# IAPD Report

## BARBARA GAIL MEYERS

CRD# 1261182

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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

## BARBARA GAIL MEYERS (CRD# 1261182)

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 **12/22/2025**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| IA | WESTPARK CAPITAL, INC. | CRD# 39914 | 05/10/2022 |
| B | WESTPARK CAPITAL, INC. | CRD# 39914 | 05/11/2022 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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 | WOODBURY FINANCIAL SERVICES, INC. | 421 | IRVINE, CA | 01/12/2021 - 05/12/2022 |
| IA | WOODBURY FINANCIAL SERVICES, INC. | 421 | IRVINE, CA | 01/12/2021 - 05/12/2022 |
| IA | CROWN CAPITAL SECURITIES, L.P. | 6312 | Irvine, CA | 02/18/2009 - 12/31/2020 |

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 | 1 |
| Customer Dispute | 3 |

# 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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **WESTPARK CAPITAL, INC.**

Main Address: 535 5TH AVE
22ND FLOOR
NEW YORK, NY 10017

Firm ID#: 39914

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 05/11/2022 |
| B | Arizona | Agent | Approved | 05/11/2022 |
| IA | Arizona | Investment Adviser Representative | Approved | 06/23/2022 |
| IA | California | Investment Adviser Representative | Approved | 05/10/2022 |
| B | California | Agent | Approved | 05/11/2022 |
| B | Florida | Agent | Approved | 05/29/2025 |
| B | Hawaii | Agent | Approved | 01/18/2023 |
| B | New Jersey | Agent | Approved | 05/11/2022 |
| B | New York | Agent | Approved | 05/11/2022 |
| B | North Carolina | Agent | Approved | 05/11/2022 |
| B | Oklahoma | Agent | Approved | 05/11/2022 |
| B | Oregon | Agent | Approved | 05/11/2022 |
| B | Texas | Agent | Approved | 05/11/2022 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Washington | Agent | Approved | 05/11/2022 |
| B | Wisconsin | Agent | Approved | 10/16/2023 |

### Branch Office Locations

**WESTPARK CAPITAL, INC.**
Irvine, CA

 

# 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 |
|---|---|---|---|
| | No information reported. | | |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 05/19/1984 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 11/09/1999 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 02/03/1989 |

## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

# 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 | 01/12/2021 - 05/12/2022 | WOODBURY FINANCIAL SERVICES, INC. | CRD# 421 | IRVINE, CA |
| IA | 01/12/2021 - 05/12/2022 | WOODBURY FINANCIAL SERVICES, INC. | CRD# 421 | IRVINE, CA |
| IA | 02/18/2009 - 12/31/2020 | CROWN CAPITAL SECURITIES, L.P. | CRD# 6312 | Irvine, CA |
| B | 08/31/1999 - 12/31/2020 | CROWN CAPITAL SECURITIES, L.P. | CRD# 6312 | Irvine, CA |
| B | 03/31/1999 - 07/22/1999 | MUTUAL SERVICE CORPORATION | CRD# 4806 | BOSTON, MA |
| B | 05/24/1984 - 03/31/1999 | TITAN/VALUE EQUITIES GROUP, INC. | CRD# 6359 | IRVINE, CA |

## 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 |
|---|---|---|---|---|
| 05/2022 - Present | WestPark Capital, Inc. | Registered Representative | Y | Irvine, CA, United States |
| 06/1981 - Present | Meyers Financial Group | SELF-EMPLOYED | N | ORANGE, CA, United States |
| 01/2021 - 05/2022 | WOODBURY FINANCIAL SERVICES INC | REGISTERED REPRESENTATIVE | Y | IRVINE, CA, United States |
| 07/1999 - 01/2021 | CROWN CAPITAL SECURITIES, L.P. | REPRESENTATIVE | Y | LAKE FOREST, CA, 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. MEYERS FINANCIAL GROUP- FIXED  ANNUITIES
POSITION: independent contractor NATURE: independent contract offering clients fixed annuities and fixed life insurance
INVESTMENT RELATED: Yes NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 09/04/1977
ADDRESS:  Irvine CA 92614, United States
DESCRIPTION: offer/provide client with fixed annuities and insurance products as it suits their needs

2. WOMEN OF TEMPLE BAT YAHM
POSITION: Board of Director - general member NATURE: non profit INVESTMENT RELATED: No NUMBER OF HOURS: 2

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

SECURITIES TRADING HOURS: 0 START DATE: 04/15/1990
ADDRESS: 1011 Camelback St, Newport Beach CA 92660, United States
DESCRIPTION: sit in on board meeting and contribute as pertinent.(ideas and suggestions on what is being discussed)

MEYERS FINANCIAL GROUP
POSITION: Independent contractor NATURE: independent contractor offering clients fixed annuities and fixed life insurance
INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 09/04/1977
ADDRESS:  Irvine CA 92614, United States
DESCRIPTION: offer/provide client with fixed annuities and isnurance products as it suits their needs

 

# 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 | 1 |
| Customer Dispute | 3 |

### 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 1

| | |
|---|---|
| **Reporting Source:** | Regulator |
| **Regulatory Action Initiated By:** | COMMODITY FUTURES TRADE COMMISSION |
| **Sanction(s) Sought:** | |
| **Other Sanction(s) Sought:** | |
| **Date Initiated:** | 01/09/1984 |
| **Docket/Case Number:** | 80-27 |
| **Employing firm when activity occurred which led to the regulatory action:** | |
| **Product Type:** | |
| **Other Product Type(s):** | |
| **Allegations:** | |
| **Current Status:** | Final |
| **Resolution:** | Order |
| **Resolution Date:** | 01/09/1984 |
| **Sanctions Ordered:** | Cease and Desist/Injunction<br>Suspension |
| **Other Sanctions Ordered:** | |
| **Sanction Details:** | |

 

| | |
|---|---|
| **Regulator Statement** | =5/25/90= CFTC PROCEEDINGS BULLETIN DATED JANUARY 31, 1987, PAGE 116 DISCLOSES, BARBARA MEYERS VIOLATED CFTC ACTS 4b, 4h, AND 4k. MEYERS WAS ISSUED A CEASE AND DESIST ORDER. HER TRADING PRIVILEGES WERE SUSPENDED FOR 36 MONTHS. THE CFTC ALSO<br>ORDERED HER NOT TO APPLY FOR REGISTRATION FOR 3 YEARS. DOCKET/CASE NO. 80-27 DATED 1/9/84. |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | COMMODITY FUTURES TRADE COMMISSION |
| **Sanction(s) Sought:** | Cease and Desist |
| **Other Sanction(s) Sought:** | HER TRADING PRIVILEGES WERE SUSPENDED FOR 36 MONTHS. THE CFTC ALSO ORDERED HER NOT TO APPLY FOR REGISTRATION FOR 3 YEARS. |
| **Date Initiated:** | 01/09/1984 |
| **Docket/Case Number:** | 80-27 |
| **Employing firm when activity occurred which led to the regulatory action:** | TITAN VALUE EQUITIES GROUP, INC. |
| **Product Type:** | Futures - Commodity |
| **Other Product Type(s):** | |
| **Allegations:** | UNITED STATES OF AMERICA BEFORE COMMODITY FUTURES TRADING COMMISSION IN THE MATTER OF JOHN C. NAYLOR, ET AL. RESPONDENTS OFFER OF SETTLEMENT OF RESPONDENT BARBATA MEYERS. CASE NO. 80-27<br>CONSENTS, BY VIRTUE OF THIS OFFER TO: FINDING BY THE COMMISSION THAT RESPONDENT VIOLATED SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL CEASE AND DESIST FROM VIOLATING SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL BE PROHIBITED FOR A PERIOD OF THREE YEARS FROM TRADING ON OR SUBJECT TO THE RULES OFANY CONTRACT MAKET AND THAT ALL CONTRACT MARKETS BE REQUIRED TO<br>REFUSE RESPONDENT TRADING PRIVILEGE THEREON FOR A PERIOD OF THREE YEARS FROM THE DATE OF THE COMMISSION'S ACCEPTANCE OF THIS. |
| **Current Status:** | Final |
| **Resolution:** | Order |
| **Resolution Date:** | 01/09/1984 |
| **Sanctions Ordered:** | Cease and Desist/Injunction<br>Suspension |
| **Other Sanctions Ordered:** | FINDING BY THE COMMISSION<br>THAT RESPONDENT VIOLATED SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL CEASE AND DESIST FROM VIOLATING SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL BE PROHIBITED FOR A PERIOD OF THREE YEARS FROM TRADING ON OR SUBJECT TO THE RULES OFANY CONTRACT MAKET AND THAT ALL CONTRACT MARKETS BE REQUIRED TO<br>REFUSE RESPONDENT TRADING PRIVILEGE THEREON FOR A PERIOD OF |

| | |
|---|---|
| | THREE YEARS FROM THE DATE OF THE COMMISSION'S ACCEPTANCE OF THIS. |
| **Sanction Details:** | FINDING BY THE COMMISSION<br>THAT RESPONDENT VIOLATED SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL CEASE AND DESIST FROM VIOLATING SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL BE PROHIBITED FOR A PERIOD OF THREE YEARS FROM TRADING ON OR SUBJECT TO THE RULES OFANY CONTRACT MAKET AND THAT ALL CONTRACT MARKETS BE REQUIRED TO<br>REFUSE RESPONDENT TRADING PRIVILEGE THEREON FOR A PERIOD OF THREE YEARS FROM THE DATE OF THE COMMISSION'S ACCEPTANCE OF THIS. |
| **Broker Statement** | UNITED STATES OF AMERICA BEFORE COMMODITY FUTURES TRADING COMMISSION IN THE MATTER OF JOHN C. NAYLOR, ET AL. RESPONDENTS OFFER OF SETTLEMENT OF RESPONDENT BARBATA MEYERS. CASE NO. 80-27<br>CONSENTS, BY VIRTUE OF THIS OFFER TO: FINDING BY THE COMMISSION THAT RESPONDENT VIOLATED SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL CEASE AND DESIST FROM VIOLATING SECTIONS 4B, 4H, AND 4K OF THE ACT. RESPONDNET SHALL BE PROHIBITED FOR A PERIOD OF THREE YEARS FROM TRADING ON OR SUBJECT TO THE RULES OF<br>ANY CONTRACT MAKET AND THAT ALL CONTRACT MARKETS BE REQUIRED TO<br>REFUSE RESPONDENT TRADING PRIVILEGE THEREON FOR A PERIOD OF THREE YEARS FROM THE DATE OF THE COMMISSION'S ACCEPTANCE OF THIS |

 

## 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 3

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | CROWN CAPITAL SECURITIES, LP |
| **Allegations:** | The customer alleges lack of proper due diligence, lack of suitability and overconcentration in regards to an investment in an alternative product. |
| **Product Type:** | Direct Investment-DPP & LP Interests |
| **Alleged Damages:** | $50,000.00 |
| **Is this an oral complaint?** | No |
| **Is this a written complaint?** | Yes |
| **Is this an arbitration/CFTC reparation or civil litigation?** | No |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 07/21/2021 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 07/31/2021 |
| **Settlement Amount:** | $15,000.00 |
| **Individual Contribution Amount:** | $0.00 |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | CROWN CAPITAL SECURITIES, L.P. |
| **Allegations:** | According to a disclosure by Crown Capital Securities, the customer alleges lack of proper due diligence, lack of suitability and overconcentration in regards to an investment in an alternative product. |
| **Product Type:** | Direct Investment-DPP & LP Interests |
| **Alleged Damages:** | $50,000.00 |
| **Is this an oral complaint?** | No |
| **Is this a written complaint?** | Yes |
| **Is this an arbitration/CFTC reparation or civil litigation?** | No |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/16/2021 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 07/31/2021 |
| **Settlement Amount:** | $15,000.00 |
| **Individual Contribution Amount:** | $0.00 |

### Disclosure 2 of 3

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | CROWN CAPITAL SECURITIES, LP |
| **Allegations:** | CLAIMANT ALLEGES LACK OF SUITABILITY, FAILURE TO DISCLOSE MATERIAL FACTS AND RISKS, BREACH OF FIDUCIARY DUTY AND FAILURE TO SUPERVISE IN CONNECTION WITH THE SALE OF A REIT INVESTMENT. |
| **Product Type:** | Real Estate Security |
| **Alleged Damages:** | $32,589.94 |

## Arbitration Information

| | |
|---|---|
| **Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** | FINRA |
| **Docket/Case #:** | 15-00785 |
| **Date Notice/Process Served:** | 04/16/2015 |
| **Arbitration Pending?** | No |
| **Disposition:** | Settled |
| **Disposition Date:** | 06/10/2015 |
| **Monetary Compensation Amount:** | $18,000.00 |
| **Individual Contribution Amount:** | $0.00 |
| **Broker Statement** | THIS CASE WAS WITHOUT MERIT. THE INVESTMENT WAS SUITABLE BASED ON HER AGI AND TAXABLE INCOME FOUND ON THE 1040 FORM OF HER 2004 FEDERAL TAX RETURN, AND THE TOTAL VALUE OF THE SIX (6) OTHER ACCOUNTS I MANAGED FOR HER.<br>THIS CASE WAS SETTLED BY MY BROKER/DEALER TO AVOID COST OF LITIGATION. |

### Disclosure 3 of 3

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | TITAN VALUE EQUITIES GROUP, INC. |

 

| | |
|---|---|
| **Allegations:** | ALLEGED FRAUD, AIDING AND ABETTING FRAUD, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY. ALLEGED VIOLATION OF CORPORATION CODE 25400 (D), 25401, 25504, AND 25504.1. ALLEGED BREACH OF CONTRACT, UNFAIR COMPETITION, NEGLIGENT VIOLATION OF RIGHT OF PRIVACY, BREACH OF IMPLIED COVENANT OF GOOD FAITH AND FAIR DEALINGS. ALLEGED VIOLATION OF RICO SECTION 1962 (A), 1962 (B), 1962 (C), 1962 (D). CLAIM ALLEGES $3,360.586 OF DAMAGES. |
| **Product Type:** | Other |
| **Other Product Type(s):** | REAL ESTATE LIMITED PARTNERSHIP |
| **Alleged Damages:** | $3,360,586.00 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 03/05/1993 |
| **Complaint Pending?** | No |
| **Status:** | Litigation<br>Settled |
| **Status Date:** | 03/29/1996 |
| **Settlement Amount:** | $3,360,586.00 |
| **Individual Contribution Amount:** | $0.00 |

## Civil Litigation Information

| | |
|---|---|
| **Court Details:** | SUPERIOR; CA; 705129 CONSOLIDATED WITH 705176 |
| **Date Notice/Process Served:** | 03/05/1993 |
| **Litigation Pending?** | No |
| **Disposition:** | Dismissed |
| **Disposition Date:** | 03/29/1996 |
| **Monetary Compensation Amount:** | $3,360,586.00 |
| **Individual Contribution Amount:** | $0.00 |
| **Broker Statement** | MATTER WAS DISMISSED WITH PREJUDICE<br>I CONTESTED THE ALLEGATION IN THIS MATTER. AT DISMISSAL THERE WERE NO FINDINGS OF FAULT AGAINST ME AND I WAS NOT REQUIRED TO CONTRIBUTE TO THE SETTLEMENT FUND. |

 

## End of Report

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