



IAPD Report

STEVEN JOSEPH SCHMITZ

CRD# 1432690

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

STEVEN JOSEPH SCHMITZ (CRD# 1432690)

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 **12/03/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B OSAIC WEALTH, INC.	CRD# 23131	01/31/1997
IA SCHMITZ CAPITAL PARTNERS, LLC	CRD# 105702	04/22/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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 KEOGLER, MORGAN & COMPANY, INC.	16546	ATLANTA, GA	11/01/1989 - 01/31/1997
B INTEGRATED RESOURCES EQUITY CORPORATION	6403	ATLANTA, GA	11/03/1988 - 11/15/1989
B CHRISTOPHER WEIL & COMPANY, INC	6566	ATLANTA, GA	11/20/1985 - 11/03/1988

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	7



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

Employment 1 of 2

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	01/31/1997
B FINRA	General Securities Representative	Approved	01/31/1997
B Arizona	Agent	Approved	05/20/2004
B Arkansas	Agent	Approved	01/20/2011
B California	Agent	Approved	01/31/1997
B Colorado	Agent	Approved	01/09/1998
B Connecticut	Agent	Approved	09/05/2025
B Florida	Agent	Approved	06/17/2013
B Georgia	Agent	Approved	01/14/1999
B Hawaii	Agent	Approved	01/31/1997
B Idaho	Agent	Approved	05/01/2007
B Iowa	Agent	Approved	03/01/2006
B Louisiana	Agent	Approved	02/05/2020



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	07/11/2000
B Montana	Agent	Approved	03/13/2000
B Nevada	Agent	Approved	02/14/2002
B New Jersey	Agent	Approved	01/07/2010
B New York	Agent	Approved	12/04/1997
B North Carolina	Agent	Approved	12/15/2011
B Ohio	Agent	Approved	07/03/2001
B Oregon	Agent	Approved	01/31/1997
B South Carolina	Agent	Approved	01/09/2019
B Texas	Agent	Approved	02/04/2020
B Utah	Agent	Approved	06/27/2018
B Washington	Agent	Approved	09/18/2000
B Wisconsin	Agent	Approved	11/19/2021

Branch Office Locations

OSAIC WEALTH, INC.
655 REDWOOD HIGHWAY
SUITE 109
MILL VALLEY, CA 94941

Employment 2 of 2

Firm Name: **SCHMITZ CAPITAL PARTNERS, LLC**
Main Address: 655 REDWOOD HWY
STE 109
MILL VALLEY, CA 94941
Firm ID#: 105702



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	04/22/2015

Branch Office Locations

SCHMITZ CAPITAL PARTNERS, LLC
655 REDWOOD HWY
STE 109
MILL VALLEY, CA 94941




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 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/25/1987

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/16/1985

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1985

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	11/01/1989 - 01/31/1997	KEOGLER, MORGAN & COMPANY, INC.	CRD# 16546	ATLANTA, GA
B	11/03/1988 - 11/15/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	11/20/1985 - 11/03/1988	CHRISTOPHER WEIL & COMPANY, INC	CRD# 6566	

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
04/2015 - Present	SCHMITZ CAPITAL PARTNERS, LLC	CHIEF COMPLIANCE OFFICER	Y	MILL VALLEY, CA, United States
01/1997 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	MILL VALLEY, 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. INSURANCE, INVETMENT RELATED, STEVEN J SCHMITZ, SOLE PROPRIETORSHIP, 655 REDWOOD HWY., SUITE 109, MILL VALLEY, CA. 94941, OWNER, 1/31/1986, 10 HRS/MO, 0 DURING TRADING HRS, PROVIDE INSURANCE SERVICES, FIXED ANNUITIES AND LONG TERM CARE INSURANCE FOR SELECTED CLIENTS. FIXED ANNUITIES, VARIABLE ANNUITIES, VARIABLE LIFE OR VARIABLE UNIVERSAL LIFE, FIXED LIFE. GENWORTH, UNION CENTRAL, JEFFERSON PILOT, JOHN HANCOCK, METLIFE, CENTRELINK, IPG, INC., BROKERAGE UNLIMITED, MUTUAL OF OMAHA, ING(RELIASTAR, NORTHERN LIFE), UNION CENTRAL, WESTLAND FINANCIAL, TRUMARK. MARSH PRIVATE CLIENT.

2. INSURANCE, YES, SCHMITZ CAPTIAL PARTNERS, SOLE PROPRIETORSHIP, 655 REDWOOD HWY., SUITE 109 MILL VALLEY CA 94941, OWNER, 8/12/2010, 4 HRS/MO, 0 DURING TRADING HRS, LICENSED LIFE INSURANCE AGENT. FIXED ANNUITIES, VARIABLE ANNUITIES, VARIABLE LIFE OR VARIABLE UNIVERSAL LIFE, FIXED LIFE, ACCIDENT & DISABILITY. GENWORTH, UNION CENTRAL, JEFFERSON PILOT, JOHN HANCOCK, METLIFE, CENTRELINK, IPG, INC., BROKERAGE UNLIMITED, MUTUAL OF OMAHA, ING(RELIASTAR, NORTHERN LIFE), WESTLAND FINANCIAL, TRUMARK, MARSH PRIVATE CLIENT, LPG.

3. INVESTMENT ADVISORY SERVICES, INDEPENDENT REGISTERED INVESTMENT ADVISOR, YES, SCHMITZ CAPITAL PARTNERS, SOLE PROPRIETORSHIP, 655 REDWOOD HWY., SUITE 109, MILL VALLEY, CA. 94941, PRESIDENT/CHIEF COMPLIANCE OFFICER, NOVEMBER, 1988, 80 HRS/MO, 4 DURING TRADING HRS, PRESIDENT, CHIEF COMPLIANCE OFFICER, INVESTMENT ADVISOR.

4. SCHMITZ & ASSOCIATES
POSITION: Owner - NATURE: Sole Proprietorship - INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES



Registration & Employment History



OTHER BUSINESS ACTIVITIES

TRADING HOURS: 0 START DATE: 01/01/1986

ADDRESS: 655 Redwood Hwy. Suite 109, Mill Valley CA 94941, United States

DESCRIPTION: Prepare income tax returns for 25-30 clients. Prepare income tax projections and budget estimates.

5. SCHMITZ CAPTIAL PARTNERS.LLC

POSITION: Owner - NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS:

100 START DATE: 04/07/2015

ADDRESS: 655 Redwood Hwy., Suite 109, Mill Valley CA 94941, United States

DESCRIPTION: President and Chief Compliance Officer



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	7

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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE
Allegations:	CLAIMANT ALLEGES UNSUITABLE INVESTMENTS WERE RECOMMENDED BY RESPONDENTS.
Product Type:	Equity-OTC Mutual Fund
Alleged Damages:	\$1,500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-03179
Date Notice/Process Served:	09/26/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/09/2014
Monetary Compensation Amount:	\$310,000.00
Individual Contribution Amount:	\$0.00



Broker Statement RESPONDENTS DENY THE ALLEGATIONS ASSUED BY CLAIMANT AND SETTLED THIS MATTER TO AVOID THE COST OF ARBITRATION. RESPONDENT SCHMITZ MADE NO MONETARY CONTRIBUTION TO THE SETTLEMENT BY ROYAL ALLIANCE

Disclosure 2 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES, INC.

Allegations: CUSTOMER SERVES AS TRUSTEE AS 401(K) PROFIT SHARING PLAN. HE ALLEGES REP MADE UNSUITABLE RECOMMENDATIONS AND FAILED TO DISCLOSE SALES CHARGES IN CONNECTION WITH CERTAIN MUTUAL FUND INVESTMENTS 6/05-4/06.

Product Type: Mutual Fund(s)

Alleged Damages: \$9,273.41

Customer Complaint Information

Date Complaint Received: 06/16/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/06/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER A THOROUGH INVESTIGATION, THIS COMPLAINT WAS FOUND TO BE WITHOUT MERIT.

Disclosure 3 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES, INC.

Allegations: ALLEGE FROM 1998 UNSUITABILITY, FAILURE TO DIVERSIFY, BREACH OF FUDICIARY DUTY FOR MUTUAL FUND AND STOCK PORTFOLIO.

Product Type: Mutual Fund(s)

Other Product Type(s): INTC

Alleged Damages: \$581,000.00

Customer Complaint Information

Date Complaint Received: 01/05/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/05/2004

**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD 03-08950**Date Notice/Process Served:** 01/05/2004**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 07/16/2004**Monetary Compensation Amount:** \$75,000.00**Individual Contribution Amount:** \$0.00**Broker Statement**

THE CLAIMANT WAS SEEKING A LARGE AMOUNT FOR A MERITLESS CLAIM. DUE TO THE HIGH COST OF DEFENSE AND THE UNCERTAINTY OF LITIGATION THE CLAIM WAS SETTLED FOR A SMALL FRACTION OF THE AMOUNT ALLEGED.

Disclosure 4 of 7**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** ROYAL ALLIANCE ASSOCIATES, INC.**Allegations:** ALLEGE FROM 1999 UNSUITABILITY, FAILURE TO DIVERSIFY, BREACH OF FIDUCIARY DUTY FOR MUTUAL FUND AND STOCK PORTFOLIO.**Product Type:** Mutual Fund(s)**Other Product Type(s):** STOCKS**Alleged Damages:** \$166,000.00**Customer Complaint Information****Date Complaint Received:** 01/05/2004**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 01/05/2004**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD 03-08951**Date Notice/Process Served:** 01/05/2004



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/16/2004
Monetary Compensation Amount:	\$9,900.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE CLAIMANT WAS SEEKING \$166,000.00. THE CLAIM WAS MERITLESS, BUT WAS SETTLED FOR A NOMINAL AMOUNT TO AVOID THE HIGH COST OF DEFENSE LITIGATION.

Disclosure 5 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	ALLEGE BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, NEGLIGENCE, BREACH OF CONTRACT, VIOLATION OF STATE SECURITIES CODE FOR INVESTMENT ADVISORY SERVICES FROM OCTOBER 1999 TO PRESENT.
Product Type:	Mutual Fund(s)
Other Product Type(s):	EQUITY - LISTED
Alleged Damages:	\$3,000,000.00

Customer Complaint Information

Date Complaint Received:	07/03/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/26/2003
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	AAA 74 168 01690 02 LMT
Date Notice/Process Served:	06/01/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/26/2003
Monetary Compensation Amount:	\$1,250,000.00
Individual Contribution Amount:	\$0.00



Civil Litigation Information

Court Details: SUPERIOR COURT OF CALIFORNIA, COUNTY OF MARIN, CASE NO. 022919
Date Notice/Process Served: 06/26/2002
Litigation Pending? No
Disposition: Dismissed
Disposition Date: 06/01/2002

Broker Statement CASE INVOLVED INVESTMENT OF ALMOST \$10 MILLION AND WAS SETTLED BY PAYMENT FROM CO-RESPONDENT WITH NO INDIVIDUAL CONTRIBUTION FROM ME. AT ALL TIMES I HAVE DENIED ALL WRONGDOING AND I BELIEVE THAT A PANEL WOULD HAVE DISMISSED THIS MERITLESS CLAIM AGAINST ME. ALL LOSSES RESULTED FROM THE UNFAVORABLE (BEAR) MARKET CONDITIONS IN 2000-2002.

Disclosure 6 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES, INC.
Allegations: ALLEGE UNSUITABLE MUTUAL FUNDS RECOMMENDED TO CLIENT IN JULY 1999.
Product Type: Mutual Fund(s)
Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received: 05/03/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/25/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO. 02-02210
Date Notice/Process Served: 05/03/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/25/2003
Monetary Compensation Amount: \$210,000.00
Individual Contribution Amount: \$0.00



Broker Statement CLIENT INCURRED LOSSES IN A \$2 MILLION ACCOUNT AS A RESULT OF HER WRITTEN DIRECTION TO SHIFT CONCENTRATION OF ACCOUNT TO EQUITY FUNDS SHORTLY BEFORE 2000 MARKET DOWNTURN. CO-RESPONDENT SETTLED CLAIM WITH NO CONTRIBUTION FROM ME. ALL ACTIONS ON MY PART WERE IN ACCORDANCE WITH WRITTEN CLIENT DIRECTION AND APPROVAL AND I COMMITTED NO WRONGDOING.

Disclosure 7 of 7

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: UNAUTHORIZED TRADING; BRCH OF FIDUCIARY DT; CHURNING; OMISSION OF FACTS

Product Type:

Alleged Damages: \$25,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-01976

Date Notice/Process Served: 07/21/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/15/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGED THAT THE VALUES OF HIS INVESTMENTS IN HIS IRA, WHICH WERE PROVIDED BY A TRUST COMPANY, WERE INACCINATE. CLAIMANT SOUGHT DAMAGES OF AT LEAST \$25,000. CLAIMANT NAMED MY CURRENT BROKER DEALER, KEUGLER MORGAN & CO. INC., MY PREVIOUS B-D, ROYAL ALLIANCE INC. AND MYSELF AS RESPONDENTS

Product Type: No Product

Alleged Damages: \$25,000.00



Customer Complaint Information

Date Complaint Received: 07/21/1994
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 07/21/1994
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-01976

Date Notice/Process Served: 07/21/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/15/1996

Broker Statement AS PART OF THE SETTLEMENT AGREEMENT ALL ALLEGATIONS AGAINST ME WERE DROPPED PRIOR TO SETTLEMENT



End of Report

This page is intentionally left blank.