



IAPD Report

GREGORY STEPHEN PAWLAK

CRD# 1245568

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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

GREGORY STEPHEN PAWLAK (CRD# 1245568)

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 **11/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	03/02/1998
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	04/15/1998

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **49** 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	DAIN RAUSCHER INCORPORATED	7600	LOCATION	06/16/1994 - 03/02/1998
B	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO	09/04/1990 - 06/14/1994
B	BLUNT ELLIS & LOEWI INCORPORATED	7580	ST. LOUIS, MO	03/22/1984 - 09/04/1990

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
Regulatory Event	2
Customer Dispute	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 **49** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/02/1998
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/02/1998
B FINRA	General Securities Representative	Approved	03/02/1998



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	03/02/1998
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/02/2020
B NYSE American LLC	General Securities Representative	Approved	02/23/2000
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	02/23/2000
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	02/23/2000
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/01/2008
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B Nasdaq Texas, LLC	General Securities Representative	Approved	01/13/2009
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	01/13/2009
B New York Stock Exchange	General Securities Representative	Approved	03/02/1998
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	02/04/2022
B Alaska	Agent	Approved	02/08/2022
B Arizona	Agent	Approved	03/02/1998
B Arkansas	Agent	Approved	01/30/2018
B California	Agent	Approved	03/02/1998
B Colorado	Agent	Approved	07/09/2012
B Connecticut	Agent	Approved	02/07/2022
B Delaware	Agent	Approved	12/12/2017
B District of Columbia	Agent	Approved	02/11/2022
B Florida	Agent	Approved	03/02/1998



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/11/2024
B Georgia	Agent	Approved	03/02/1998
B Hawaii	Agent	Approved	03/19/2008
B Idaho	Agent	Approved	02/04/2022
B Illinois	Agent	Approved	03/02/1998
B Indiana	Agent	Approved	03/02/1998
B Iowa	Agent	Approved	01/14/1999
B Kansas	Agent	Approved	03/08/2004
B Kentucky	Agent	Approved	04/15/2010
B Louisiana	Agent	Approved	02/07/2022
B Maine	Agent	Approved	02/08/2022
B Maryland	Agent	Approved	02/08/2022
B Massachusetts	Agent	Approved	03/02/1998
B Michigan	Agent	Approved	03/02/1998
B Minnesota	Agent	Approved	03/02/1998
B Mississippi	Agent	Approved	02/04/2022
B Missouri	Agent	Approved	03/02/1998
B Montana	Agent	Approved	02/08/2022
B Nebraska	Agent	Approved	07/29/2013



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	03/03/2010
B New Hampshire	Agent	Approved	01/13/2025
B New Jersey	Agent	Approved	11/13/2019
B New Mexico	Agent	Approved	11/12/2019
B New York	Agent	Approved	03/02/1998
B North Carolina	Agent	Approved	03/02/1998
B North Dakota	Agent	Approved	09/16/2019
B Ohio	Agent	Approved	03/02/1998
B Oklahoma	Agent	Approved	02/07/2022
B Oregon	Agent	Approved	09/29/2008
B Pennsylvania	Agent	Approved	03/02/1998
B South Carolina	Agent	Approved	03/02/1998
B Tennessee	Agent	Approved	02/07/2022
B Texas	Agent	Approved	03/02/1998
IA Texas	Investment Adviser Representative	Restricted Approval	03/30/2017
B Utah	Agent	Approved	09/28/2017
B Vermont	Agent	Approved	01/08/2025
B Virginia	Agent	Approved	02/07/2022



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	03/26/2004
B West Virginia	Agent	Approved	06/08/2021
B Wisconsin	Agent	Approved	03/02/1998
IA Wisconsin	Investment Adviser Representative	Approved	04/15/1998
B Wyoming	Agent	Approved	08/28/2013

Branch Office Locations

RBC CAPITAL MARKETS, LLC
717 NORTH MCCARTHY ROAD
APPLETON, WI 54913

RBC CAPITAL MARKETS, LLC
Naples, FL

RBC CAPITAL MARKETS, LLC
Appleton, WI



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/19/1988

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	04/17/1984
General Securities Representative Examination (S7)	Series 7	03/17/1984

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/20/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	04/10/1984

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	06/16/1994 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	09/04/1990 - 06/14/1994	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	03/22/1984 - 09/04/1990	BLUNT ELLIS & LOEWI INCORPORATED	CRD# 7580	

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
03/2008 - Present	RBC CAPITAL MARKETS CORPORATION	FINANCIAL CONSULTANT	Y	APPLETON, WI, 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) COMMUNITY FOUNDATION OF THE FOX CITIES; ADDRESS: 4455 W LAWRENCE ST APPLETON, WI 54912; BUSINESS DESCRIPTION: PRIVATE FOUNDATION; NOT INVESTMENT RELATED; START DATE: 12/29/2014; CAPACITY: COMMITTEE/COUNCIL MEMBER-FINANCIAL; DUTIES: REVIEWING THE PERFORMANCE OF THE INVESTMENT MANAGERS; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0



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
Regulatory Event	2
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE
Sanction(s) Sought:	Denial
Date Initiated:	04/12/2010
Docket/Case Number:	10-C32891
Employing firm when activity occurred which led to the regulatory action:	RBC CAPITAL MARKETS CORP.
Product Type:	No Product
Allegations:	FAILURE TO DISCLOSE IN AN INSURANCE LICENSE APPLICATION AN ADMINISTRATIVE ACTION FROM 1989, AND INADEQUATE DISCLOSE OF THE SAME ACTION TO THE STATE, IN THAT WHILE IT WAS TIMELY DISCLOSED ON FORM U-4, A SEPARATE NOTIFICATION WAS NOT TIMELY SENT TO THE STATE OF WISCONSIN.
Current Status:	Final
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 04/12/2010

Sanctions Ordered: Denial

Broker Statement MY APPLICATION TO ADD TO MY LICENSE THE ABILITY TO PROVIDE VARIABLE PRODUCTS TO MY CLIENTS WAS SUBMITTED THROUGH SIRCON, VIA THE LICENSING AND REGISTRATION DEPARTMENT OF MY FIRM, RBC WEALTH MANAGEMENT. WHEN I COMPLETED THE APPLICATION, I CORRECTLY ANSWERED "YES" TO QUESTION #2 (INVOLVED IN ADMINISTRATIVE PROCEEDING). IN THE PROCESS OF COMPLETING THE APPLICATION ON SIRCON, QUESTION #2 WAS INCORRECTLY CHANGED TO "NO" DUE TO HUMAN ERROR BY THE LICENSING AND REGISTRATION DEPARTMENT. BOTH OF THE MATTERS CITED FOR DENYING THE APPLICATION WERE DUE TO ERRORS BY OTHERS WHOSE EXPERTISE I RELIED ON CONCERNING THE FILINGS. THE CIRCUMSTANCES REGARDING THE ERROR ON THE INSURANCE APPLICATION ARE DESCRIBED ABOVE. AS TO NOTIFYING THE STATE REGARDING THE ADMINISTRATIVE ACTION FROM 1989, I DID TIMELY DISCLOSE THE MATTER ON MY FORM U-4, AND HAVE ALWAYS PROPERLY DISCLOSED IT ON NASD/FINRA FORMS FOR OVER 2 DECADES. I RELIED ON THE COMPLIANCE AND LEGAL DEPARTMENTS OF MY THEN-FIRM TO MAKE THE PROPER NOTIFICATIONS AND WAS PERSONALLY UNAWARE THAT THE STATE OF WISCONSIN HAD NOT BEEN NOTIFIED. THE DIRECTOR OF COMPLIANCE FOR MY FIRM CONTACTED THE STATE AND POINTED OUT THESE CIRCUMSTANCES, BUT THE STATE WAS NOT PERSUADED TO REVERSE ITS TEMPORARY DENIAL OF MY APPLICATION.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/11/1989

Docket/Case Number: CHI-1108-AWC

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 04/11/1989

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:



Regulator Statement

ON APRIL 11, 1989, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. CHI-1108-AWC (DISTRICT NO. 8) SUBMITTED BY RESPONDENT GREGORY S. PAWLAK WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$2,500.00 (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT PAWLAK REPRESENTED TO A PUBLIC CUSTOMER THAT STOCK OWNED BY SAID CUSTOMER HAD SPLIT WHEN, IN FACT, THE STOCK DID NOT SPLIT, BUT ONLY DECLINED IN PRICE; REPRESENTED TO THIS CUSTOMER THAT OTHER STOCK OWNED BY HIM HAD INCREASED IN VALUE BY \$16,000.00 WHEN, IN FACT, THAT STOCK HAD DECREASED IN VALUE BY \$5,000.00; AND, REPRESENTED TO THIS CUSTOMER THAT AN OPTION OWNED BY HIM WAS TO EXPIRE WHEN, IN FACT, THAT OPTION HAD ALREADY EXPIRED).
 \$2,500 PAID 6/27/89

Reporting Source: Firm

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/11/1989

Docket/Case Number: CHI-1108-AWC

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 04/11/1989

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:

Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT NO. 8

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/11/1989



Docket/Case Number: CHI-1108-AWC

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: A CUSTOMER, DONALD E. DREWS, CLAIMED THAT I MISREPRESENTED THE VALUE OF A STOCK POSITION HELD BY THE CUSTOMER AND ALSO REPRESENTED TO THE SAME CUSTOMER THAT AN OPTION HE OWNED WOULD EXPIRE IN DECEMBER OF 1986, WHEN IN ACTUALITY THE OPTION HAD EXPIRED IN OCTOBER OF 1986.

Current Status: Final

Resolution: Consent

Resolution Date: 04/11/1989

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: MR. PAWLAK SIGNED A LETTER OF ACCEPTANCE, WAIVER, AND CONSENT ON NOVEMBER 22, 1988 AND WAS SUBSEQUENTLY CENSURED AND FINED BY THE NASD IN THE AMOUNT OF \$2,500.00 ON APRIL 11, 1989.

Broker Statement < NOT PROVIDED >



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BLUNT ELLIS & LOEWI

Allegations:

Product Type:

Alleged Damages: \$127,453.73

Customer Complaint Information

Date Complaint Received: 12/18/1986

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$30,000.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BLUNT ELLIS & LOEWI

Allegations: [CUSTOMER'S] ATTORNEY ALLEGED BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND/OR INTENTIONAL MISREPRESENTATION, AND CHURNING, RESULTING IN DAMAGES OF \$127,453.73.

Product Type:

Alleged Damages: \$127,453.73

Customer Complaint Information

Date Complaint Received: 12/18/1986

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$30,000.00



Broker Statement

BLUNT ELLIS & LOEWI SETTLED THE MATTER FOR \$30,000. THE FULL AMOUNT OF THE SETTLEMENT WAS PAID BY MR. PAWLAK. (SEE ALSO SEPARATE DRP REGARDING AN [REGULATOR] DISCIPLINARY ACTION RESULTING FROM THIS INCIDENT). NOT PROVIDED



End of Report

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