



IAPD Report

STEPHEN FREDERICK LIM

CRD# 1295868

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

STEPHEN FREDERICK LIM (CRD# 1295868)

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 **01/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/08/2009
IA	LPL FINANCIAL LLC	CRD# 6413	09/08/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	ASSOCIATED PLANNERS INVESTMENT ADVISORY INC	104790	BOSTON, MA	01/26/2009 - 09/25/2009
B	ASSOCIATED SECURITIES CORP.	12969	WALNUT CREEK, CA	01/26/2009 - 09/08/2009
IA	ASSOCIATED SECURITIES CORP.	12969	WALNUT CREEK, CA	01/26/2009 - 09/08/2009

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	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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/08/2009
B	FINRA	General Securities Representative	Approved	09/08/2009
B	Arizona	Agent	Approved	02/12/2026
B	California	Agent	Approved	09/08/2009
IA	California	Investment Adviser Representative	Approved	09/08/2009
B	District of Columbia	Agent	Approved	04/23/2010
B	Hawaii	Agent	Approved	09/08/2009
B	Maryland	Agent	Approved	12/10/2021
B	Nevada	Agent	Approved	01/26/2026
B	New York	Agent	Approved	02/19/2010
B	Texas	Agent	Approved	07/17/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	07/17/2018
B	Virginia	Agent	Approved	09/22/2009



Qualifications

Branch Office Locations

LPL FINANCIAL LLC
CHICO, CA

LPL FINANCIAL LLC
CHICO, 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/30/1998

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/27/1998

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/05/2001
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/07/1984

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
IA	01/26/2009 - 09/25/2009	ASSOCIATED PLANNERS INVESTMENT ADVISORY INC	CRD# 104790	BOSTON, MA
B	01/26/2009 - 09/08/2009	ASSOCIATED SECURITIES CORP.	CRD# 12969	WALNUT CREEK, CA
IA	01/26/2009 - 09/08/2009	ASSOCIATED SECURITIES CORP.	CRD# 12969	WALNUT CREEK, CA
IA	02/11/2002 - 02/06/2009	FSC SECURITIES CORPORATION	CRD# 7461	WALNUT CREEK, CA
B	04/22/2001 - 02/06/2009	FSC SECURITIES CORPORATION	CRD# 7461	WALNUT CREEK, CA
B	04/25/1996 - 04/17/2001	ROUND HILL SECURITIES, INC.	CRD# 35223	ALAMO, CA
B	02/23/1988 - 04/19/1996	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	08/12/1986 - 03/09/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	04/01/1986 - 08/11/1986	BIRR, WILSON SECURITIES, INC.	CRD# 17569	
B	10/26/1984 - 04/01/1986	BIRR, WILSON & CO., INC.	CRD# 93	

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
09/2009 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	Alamo, 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) 04/08/2010 - NON-VARIABLE INSURANCE - LIFE, HEALTH, DI, LTC, FIXED ANNUITY
- 2) 02/10/2011 - NON-VARIABLE INSURANCE DBA - LIM & ASSOCIATES



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	5
Termination	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/03/1998
Docket/Case Number:	C01980003
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	02/03/1998
Sanctions Ordered:	Censure Monetary/Fine \$8,000.00 Suspension
Other Sanctions Ordered:	



Sanction Details:

Regulator Statement

ON FEBRUARY 3, 1998, DISTRICT NO. 1 NOTIFIED RESPONDENT STEPHEN FREDERICK LIM THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C01980003 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$8,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS, AND REQUIRED TO REQUALIFY BY EXAM AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 3 MONTHS OF THE FINALITY OF THIS PROCEEDING - (NASD RULES 2110 AND 2510 - RESPONDENT LIM EFFECTED TRADES IN THE ACCOUNT OF A PUBLIC CUSTOMER BASED UPON ORAL DISCRETION FROM THE CUSTOMER AND WITHOUT HAVING OBTAINED WRITTEN DISCRETION FROM THE CUSTOMER AND ACCEPTANCE OF THE ACCOUNT).

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON APRIL 20, 1998 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS MAY 1, 1998.

\$8,000.00 FULLY PAID AS OF 3/22/99 - INVOICE NO. 98-01-222

Reporting Source:

Individual

Regulatory Action Initiated By:

NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

02/03/1998

Docket/Case Number:

C01980003

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

Product Type:

Other Product Type(s):

Allegations:

EFFECTED TRADES IN A CUSTOMER ACCOUNT BASED UPON ORAL DISCRETION FROM CUSTOMER WITHOUT HAVING OBTAINED WRITTEN DISCRETION FROM CUSTOMER AND ACCEPTANCE OF THE ACCOUNT IN VIOLATION OF CONDUCT RULES 2110 AND 2510.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

02/03/1998

Sanctions Ordered:

Censure
Monetary/Fine \$8,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

SUSPENSION FROM ASSOCIATING WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR 10 BUSINESS DAYS



COMMENCING
WITH THE OPENING OF BUSINESS ON APRIL 20 AND CONCLUDING AT THE
CLOSE OF BUSINESS MAY 1, 1998. REQUALIFIED AS A GENERAL
SECURITIES REPRESENTATIVE BY TAKING THE SERIES 7 ON 4/27/98.
PAID THE AMOUNT OF \$8,000. IN FULL ON 03/19/99

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 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER'S SPOUSE ALLEGES MISREPRESENTATION OF A VARIABLE ANNUITY'S DEATH BENEFIT. ACTIVITY PERIOD: 3/9/12 TO

Product Type: Annuity-Variable

Alleged Damages: \$11,205.90

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: 06/07/2013

Complaint Pending? No

Status: Denied

Status Date: 08/23/2013

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROUND HILL SECURITIES

Allegations: CUSTOMER ALLEGES SHE DID NOT RECEIVE THE STOCK SHE WAS ENTITLED TO RECEIVE IN ANNOUNCED STOCK SPLITS BECAUSE THE REPRESENTATIVE SOLD THE STOCK PRIOR TO THE SPLIT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 03/24/2006

Complaint Pending? No



Status: Closed/No Action

Status Date: 04/12/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement REVIEW OF THE COMPLAINT INDICATED THAT THE CUSTOMER RECEIVED ALL SHARES TO WHICH SHE WAS ENTITLED, THAT THE CLAIM WAS WITHOUT MERIT AND THAT THE REPRESENTATIVE NEVER SOLD HER STOCK PRIOR RO HER RECEIPT OF ADDITIONAL SHARES.

Disclosure 3 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CUSTOMER ALLEGES THAT THIS INDIVIDUAL FAILED TO FOLLOW HIS INSTRUCTIONS TO SELL STOCK WHICH WAS MISTAKENLY PURCHASED IN HIS ACCOUNT IN 1994. COMPENSATORY DAMAGES WERE UNSPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/05/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$10,011.00

Individual Contribution Amount:

Firm Statement WITHOUT ADMITTING ANY LIABILITY WHATSOEVER, AND IN ORDER TO ACCOMODATE A VALUED CLIENT, DEAN WITTER AGREED TO SETTLE THIS CUSTOMER'S CLAIM FOR \$10,011.00. THIS INDIVIDUAL AGREED TO REIMBURSE DEAN WITTER FOR THE FULL AMOUNT OF THE SETTLEMENT.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CUSTOMER ALLEGES THAT THIS INDIVIDUAL FAILED TO FOLLOW HIS INSTRUCTIONS TO SELL STOCK WHICH WAS MISTAKENLY PURCHASED IN HIS ACCOUNT IN 1994. COMPENSATORY DAMGES WERE UNSPECIFIED

Product Type:



Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/05/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$10,011.00

Individual Contribution Amount:

Broker Statement

WITHOUT ADMITTING ANY LIABILITY WHATSOEVER, AND IN ORDER TO ACCOMMODATE A VALUED CLIENT, DEAN WITTER AGREED TO SETTLE THIS CUSTOMER CLAIM FOR \$10,011.00 THIS INDIVIDUAL AGREED TO REIMBURSE DEAN WITTER FOR THE FULL AMOUNT OF THE SETTLEMENT
Not Provided

Disclosure 4 of 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CHURNING; UNAUTHORIZED TRADING; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$38,771.31

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-00188

Date Notice/Process Served: 06/05/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/11/1997

Disposition Detail: PENDING
Not Provide

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CUSTOMERS ALLEGE UNAUTHORIZED TRANSACTIONS AND OVERTRADING FROM APPROX. 11/95 TO AND INCLUDING 2/96. NO SPECIFIC DAMAGES ARE CLAIMED OR QUANTIFIED.



Product Type:

Alleged Damages: \$38,771.31

Customer Complaint Information

Date Complaint Received: 02/12/1996

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; 97-00188

Date Notice/Process Served: 06/05/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/11/1997

Monetary Compensation Amount: \$12,500.00

Individual Contribution Amount:

Firm Statement THE MATTER WAS SETTLED FOR THE SUM OF \$12,500. IN ORDER TO AVOID THE EXPENSE AND UNCERTAINTY OF LITIGATION, AND WITHOUT ADMITTING LIABILITY, THE DISPUTE WAS COMPROMISED FOR THE SUM OF \$12,500.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CHURNING; UNAUTHORIZED TRADING; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE ACUTAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$21,531.31 JOINTLY & SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$17,240.00 JOINTLY & SEVERALLY; ATTORNEY`S FEES, ASKED AMOUNT \$0.00 JOINTLY & SEVERALLY

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$38,771.31

Customer Complaint Information

Date Complaint Received: 02/12/1996

Complaint Pending? No



Status: Arbitration/Reparation

Status Date: 06/05/1997

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 97-00188

Date Notice/Process Served: 06/05/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/11/1997

Monetary Compensation Amount: \$12,500.00

Individual Contribution Amount: \$12,500.00

Broker Statement SETTLED FOR \$12,500
NOT PROVIDED

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEAN WITTER

Allegations: ALLEGED THAT BROKER TOOK DISCRETION WITHOUT WRITTEN AUTHORIZATION IN PURCHASE AND SALE OF INTELLIGENT ELECTRONIC STOCK SOUGHT DAMAGES IN THE AMOUNT OF \$12K, REPRESENTING ALLEGED INVESTMENT LOSS.

Product Type:

Alleged Damages: \$12,000.00

Customer Complaint Information

Date Complaint Received: 07/03/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$11,914.23

Individual Contribution Amount: \$0.00

Broker Statement DEAN WITTER PAID \$11,914.23 TO CUSTOMER IN EXCHANGE FOR RELEASE OF ALL CLAIMS.
Not Provided



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

Reporting Source:	Individual
Firm Name:	DEAN WITTER REYNOLDS INC.
Termination Type:	Discharged
Termination Date:	03/27/1996
Allegations:	N/A USE OF UNAUTHORIZED DISCRETION IN CUSTOMER ACCOUNT
Product Type:	
Other Product Types:	
Broker Statement	DISCHARGED FROM DEAN WITTER Not Provided



End of Report

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