



IAPD Report

Erik Jeffrey Hendricks

CRD# 1328975

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

Erik Jeffrey Hendricks (CRD# 1328975)

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 **09/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	02/22/2000
IA	EDWARD JONES	CRD# 250	10/04/2023

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **15** 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	BANC OF AMERICA INVESTMENT SERVICES, 16361 INC.		BOSTON, MA	01/01/1998 - 12/13/1999
B	NATIONSSECURITIES	32542	BOSTON, MA	01/12/1994 - 01/01/1998
B	LUTHERAN BROTHERHOOD SECURITIES CORP.	4205	MINNEAPOLIS, MN	02/12/1985 - 01/10/1994

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4



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 **15** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**
Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131
Firm ID#: 250

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	02/22/2000
	FINRA	Invest. Co and Variable Contracts	Approved	02/22/2000
	FINRA	Direct Participation Programs	Approved	07/20/2020
	NYSE American LLC	General Securities Representative	Approved	09/13/2011
	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
	New York Stock Exchange	General Securities Representative	Approved	02/22/2000
	Arizona	Agent	Approved	09/18/2017
	California	Agent	Approved	05/20/2004
	Connecticut	Agent	Approved	08/24/2010
	Florida	Agent	Approved	02/24/2000
	Idaho	Agent	Approved	08/28/2026
	Illinois	Agent	Approved	05/12/2026
	Maryland	Agent	Approved	02/22/2000



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	09/28/2026
B	New York	Agent	Approved	08/07/2018
B	North Carolina	Agent	Approved	09/10/2015
B	Pennsylvania	Agent	Approved	02/22/2000
IA	Pennsylvania	Investment Adviser Representative	Approved	10/04/2023
B	South Carolina	Agent	Approved	09/13/2005
B	Tennessee	Agent	Approved	03/28/2023
B	Virginia	Agent	Approved	08/20/2014
B	West Virginia	Agent	Approved	01/14/2021

Branch Office Locations

EDWARD JONES
17 EAST MIDDLE STREET
GETTYSBURG, PA 17325



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, 4 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
------	----------	------

	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/10/1994
	Direct Participation Programs Representative Examination (S22)	Series 22	10/26/1987
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/11/1985

State Securities Law Exams

Exam	Category	Date
------	----------	------

	Uniform Investment Adviser Law Examination (S65)	Series 65	12/04/1995
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/11/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	01/01/1998 - 12/13/1999	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	01/12/1994 - 01/01/1998	NATIONSSECURITIES	CRD# 32542	
B	02/12/1985 - 01/10/1994	LUTHERAN BROTHERHOOD SECURITIES CORP.	CRD# 4205	MINNEAPOLIS, MN

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
02/2000 - Present	EDWARD JONES	INVESTMENT REP	Y	ST LOUIS, MO, 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.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

**DISCLOSURE EVENT DETAILS**

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

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 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	EDWARD D. JONES & COMPANY
Allegations:	UNAUTHORIZED TRADING; SUITABILITY; NEGLIGENCE; BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$788,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #05-04845](#)

Date Notice/Process Served: 09/09/2005

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/28/2006

Disposition Detail: HENDRICKS IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY ONE CLAIMANT \$58,930.51, PLUS INTEREST, IN COMPENSATORY DAMAGES. THE OTHER CLAIMANT'S CLAIMS, EACH AND ALL, ARE DENIED AND DISMISSED WITH PREJUDICE IN THEIR ENTIRETY.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

ATTORNEY FOR THE CLIENT MAKES ALLEGATIONS OF UNAUTHORIZED TRADES IN THE CLIENT'S ACCOUNT WHICH GENERATED SIGNIFICANT COMMISSIONS FOR THE IR AND THE FIRM. ATTORNEY ALLEGES DAMAGES OF APPROXIMATELY \$391,000.00 AS A RESULT OF THE UNAUTHORIZED TRANSACTIONS. ATTORNEY ALSO ALLEGES A LARGE PERCENTAGE OF THE CLIENT'S ASSETS WERE INVESTED IN ANNUITIES WHICH WAS NOT SUITABLE. *****ARBITRATION DESCRIPTION: ALLEGATIONS OF UNAUTHORIZED TRADING AND UNSUITABLE INVESTMENTS IN VIOLATION OF SEC. 10 OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5 AND MN STATUTE SEC 80A.01, FAILURE TO SUPERVISE, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, AND BREACH OF CONTRACT IN HANDLING THE ACCOUNTS OF THE CLAIMANTS WHO ARE SISTERS. CUSTOMER IS ALLEGEDLY MENTALLY IMPAIRED AND THERE WAS NO POA OR GUARDIAN ASSIGNED TO HER ACCOUNT. (AMOUNT CLAIMED: \$391,000 IN COMPENSATORY DAMAGES TO CUSTOMER; \$397,000 IN COMPENSATORY DAMAGES TO CUSTOMER; PLUS INTEREST, ATTORNEYS FEES, COSTS, EXPENSES AND PUNITIVE DAMAGES.)

Product Type:

Other

Alleged Damages:

\$391,000.00

Customer Complaint Information

Date Complaint Received:

03/07/2005

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

04/04/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

[NASD; CASE NO: 05-04845](#)

Date Notice/Process Served:

09/29/2005

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

08/28/2006

Monetary Compensation Amount:

\$58,930.51

Individual Contribution Amount:

\$0.00

Broker Statement

ACCORDING TO THE IR, HE HAS KNOWN THE CLIENT FOR APPROXIMATELY TWENTY YEARS AND DURING THAT TIME SHE HAS MADE HER OWN FINANCIAL DECISIONS. ACCORDING TO OUR RECORDS, THE CLIENT WAS THE SINGLE ACCOUNT OWNER AND WHILE THE ACCOUNT WAS HELD AT THE FIRM NO OTHER INDIVIDUAL WAS AUTHORIZED TO PROVIDE INSTRUCTIONS FOR THE ACCOUNT. THE IR HAS INDICATED, AT NO TIME,



DID HE EFFECT TRADES IN THE ACCOUNT WITHOUT FIRST RECEIVING THE PROPER AUTHORIZATION FROM THE CLIENT. AT THE TIME OF THE TRANSACTIONS (BUYS/SELLS), THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS. IN ADDITION, SHE HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. IT IS UNDERSTOOD, ALTHOUGH FUNDS WERE ADDED TO THE ANNUITY THROUGH EDWARD JONES, THE ANNUITY WAS ORIGINALLY PURCHASED AT ANOTHER FIRM. BASED ON OUR REVIEW, IT IS OUR OPINION, THE CLIENT WAS AWARE OF THE TRANSACTIONS THROUGH CONVERSATIONS WITH THE IR, RECEIPT OF CONFIRMATIONS AND RECEIPT OF STATEMENTS. THE ACCOUNT WAS TRANSFERRED TO ANOTHER FIRM IN MARCH 2004. CLAIM DENIED. *****ARBITRATION RESOLUTION: AWARD TO CLAIMANT #1 OF \$58,930.51 IN COMPENSATORY DAMAGES, PLUS INTEREST AT 4% ON THAT AMOUNT FROM 4/1/04 UNTIL PAYMENT OF THE AWARD, PLUS \$3,023.89 FOR ARBITRATION COSTS, FOR A TOTAL OF \$67,834.36. ALL REMAINING CLAIMS, INCLUDING ALL CLAIMS OF CLAIMANT #2, DENIED.

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT'S ATTORNEY STATES IR RECOMMENDED AN ANNUITY THAT WAS UNSUITABLE FOR HIS CLIENTS AS THE ANNUITY REPRESENTED A LARGE PORTION OF THE NEST EGG FOR THE FUTURE, THE CLIENTS WERE BOTH CLOSE TO 80 YEARS OLD AND THE CLIENTS WANTED A CONSERVATIVE, LIQUID INVESTMENT. ATTORNEY ADDITIONALLY ALLEGES THE CONTRACTS LOST MORE THAN \$30,000 WITHIN 10 MONTHS AND THE IR CHANGED SUB ACCOUNTS WITHOUT INFORMING THE CLIENTS, LOCKING IN THEIR LOSSES. FILING REQUIRED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 02/01/2005

Complaint Pending? No

Status: Denied

Status Date: 03/02/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR HAS INDICATED IN MAY 2002, THE CLIENTS HAD MONEY COMING DUE AND DISCUSSED WITH THEM THE HARTFORD DIRECTOR. IR CONTENDS AT THIS TIME HE PROVIDED THEM WITH A PROSPECTUS AND ADDITIONALLY DISCUSSED THE CDSCS AS WELL AS THE ALLOCATIONS OF THE SUB ACCOUNTS OF THE ANNUITY. IR CONTENDS THE CLIENTS UNDERSTOOD THE ALLOCATIONS AND THE LONG-TERM APPROACH TO THE ANNUITY. IR HAS STATED THAT UPON DELIVERY OF THE POLICIES, HE PROVIDED ANOTHER PROSPECTUS, REVIEWED THEIR INITIAL



STATEMENTS, DISCUSSED THE CDSCS, SHOWED THEM THE FREE LOOK PROVISION AND ONCE AGAIN REVIEWED THE ALLOCATIONS OF THE SUB ACCOUNTS. IR HAS STATED THAT IN MARCH OF 2003 HE WAS CONTACTED BY THE CLIENTS WITH CONCERN REGARDING THE PERFORMANCE OF THE SUB ACCOUNTS WITHIN THE ANNUITIES. IR HAS STATED HE RECOMMENDED KEEPING THE SAME ALLOCATIONS, BUT WAS INSTRUCTED BY THE CLIENTS TO CHANGE THE SUB ACCOUNTS TO BONDS. IN REVIEWING THE ANNUITIES, THEY DO NOT APPEAR TO BE OUTSIDE OF THE SCOPE OF THE INVESTMENT OBJECTIVES AS LISTED ON THE ACCOUNT. ADDITIONALLY, WE HAVE NO REASON TO BELIEVE THAT THE CLIENTS WERE NOT MADE AWARE OF THE FEATURES OF THE ANNUITIES INCLUDING THE FREE LOOK PROVISION IN WHICH THEY COULD HAVE EXERCISED IF THIS WAS NOT THE INVESTMENT THEY WISHED TO PURCHASE. COMPLAINT DENIED.

Disclosure 3 of 4

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT REQUESTS REVIEW OF HER ACCOUNT FOR THE "APPROPRIATENESS, FREQUENCY, SUITABILITY AND TRANSACTIONS FEE." CLIENT STATES SHE WAS NOT CONSULTED ON THE MAJORITY OF THE TRANSACTIONS EFFECTED IN THE ACCOUNT AND QUESTIONS WHETHER SHE RECEIVED THE APPROPRIATE BREAKPOINTS FOR MUTUAL FUND PURCHASES. CLIENT ALSO QUESTIONS THE "APPROPRIATENESS AND SUITABILITY" OF THE LARGE ANNUITY POSITIONS IN HER ACCOUNT. LOSSES EXCEED \$5,000.

Product Type:

Other

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

03/23/2004

Complaint Pending?

No

Status:

Denied

Status Date:

05/20/2004

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

IR INDICATED HE WAS INFORMED THE CLIENT'S INVESTMENT OBJECTIVES INCLUDED TAX-DEFERRED AS WELL AS TAX-FREE INVESTMENTS. IR STATED HE CONTACTED THE CLIENT REGARDING THE TRANSACTIONS TO EXPLAIN THE BASIS FOR HIS SUGGESTIONS. AT THE TIME OF THE TRANSACTIONS, THE CLIENT RECEIVED TRADE CONFIRMATIONS AS WELL AS THE APPROPRIATE MUTUAL FUND PROSPECTUSES. IN ADDITION, THE CLIENT HAS RECEIVED STATEMENTS AND ANNUITY CONTRACT SUMMARIES WERE SIGNED. A REVIEW OF THE BREAKPOINTS INDICATED, IN SOME INSTANCES, THAT THE CLIENT DID NOT RECEIVE THE APPROPRIATE BREAKPOINTS. THEREFORE, THE ACCOUNT HAS BEEN CREDITED IN THE AMOUNT OF \$2,329.86. THE COMMISSIONS ASSOCIATED WITH THE REMAINING TRANSACTIONS APPEAR TO BE APPROPRIATE



BASED ON FIRM GUIDELINES. BASED ON OUR REVIEW, IR MADE HIS SUGGESTIONS BASED ON IR'S UNDERSTANDING OF THE CLIENT'S INVESTMENT OBJECTIVES. IT APPEARS THE TRANSACTIONS EFFECTED IN THE ACCOUNT WERE AUTHORIZED. THE DECLINE IN THE VALUE OF THE ACCOUNT APPEARS TO BE RELATED TO MARKET FLUCTUATION AS WELL AS WITHDRAWALS. SUGGESTED IF THE CLIENT HAS CONCERNS REGARDING SPECIFIC TRANSACTIONS, CLIENT CAN PROVIDE DETAILS FOR FURTHER INVESTIGATION. CLAIM DENIED.

Disclosure 4 of 4

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

ARBITRATION CASE DESCRIPTION: ALLEGATIONS OF UNAUTHORIZED TRADING IN FOUR ACCOUNTS. (AMOUNT CLAIMED: \$2,350 FOR LOST RETURNS, REINSTATEMENT OF THE ROTH IRA TO ITS STATE PRIOR TO MARCH 14, 2003 WHEN IT WAS 100% INVESTED IN GROWTH FUND OF AMERICA, INCLUDING REINVESTMENTS FROM THAT DATE TO THE PRESENT, AND REIMBURSEMENT OF COSTS RELATED TO FILING AND PURSUING THIS CLAIM)

Product Type:

Other

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

07/07/2003

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

07/07/2003

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

NASD, CASE NO: 03-05127

Date Notice/Process Served:

07/07/2003

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

08/13/2003

Monetary Compensation Amount:

\$1,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

SETTLED FOR \$1,000 PLUS REPLACEMENT OF CLIENT'S GROWTH FUND OF AMERICA SHARES IN HIS IRA ACCOUNT.



End of Report

This page is intentionally left blank.