBSCRIPTION-BASED INVESTMENT NEWSLETTER PUBLISHER/SENIOR EDITOR, INDEPENDENT CONTRACTOR/MAR 2015/100 HRS PER MONTH/2 HRS DURING TRADING HOURS/SUBMIT INVESTMENT RELATED CONTENT FOR WEEKLY PUBLICATIONS (2) KONA BODY CARE, LLC/NON-INVESTMENT RELATED/11921 FREEDOM DR., STE. 550, RESTON, VA 20190/PERSONAL CARE PRODUCTS MANUFACTURER/MANAGING MEMBER/SEP 2007/5 HRS PER MONTH/0 HRS DURING TRADING HOURS/MANAGE FILINGS, PAY VENDOR & CONTRACTOR INVOICES (3) ALEXANDER PERRY CORPORATION/NON-INVESTMENT RELATED/1705 STRINE DR, MCLEAN, VA 22101/FREELANCE EDITORIAL WORK/PRESIDNET/JULY 1999/3 HRS PER MONTH/0 HRS DURING TRADING HOURS/PRODUCE ARTICLES FOR VARIOUS MEDIA OUTLETS



## 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
Civil Event	1
Customer Dispute	5
Termination	1

### Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Initiated By:</b>	VIRGINIA STATE CORPORATION COMMISSION DIVISION OF SECURITIES
<b>Relief Sought:</b>	Restitution
<b>Date Court Action Filed:</b>	09/13/2013
<b>Date Notice/Process Served:</b>	09/13/2013
<b>Product Type:</b>	Equity-OTC Equity Listed (Common & Preferred Stock) Other: EXCHANGE TRADED FUNDS AND REVERSE EXCHANGE NOTE.
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	VIRGINIA STATE CORPORATION COMMISSION
<b>Location of Court:</b>	RICHMOND, VIRGINIA
<b>Docket/Case #:</b>	SEC-2013-00027
<b>Employing firm when activity occurred which led to the action:</b>	ALEXANDER PERRY CORPORATION
<b>Allegations:</b>	AS A RESULT OF THE INVESTIGATION, THE DIVISION ALLEGED THAT DEFENDANTS ALEXANDER PERRY CORP AND BRYAN PERRY OFFERED UNSUITABLE ADVICE AND FACILITATED AN EXCESSIVE AMOUNT OF SECURITIES TRANSACTIONS THAT WERE NOT SUITABLE IN LIGHT OF THE INVESTOR'S OBJECTIVE AND DESIRE FOR INCOME IN ADDITION TO HER FINANCIAL CIRCUMSTANCES AND LACK OF INVESTMENT SOPHISTICATION. THE INVESTOR WANTED INCOME WITH LOW RISK. THE DEFENDANTS EMPLOYED A STRATEGY SEEKING CAPITAL GAINS TO SUBSIDIZE THE INVESTOR'S ANNUAL INCOME. THE STRATEGY RESULTED IN LARGE ASSET



TURNOVERS FROM 2009-2011, AT TIMES EXCEEDING 31 TIMES, AND CONCENTRATED HEAVILY IN EQUITY BASED AND ETF SECURITIES. FROM 2009-2011, 90% OR MORE OF THE ASSETS IN THE ACCOUNTS WERE ALLOCATED IN THESE INVESTMENTS. THROUGHOUT THE DURATION, THE INVESTOR PAID BROKERAGE COMMISSIONS THAT EXCEEDED THE ASSET MANAGEMENT FEES SHE PAID TO THE DEFENDANTS. THE INVESTOR ALSO INCURRED INTEREST EXPENSES FROM THE USE OF MARGIN AS WELL. RULES 21 VAC 5-80-200 A (1) & (5). THE DEFENDANTS ARE ALSO ALLEGED TO HAVE VIOLATED RULE 21 VAC 5-80-200 A 16 FOR FAILING TO SECURE A NEW ADVISORY AGREEMENT FROM THE INVESTOR AFTER THE DEATH OF HER HUSBAND AND SUBSEQUENT ACCOUNT AND LIFESTYLE RESTRUCTURING. IN ADDITION TO THESE ADVISORY ACTIVITIES, DEFENDANT PERRY ALSO WROTE AND EDITED ARTICLES FOR PUBLICATION IN A THIRD PARTY NEWSLETTER. THIS IS AN OUTSIDE ACTIVITY FROM THE IA, BUT ADVISORY CLIENTS RECEIVE THE PUBLICATIONS FREE. THE PUBLIC PAYS A FEE TO ACCESS THIS CONTENT. BASED ON THE DIVISION'S INVESTIGATION, IT IS ALLEGED THAT DEFENDANT PERRY VIOLATED RULE 21 VAC 5-80-200 B (12) BY WRITING AND EDITING CONTENT THAT INCLUDED GUARANTEES OF HIS MANAGEMENT STRATEGY TO SUBSCRIBERS, VIA ELECTRONIC MEDIA, THAT WERE MISLEADING.

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 09/13/2013

**Sanctions Ordered or Relief Granted:** Monetary Penalty other than Fines  
Restitution  
Other: SEE ITEM 13.

**Monetary Sanction 1 of 2**

**Monetary Sanction:** COST OF INVESTIGATION

**Total Amount:** \$5,000.00

**Portion against individual:** 5000

**Date Paid:** 09/13/2013

**Portion Waived:** No

**Amount Waived:**

**Monetary Sanction 2 of 2**

**Monetary Sanction:** Restitution

**Total Amount:** \$57,000.00

**Portion against individual:** 57000

**Date Paid:** 09/13/2013

**Portion Waived:** No

**Amount Waived:**

**Regulator Statement**

AS A RESULT OF THIS INVESTIGATION, THE DEFENDANTS NEITHER ADMITTED NOR DENIED THE ALLEGED VIOLATIONS BUT AGREED TO BE BOUND BY THE TERMS SO ORDERED IN THE SETTLEMENT ORDER. DEFENDANT PERRY AGREED TO REFRAIN FROM GUARANTEEING ANY RESULTS IN THIS FORUM, OR ANY OTHER ADVERTISEMENT OR COMMUNICATION. ADDITIONALLY, DEFENDANT PERRY, ON BEHALF OF THE



DEFENDANTS, AGREED TO PAY RESTITUTION TO THE HARMED INVESTOR IN THE AMOUNT OF \$57,000. THE PAYMENTS SHALL BE IN EQUAL INSTALLMENTS OF \$14,250, AND SHALL BE MADE QUARTERLY ON THE FOLLOWING DATES: 10/30/13, 1/30/14, 4/30/14, AND 7/30/14. DEFENDANT ALSO AGREED TO NOT VIOLATE THE ACT IN THE FUTURE AND PAY \$5,000 TO DEFRAY THE COST OF INVESTIGATION. FURTHERMORE, THE DEFENDANTS RETAINED A THIRD PARTY CONSULTING COMPANY TO ASSIST IN CREATING A PROGRAM TO ACHIEVE COMPLIANCE WITH THE ACT AND THE RULES. COMPLIANCE REVIEWS AND TESTING OF BUSINESS PRACTICES WILL BE PERFORMED, WITH FULL TRANSPARENCY OF THIS INFORMATION TO THE DIVISION UPON REQUEST. THE DEFENDANTS ALSO WILL UPDATE THE FORM ADV, ADVISORY AGREEMENT, AND PRIVACY POLICY, ACCORDINGLY, AND SECURE NEW ADVISORY AGREEMENTS BY 12/2/13. FOR INFORMATION CONTACT HAZEL STEWART OR KEVIN FURR AT 804-371-9051.

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**Reporting Source:** Individual

**Initiated By:** VIRGINIA STATE CORPORATION COMMISSION DIVISION OF SECURITIES

**Relief Sought:** Restitution  
Other: UNDERTAKING

**Date Court Action Filed:** 09/13/2013

**Date Notice/Process Served:** 09/13/2013

**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)  
Other: EXCHANGE-TRADED FUNDS AND REVERSE EXCHANGE NOTE

**Type of Court:** State Court

**Name of Court:** VIRGINIA STATE CORPORATE COMMISSION

**Location of Court:** RICHMOND, VIRGINIA

**Docket/Case #:** SEC-2013-00027

**Employing firm when activity occurred which led to the action:** ALEXANDER PERRY CORPORATION

**Allegations:** RECOMMENDATION OF UNSUITABLE SECURITIES; EXCESSIVE TRADING; FAILURE TO SECURE A NEW ADVISORY AGREEMENT FROM THE INVESTOR; AND MISREPRESENTATION.

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 09/13/2013

**Sanctions Ordered or Relief Granted:** Restitution  
Other: MR. PERRY AGREED TO NOT VIOLATE THE ACT IN THE FUTURE AND PAY \$5,000 TO DEFRAY THE COST OF INVESTIGATION. IN ADDITION, MR. PERRY, ON BEHALF OF ALEXANDER PERRY CORPORATION, ENGAGED A THIRD PARTY CONSULTANT TO DESIGN A COMPLIANCE PROGRAM IN AN ATTEMPT TO COMPLY IN THE FUTURE WITH THE VIRGINIA SECURITIES ACT AND THE COMMISSION'S RULES.

**Monetary Sanction 1 of 1**



**Monetary Sanction:** Restitution

**Total Amount:** \$57,000.00

**Portion against individual:** 57000

**Date Paid:**

**Portion Waived:**

**Amount Waived:**

**Broker Statement**

CLIENT WAS AWARE OF LEVEL OF RISK AND ACTIVITY REGARDING ANNUAL PORTFOLIO TURNOVER AS PER AGREEMENT TO MEET STATED MONTHLY INCOME GOAL. S&P 500 DECLINE OF 60% IN VALUE DURING THE COURSE OF CLIENT/BROKER RELATIONSHIP ADVERSELY IMPACTED PORTFOLIO VALUE WITH CLIENT TRANSFERRING ASSETS TWO YEARS PRIOR TO FULL MARKET RECOVERY.



## 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:** WASHINGTON INVESTMENT CORPORATION

**Allegations:** FORGERGY, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION - CUSTOMER ALLEGES ACTUAL LOSSES IN THE AMOUNT OF \$13,839.07. [CUSTOMER] IS REQUESTING \$10,000.00 UNDER SMALL CLAIMS PROCEDURE (NASD).

**Product Type:** Options

**Alleged Damages:** \$13,839.07

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

**Status Date:** 10/04/1999

**Settlement Amount:** \$1,456.09

**Individual Contribution Amount:** \$0.00

## Arbitration Information

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

**Docket/Case #:** 98-03300

**Date Notice/Process Served:** 10/12/1998

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 10/04/1999

**Monetary Compensation Amount:** \$1,456.09

**Individual Contribution Amount:** \$0.00

**Broker Statement** NOT PROVIDED  
[CUSTOMER'S] CLAIMS OF LOSS ARE WITHOUT MERIT. THE ACCOUNT WAS PROFITABLE WHILE HERE AT WASHINGTON INVESTMENT CORP. AND WOULD HAVE BEEN EVEN MORE PROFITABLE HAD HE NOT PLACED THE ACCOUNT IN TRANSFER STATUS SO CLOSE TO EXPIRATION



OF HIS OPTION POSITIONS. I FEEL THE BROKER AT PAINWEBBER SHOULD HAVE ADVISED HIM OF THE RISKS OF TRANSFERRING OPTION POSITIONS SO CLOSE TO EXPIRATION. I BELEIVE ANY LOSSES INCURRED BY [CUSTOMER] ARE HYPOTHETICAL AND CAUSED BY HIS HISTORY OF FREQUENT TRANSFERRRING OF ACCOUNTS FROM FIRM TO FIRM. THE CLAIM OF FORGERY IS FALSE AND ALL THIS INFORMATION CAN BE VERIFIED BY DOCUMENTATION HELD WASHINGTON INVESTMENT CORP. AND WITH OUR CLEARING FIRM, RPR CORRESPONDENT CLEARING CORPORATION.  
 \*\*\*\*\*  
 12/29/98JAS REQUESTED AMENDED PAGE 3 RECEIVED FROM BD# 25727 WITH QUESTION 22H2 NOW "YES".

**Disclosure 2 of 5**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** WASHINGTON INVESTMENT CORPORATION  
**Allegations:** UNSUITABLE SMALL CAPITAL STOCK HOLDINGS  
**Product Type:**  
**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 04/28/1998  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:**  
**Settlement Amount:** \$13,000.00  
**Individual Contribution Amount:**

**Broker Statement** WASHINGTON INVESTMENT CORPORATION MADE A SETTLEMENT PAYMENT TO [CUSTOMER] IN THE AMOUNT OF \$13,000.00  
 CLIENT ALLEGED UNSUITABILITY OF STOCK HOLDINGS. UPON REVIEW OF POTENTIAL COSTS TO DEFEND ON A LEGAL BASIS, DECISION TO SETTLE WITHOUT ADMISSION OF RIGHT OR WRONG WAS DEEMED THE MOST APPROPRIATE MEASURE.

**Disclosure 3 of 5**

**Reporting Source:** Regulator  
**Employing firm when activities occurred which led to the complaint:**  
**Allegations:** BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-BREACH OF CONTRACT; MISREPRESENTATION  
**Product Type:**



**Alleged Damages:** \$764,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #96-03576

**Date Notice/Process Served:** 09/24/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/23/1997

**Disposition Detail:** PENDING  
Not Provided

.....  
**Reporting Source:** Firm

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

**Allegations:** [CUSTOMER] COMPLAINS ABOUT THE IMPROPERT USE OF DISCRETION AND THE OVER AGGRESSIVE NATURE OF TRADING WHICH OCCURED IN HIS ACCOUNT. ALLEGED DAMAGES ARE OVER \$100,000.00.

**Product Type:**

**Alleged Damages:** \$764,000.00

**Customer Complaint Information**

**Date Complaint Received:** 08/15/1995

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 96-03576

**Date Notice/Process Served:** 09/24/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/23/1997

**Monetary Compensation Amount:** \$190,000.00

**Individual Contribution Amount:**



**Firm Statement** THE MATTER WAS SETTLED FOR \$190,000.00.  
Not Provided

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**Reporting Source:** Individual

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

**Allegations:** ALLEGED/COMPENSATORY DAMAGES: \$764,000.00  
ALLEGATIONS: BREACH OF FIDUCIARY DUTY; MISREPRESENTATION;  
OTHER-ACCOUNT RELATED-BREACH OF CONTRACT;ACCOUNT  
RELATED-NEGLIGENCE.

**Product Type:**

**Alleged Damages:** \$764,000.00

### Customer Complaint Information

**Date Complaint Received:** 08/15/1995

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 96-03576

**Date Notice/Process Served:** 09/24/1996

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/23/1997

**Monetary Compensation Amount:** \$190,000.00

**Individual Contribution Amount:**

**Broker Statement**

SETTLEMENT FOR [CUSTOMER] IN THE AMOUNT OF \$190,000.00 [CUSTOMER] RECEIVED ALL CORRESPONDENCE RELATING TO ALL TRANSACTIONS. HIS CLAIMS ARE OVER A YEAR OLD. PRUDENTIAL MANAGEMENT SPOKE WITH [CUSTOMER] ON THREE SEPARATE OCCASIONS TO VERIFY HIS SATISFACTION WITH MY PERFORMANCE. [CUSTOMER] IS A SPECULATIVE, SOPHISTICATED INVESTOR EVIDENCED BY A 100,000 SHARE PURCHASE OF ARARI AT 1 1/4 SH PROFIT \$300,000 + ALSO, THIS SETTLEMENT WAS MADE BY PRUDENTIAL WITHOUT BRYAN PERRY'S PARTICIPATION OR CONSENT. THIS  
DRP AMENDMENT COMBINES OCCURENCES #7 & #9 FROM MR. PERRY'S REPORT. BOTH OCCURENCES PERTAIN TO THE SAME CASE MATTER.



THEREFORE, THEY SHOULD BE COMBINED INTO ONE DRP. THIS WAS JUST ONE ISSUE.

**Disclosure 4 of 5**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** BEAR STEARNS & CO., INC.

**Allegations:** MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; SUITABILITY

**Product Type:**

**Alleged Damages:** \$24,783.25

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #92-00051

**Date Notice/Process Served:** 01/17/1992

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 12/17/1992

**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$14,754.83 JOINTLY AND SEVERALL

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** BEAR STEARNS & CO., INC.

**Allegations:** PREVIOUSLY REPORTED ON U-5

**Product Type:**

**Alleged Damages:** \$24,783.25

**Customer Complaint Information**

**Date Complaint Received:** 07/02/1991

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**



**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 92-00051

**Date Notice/Process Served:** 01/17/1992

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 12/17/1992

**Monetary Compensation Amount:** \$14,754.83

**Individual Contribution Amount:**

**Firm Statement** AN NASD ARBITRATION PANEL HAS AWARDED THIS CUSTOMER \$14,754.83 PLUS 8% SIMPLE INTEREST FROM THE DATE OF FILING OF THE CLAIM.  
Not Provided

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** BEAR STEARNS & CO., INC.

**Allegations:** CLIENT ALLEGES MISREPRESENTATION; ACCOUNT RELATED-FAILURE TO SUPERVISE AND SUITABILITY REGARDING HIS OPTION ACCOUNTS, WITH ALLEGED DAMAGES OF \$24,783.00.

**Product Type:**

**Alleged Damages:** \$24,783.25

### Customer Complaint Information

**Date Complaint Received:** 07/02/1991

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 92-00051

**Date Notice/Process Served:** 01/17/1992

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 12/17/1992

**Monetary Compensation Amount:** \$14,754.83

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

ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$14,754.83 JOINTLY AND SEVERALLY.  
Not Provided

**Disclosure 5 of 5****Reporting Source:**

Individual

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

PAINWEBBER INCORPORATED

**Allegations:**

XMI OPTIONS TRADER DID NOT ENGAGE IN A FAIR AND ORDERLY MARKET ON 10/19/87. CLIENT SUED PAINE WEBBER NOT ME, ALTHOUGH I WAS THE BROKER OF RECORD. SETTLEMENT WAS \$30,000, CLIENT SUED FOR \$40,000.00

**Product Type:****Alleged Damages:**

\$40,000.00

**Customer Complaint Information****Date Complaint Received:****Complaint Pending?**

No

**Status:**

Arbitration/Reparation

**Status Date:****Settlement Amount:****Individual Contribution  
Amount:****Arbitration Information****Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:**

National Association of Securities Dealers, Inc.

**Date Notice/Process Served:**

11/01/1987

**Arbitration Pending?**

No

**Disposition:**

Award to Customer

**Disposition Date:**

06/01/1988

**Monetary Compensation  
Amount:**

\$30,000.00

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

NO PENALTIES TO ME. CLIENT WAS AWARDED \$30,000.00 AND TRANSFERRED THE ACCOUNT OUT. WROTE XMI CALLS ON MARKET THE DAY OF 10/19/87. CLIENT COULD NOT GET OUT DUE TO ILLIQUIDITY. PAINE WEBBER WAS AT FAULT AS THE DECISION STATES FOR "MISHANDLING THE TRADE."



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	PRUDENTIAL SECURITIES, INC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	09/11/1995
<b>Allegations:</b>	N/A EXERCISED DISCRETION WITHOUT WRITTEN AUTHORIZATION
<b>Product Type:</b>	
<b>Other Product Types:</b>	
<b>Broker Statement</b>	DISCHARGED N/A



## End of Report

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