



IAPD Report

CHARLES ALAN CORREAL

CRD# 1366202

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Please contact FINRA with any concerns.



IAPD Information About Representatives

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

What is included in a IAPD report?

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

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

Where did this information come from?

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

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

How current is this information?

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

Need help interpreting this report?

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

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

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

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

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



Report Summary

CHARLES ALAN CORREAL (CRD# 1366202)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/22/2023
IA	LPL FINANCIAL LLC	CRD# 6413	03/23/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	HARVEST FINANCIAL CORPORATION	8733	PITTSBURGH, PA	05/24/2016 - 04/13/2023
IA	HARVEST FINANCIAL CORPORATION	8733	PITTSBURGH, PA	05/24/2016 - 04/07/2023
IA	MORGAN STANLEY	149777	UPPER ST. CLAIR, PA	07/30/2013 - 05/18/2016

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	6



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 7 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 Representative	Approved	03/22/2023
B	Alaska	Agent	Approved	04/27/2026
B	California	Agent	Approved	03/22/2023
B	Florida	Agent	Approved	03/22/2023
B	Maryland	Agent	Approved	03/23/2023
B	Michigan	Agent	Approved	06/13/2023
B	North Carolina	Agent	Approved	04/10/2024
B	Pennsylvania	Agent	Approved	03/29/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	03/29/2023

Branch Office Locations

LPL FINANCIAL LLC
2591 WEXFORD BAYNE RD
SUITE 205
SEWICKLEY, PA 15143



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 1 state securities law exam.

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	06/15/1985
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State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	06/26/1985
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/24/2016 - 04/13/2023	HARVEST FINANCIAL CORPORATION	CRD# 8733	PITTSBURGH, PA
IA	05/24/2016 - 04/07/2023	HARVEST FINANCIAL CORPORATION	CRD# 8733	PITTSBURGH, PA
IA	07/30/2013 - 05/18/2016	MORGAN STANLEY	CRD# 149777	UPPER ST. CLAIR, PA
B	06/01/2009 - 05/18/2016	MORGAN STANLEY	CRD# 149777	UPPER ST. CLAIR, PA
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PITTSBURGH, PA
B	02/17/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	PITTSBURGH, PA
B	03/02/1992 - 03/07/2006	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	CANNONSBURG, PA
B	01/22/1988 - 03/11/1992	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	06/18/1985 - 02/02/1988	JANNEY MONTGOMERY SCOTT INC.	CRD# 463	

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
03/2023 - Present	LPL Financial LLC	Registered Representative	Y	Pittsburgh, PA, United States
05/2016 - 03/2023	Harvest Financial Corporation	Registered Rep & Advisor	Y	Pittsburgh, PA, 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) 11/11/2022 - Harvest Financial - DBA for LPL Business (entity for LPL business) - Investment related - At reported business location(s).
- 2) 11/11/2022 - BURG Referral Group - Networking Group - Club Manager - Non-Inv Rel - McMurray, PA - Start: 1999 - 2.5 Hr/Mth



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	6

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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Claimant alleges, inter alia, unsuitability with respect to investments - Aug, 2014-June, 2015
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03382
Filing date of arbitration/CFTC reparation or civil litigation:	09/24/2020

Customer Complaint Information



Date Complaint Received: 09/29/2020

Complaint Pending? No

Status: Settled

Status Date: 06/03/2021

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: Claimant alleges, inter alia, unsuitability with respect to investments - August 2014 to June 2015.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 20-03382

Filing date of arbitration/CFTC reparation or civil litigation: 09/24/2020

Customer Complaint Information

Date Complaint Received: 09/20/2020

Complaint Pending? No

Status: Settled

Status Date: 06/03/2021

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Broker Statement Received information due to MSSB filing amended U5 on 10/28/20

Disclosure 2 of 6

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney

Allegations: Claimant alleged, inter alia, unsuitability with respect to investments in his account during 2009-2016.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$150,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 17-02032

Filing date of arbitration/CFTC reparation or civil litigation: 07/31/2017

Customer Complaint Information

Date Complaint Received: 08/09/2017

Complaint Pending? No

Status: Settled

Status Date: 07/31/2018

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Firm Statement This matter was settled for business reasons in order to avoid the cost and uncertainty of litigation.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney

Allegations: Claimant alleged, inter alia, unsuitability with respect to investments in his account during 2009 to 2016.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$150,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA



Docket/Case #: 17-02032
Filing date of arbitration/CFTC reparation or civil litigation: 07/31/2017

Customer Complaint Information

Date Complaint Received: 08/09/2017
Complaint Pending? No
Status: Settled
Status Date: 07/31/2018
Settlement Amount: \$75,000.00
Individual Contribution Amount: \$0.00

Broker Statement Per Morgan Stanley, this matter was settled for business reasons in order to avoid the cost and uncertainty of litigation.

Disclosure 3 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney

Allegations: Claimant alleges that the FA invested her account in unsuitable securities including structured products and misrepresented the risks of the investments. 12/01/2012-07/31/2015

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$22,600.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 17-00956
Filing date of arbitration/CFTC reparation or civil litigation: 04/13/2017

Customer Complaint Information

Date Complaint Received: 04/20/2017
Complaint Pending? No
Status: Settled
Status Date: 03/01/2018
Settlement Amount: \$4,750.00



Individual Contribution Amount: \$0.00

Firm Statement This matter was settled for business reasons in order to avoid the cost and uncertainty of litigation.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: Claimant alleges, inter alia, that stocks purchased in client's account from 2012 to 2015 were unsuitable. Per MS filing 3/14/18, claimant alleged that the FA invested her account in unsuitable securities including structured products and misrepresented the risks of the investments 12/01/2012 - 07/31/2015

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$22,600.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 17-00956

Filing date of arbitration/CFTC reparation or civil litigation: 04/13/2017

Customer Complaint Information

Date Complaint Received: 04/20/2017

Complaint Pending? No

Status: Settled

Status Date: 03/01/2018

Settlement Amount: \$4,750.00

Individual Contribution Amount: \$0.00

Broker Statement Per Morgan Stanley filing 03/14/2018, this matter was settled for business reasons in order to avoid the cost and uncertainty of litigation

Disclosure 4 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney, LLC

Allegations: Breach of fiduciary duty, violations of Pennsylvania Unfair Trade Practices and Consumer Protection Law, suitability violations, professional negligence, breach of



contract, breach of the duty of good faith and fair dealing, failure to supervise, respondeat superior, and vicarious liability.

Product Type: Other: Unspecified securities

Alleged Damages: \$38,426.27

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #17-00792](#)

Date Notice/Process Served: 03/28/2017

Arbitration Pending? No

Disposition: Award

Disposition Date: 09/19/2017

Disposition Detail: Morgan Stanley Smith Barney, LLC and Charles Alan Correal are jointly and severally liable for and shall pay to the claimant the sum of \$7,500.00 in compensatory damages.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney

Allegations: Claimant alleged inter alia, unsuitability in respect to investments made in her retirement account from April 1, 2011 to December 2, 2016.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$38,426.27

Arbitration Information

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

Docket/Case #: [17-00792](#)

Date Notice/Process Served: 04/05/2017

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/19/2017

Monetary Compensation Amount: \$7,500.00

Individual Contribution Amount: \$0.00

Firm Statement Mr. Correal strongly disagrees with the conclusions of the Arbitration Panel and vehemently denies any allegations of wrongdoing.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney

Allegations: Claimant alleges, inter alia, unsuitability in respect to investments made in her retirement account from 2011 to 2016.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$38,426.27

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 17-00792

Filing date of arbitration/CFTC reparation or civil litigation: 04/05/2017

Customer Complaint Information

Date Complaint Received: 04/10/2017

Complaint Pending? No

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

Status Date: 04/10/2017

Settlement Amount: \$7,500.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: [17-00792](#)

Date Notice/Process Served: 04/10/2017

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/19/2017

Monetary Compensation Amount: \$7,500.00

Individual Contribution Amount: \$0.00

Broker Statement Morgan Stanley reported this customer complaint on representative's U-5 on 4/10/2017 with an event date of 4/5/2017.



Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney LLC

Allegations: Correal was named in a customer complaint that asserted that following causes of action: breach of fiduciary duty, violations of Pennsylvania Unfair Trade Practices and Consumer Protection Law, suitability, professional negligence, breach of contract and breach of the duty of good faith and fair dealing, failure to supervise, respondeat superior, and vicarious liability.

Product Type: Other: energy stocks; real estate investment trusts

Alleged Damages: \$692,486.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #16-00523](#)

Date Notice/Process Served: 02/24/2016

Arbitration Pending? No

Disposition: Award

Disposition Date: 06/07/2017

Disposition Detail: Correal is jointly and severally liable for and shall pay to Claimants the sum of \$110,000 in compensatory damages.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney

Allegations: Claimants' alleged, inter alia, that the FA made unsuitable investments in energy stocks. Timeframe: 09/21/2010 01/06/2016

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$180,000.00

Arbitration Information

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

Docket/Case #: [16-00523](#)

Date Notice/Process Served: 02/29/2016

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/05/2017

Monetary Compensation Amount: \$110,000.00

Individual Contribution Amount: \$0.00



Reporting Source: Individual

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

Allegations: Claimants allege, inter alia, that from 2008 to January 2016 the FA made unsuitable investments in energy stocks.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$180,000.00

Arbitration Information

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

Docket/Case #: [16-00523](#)

Date Notice/Process Served: 02/29/2016

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/07/2017

Monetary Compensation Amount: \$110,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Morgan Stanley

Allegations: Claimant alleged inter alia, that the oil stocks purchased in her account were unsuitable.
01/01/2011-12/01/2015

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$260,000.00

Arbitration Information

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

Docket/Case #: 15-03142

Date Notice/Process Served: 12/16/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/11/2017



Monetary Compensation Amount: \$124,000.00

Individual Contribution Amount: \$0.00

Firm Statement Mr. Correal vehemently denies any allegations of wrongdoing.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CLIENT ALLEGED, INTER ALIA, THAT THE OIL STOCKS PURCHASED IN HER ACCOUNT, WERE UNSUITABLE. 2011-2015

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$260,000.00

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: 02/09/2015

Complaint Pending? No

Status: Settled

Status Date: 12/16/2015

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 15-003142

Date Notice/Process Served: 12/16/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/11/2017

Monetary Compensation Amount: \$124,000.00

Individual Contribution Amount: \$0.00



End of Report

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