



## IAPD Report

# Maximo Lopez

CRD# 1519497

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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

### Maximo Lopez (CRD# 1519497)

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 **09/05/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	09/07/2022
<b>IA</b>	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	09/07/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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>IA</b>	ALLSTATE FINANCIAL ADVISORS, LLC	109524	Katy, TX	05/28/2020 - 09/06/2022
<b>B</b>	ALLSTATE FINANCIAL SERVICES, LLC	18272	Katy, TX	05/28/2020 - 09/06/2022
<b>IA</b>	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	611	HOUSTON, TX	07/03/2019 - 04/13/2020

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

### DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	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 **51** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **VALIC FINANCIAL ADVISORS, INC.**  
Main Address: 2919 ALLEN PKWY  
HOUSTON, TX 77019  
Firm ID#: 42803

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	09/07/2022
<b>B</b>	FINRA	General Securities Representative	Approved	04/20/2023
<b>B</b>	FINRA	General Securities Principal	Approved	12/15/2023
<b>B</b>	Alabama	Agent	Approved	05/24/2023
<b>IA</b>	Alabama	Investment Adviser Representative	Approved	05/25/2023
<b>B</b>	Alaska	Agent	Approved	05/30/2023
<b>IA</b>	Alaska	Investment Adviser Representative	Approved	06/07/2023
<b>B</b>	Arizona	Agent	Approved	12/19/2022
<b>IA</b>	Arizona	Investment Adviser Representative	Approved	12/20/2022
<b>B</b>	Arkansas	Agent	Approved	12/20/2022
<b>IA</b>	Arkansas	Investment Adviser Representative	Approved	12/20/2022
<b>B</b>	California	Agent	Approved	05/24/2023
<b>IA</b>	California	Investment Adviser Representative	Approved	05/24/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Colorado	Agent	Approved	12/19/2022
<b>IA</b> Colorado	Investment Adviser Representative	Approved	12/19/2022
<b>B</b> Connecticut	Agent	Approved	05/24/2023
<b>IA</b> Connecticut	Investment Adviser Representative	Approved	05/24/2023
<b>B</b> Delaware	Agent	Approved	06/02/2023
<b>IA</b> Delaware	Investment Adviser Representative	Approved	06/02/2023
<b>B</b> District of Columbia	Agent	Approved	05/25/2023
<b>IA</b> District of Columbia	Investment Adviser Representative	Approved	06/08/2023
<b>B</b> Florida	Agent	Approved	12/19/2022
<b>IA</b> Florida	Investment Adviser Representative	Approved	12/19/2022
<b>B</b> Georgia	Agent	Approved	05/26/2023
<b>IA</b> Georgia	Investment Adviser Representative	Approved	05/26/2023
<b>B</b> Hawaii	Agent	Approved	05/25/2023
<b>IA</b> Hawaii	Investment Adviser Representative	Approved	05/25/2023
<b>B</b> Idaho	Agent	Approved	05/24/2023
<b>IA</b> Idaho	Investment Adviser Representative	Approved	05/24/2023
<b>B</b> Illinois	Agent	Approved	06/01/2023
<b>IA</b> Illinois	Investment Adviser Representative	Approved	06/01/2023
<b>B</b> Indiana	Agent	Approved	05/25/2023



### Qualifications

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	05/30/2023
B Iowa	Agent	Approved	12/19/2022
IA Iowa	Investment Adviser Representative	Approved	12/19/2022
B Kansas	Agent	Approved	12/16/2022
IA Kansas	Investment Adviser Representative	Approved	12/16/2022
B Kentucky	Agent	Approved	05/25/2023
IA Kentucky	Investment Adviser Representative	Approved	05/25/2023
B Louisiana	Agent	Approved	12/20/2022
IA Louisiana	Investment Adviser Representative	Approved	12/20/2022
B Maine	Agent	Approved	05/24/2023
IA Maine	Investment Adviser Representative	Approved	05/25/2023
B Maryland	Agent	Approved	05/25/2023
IA Maryland	Investment Adviser Representative	Approved	05/25/2023
B Massachusetts	Agent	Approved	06/21/2023
IA Massachusetts	Investment Adviser Representative	Approved	06/21/2023
B Michigan	Agent	Approved	05/26/2023
IA Michigan	Investment Adviser Representative	Approved	05/26/2023
B Minnesota	Agent	Approved	05/30/2023
IA Minnesota	Investment Adviser Representative	Approved	05/30/2023



### Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	12/21/2022
IA	Mississippi	Investment Adviser Representative	Approved	12/21/2022
B	Missouri	Agent	Approved	12/19/2022
IA	Missouri	Investment Adviser Representative	Approved	12/19/2022
IA	Montana	Investment Adviser Representative	Approved	05/31/2023
B	Montana	Agent	Approved	06/05/2023
B	Nebraska	Agent	Approved	12/16/2022
IA	Nebraska	Investment Adviser Representative	Approved	01/23/2023
IA	Nevada	Investment Adviser Representative	Approved	12/21/2022
B	Nevada	Agent	Approved	01/06/2023
B	New Hampshire	Agent	Approved	05/25/2023
IA	New Hampshire	Investment Adviser Representative	Approved	05/30/2023
B	New Jersey	Agent	Approved	05/24/2023
IA	New Jersey	Investment Adviser Representative	Approved	05/24/2023
B	New Mexico	Agent	Approved	12/19/2022
IA	New Mexico	Investment Adviser Representative	Approved	12/19/2022
IA	New York	Investment Adviser Representative	Approved	05/24/2023
B	New York	Agent	Approved	05/28/2023
B	North Carolina	Agent	Approved	05/25/2023



### Qualifications

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	06/01/2023
B North Dakota	Agent	Approved	05/30/2023
IA North Dakota	Investment Adviser Representative	Approved	05/30/2023
B Ohio	Agent	Approved	05/24/2023
IA Ohio	Investment Adviser Representative	Approved	05/25/2023
B Oklahoma	Agent	Approved	12/20/2022
IA Oklahoma	Investment Adviser Representative	Approved	01/04/2023
B Oregon	Agent	Approved	05/30/2023
IA Oregon	Investment Adviser Representative	Approved	05/30/2023
B Pennsylvania	Agent	Approved	05/25/2023
IA Pennsylvania	Investment Adviser Representative	Approved	05/25/2023
B Rhode Island	Agent	Approved	05/25/2023
IA Rhode Island	Investment Adviser Representative	Approved	05/25/2023
B South Carolina	Agent	Approved	05/26/2023
IA South Carolina	Investment Adviser Representative	Approved	05/26/2023
B South Dakota	Agent	Approved	05/30/2023
IA South Dakota	Investment Adviser Representative	Approved	05/30/2023
B Tennessee	Agent	Approved	05/24/2023



### Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	09/07/2022
IA Texas	Investment Adviser Representative	Approved	09/07/2022
B Utah	Agent	Approved	12/19/2022
IA Utah	Investment Adviser Representative	Approved	12/19/2022
B Vermont	Agent	Approved	05/24/2023
IA Vermont	Investment Adviser Representative	Approved	05/25/2023
B Virginia	Agent	Approved	05/25/2023
IA Virginia	Investment Adviser Representative	Approved	05/25/2023
B Washington	Agent	Approved	05/31/2023
IA Washington	Investment Adviser Representative	Approved	05/31/2023
B West Virginia	Agent	Approved	05/25/2023
IA West Virginia	Investment Adviser Representative	Approved	05/26/2023
B Wisconsin	Agent	Approved	05/25/2023
IA Wisconsin	Investment Adviser Representative	Approved	05/25/2023
IA Wyoming	Investment Adviser Representative	Approved	12/20/2022
B Wyoming	Agent	Approved	01/04/2023

#### Branch Office Locations

**VALIC FINANCIAL ADVISORS, INC.**  
2919 ALLEN PARKWAY  
9th FLOOR - RETIREMENT EDUCATION CENTER  
HOUSTON, TX 77019




## 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, 5 general industry/product exams, and 3 state securities law exams.**





#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/14/2023

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	04/20/2023
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	05/28/2020
 Securities Industry Essentials Examination (SIE)	SIE	05/12/2020
 General Securities Representative Examination (S7)	Series 7	09/01/2006
 National Commodity Futures Examination (S3)	Series 3	10/23/1989

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/30/2020
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/21/2019
  Uniform Combined State Law Examination (S66)	Series 66	09/15/2006



## 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	05/28/2020 - 09/06/2022	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	Katy, TX
B	05/28/2020 - 09/06/2022	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	Katy, TX
IA	07/03/2019 - 04/13/2020	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	HOUSTON, TX
B	11/21/2008 - 01/26/2009	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	LAKE OSWEGO, OR
IA	11/19/2007 - 10/16/2008	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	ALOHA, OR
B	11/16/2007 - 10/16/2008	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	ALOHA, OR
B	09/04/2006 - 09/19/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	PORTLAND, OR
B	06/14/2002 - 09/13/2002	SECURITIES & INVESTMENT PLANNING CO.	CRD# 36538	MORRISTOWN, NJ
B	08/07/1990 - 07/13/2000	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	07/28/1986 - 08/03/1990	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

### 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
12/2022 - Present	AGIA	Agent	N	Houston, TX, United States
09/2022 - Present	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	HOUSTON, TX, United States
06/2020 - Present	Renewal Commissions	Agent	N	Houston, TX, United States
12/2021 - 11/2023	LOPEZ FINANCIAL RESOURCES LLC	owner	N	Houston, TX, United States
05/2020 - 09/2022	Allstate Life and Financial Services LLC	Insurance Agent	Y	Houston, TX, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2019 - 04/2020	Mutual of Omaha Insurance Company	Insurance Agent	N	Houston, TX, United States
05/2019 - 04/2020	Mutual of Omaha Investor Services	Registered Representative	Y	Houston, TX, United States
08/2017 - 05/2019	Colonial Life & Accident Insurance Company	Insurance Agent	N	Houston, TX, United States
01/2017 - 08/2017	Carmax Auto Superstores	Car Salesman	N	Katy, TX, United States
02/2017 - 04/2017	Bankers Life and Casualty Company	Insurance Agent	N	Houston, TX, United States
09/2016 - 12/2016	Unemployed	Unemployed	N	Houston, TX, United States
06/2016 - 09/2016	ITT Technical Institute	Community Relations Specialist/Admissions Department	N	Houston, TX, United States
06/2015 - 06/2016	The College of Healthcare Professions	Employer Liaison/Career Services Department	N	Houston, TX, 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.

##### RENEWAL COMMISSIONS

POSITION: Agent NATURE: Renewal Commissions only INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 06/11/2020 ADDRESS: 17938 Windy Canyon Ln, Houston TX 77084, United States DESCRIPTION: No Activities. This is receipt of renewal commissions only

##### AGIA

POSITION: Agent NATURE: null INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 1 START DATE: 12/17/2022 ADDRESS: 2929 Allen Parkway, Houston TX 77019, United States DESCRIPTION: Non-Securities Insurance Products

##### MUTUAL OF OMAHA

POSITION: AGENT NATURE: RECEIVING ONLY RENEWAL COMMISSIONS FROM TRANSAMERICA HEALTH PLAN, GAP FROM HEALTH PLANFOR "SID ACHARYA CARDIOLOGY PLLC" RELATED TO THEIR EMPLOYEE HEALTH INSURANCE PLAN WHICH I NO LONGER SERVICE. I ONLY RECEIVE THE RENEWAL COMMISSIONS FROM WHEN I WAS IN THE HEALTH BENEFITS BUSINESS. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 06/11/2020 ADDRESS: 17938 WINDY CANYON LN, HOUSTON TX 77084, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

DESCRIPTION: RECEIVING RENEWAL COMMISSIONS FROM TRANSAMERICA GAP PLAN FOR "SID ACHARYA CARDIOLOGY PLLC" RELATED TO THEIR EMPLOYEE HEALTH INSURANCE PLAN WHICH I NO LONGER SERVICE.I ONLY RECEIVE THE RENEWAL COMMISSIONS FROM WHEN I WAS IN THE HEALTH BENEFITS BUSINESS

#### TOASTMASTERS MEMBERSHIP

POSITION: member and area director NATURE: Toastmasters is a nonprofit educational organization that builds confidence and teaches public speaking skills through a network of clubs that meet online and in person. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2006

ADDRESS: 17938 Windy Canyon Lane, Houston TX 77084, United States

DESCRIPTION: As a club member my role is to participate in club meetings including sometimes leading the meetings and giving speeches to learn and build public speaking skills. My role as area director is to mentor club members and club officers in a selected group of clubs here in Houston. I am also assisting club officers and member in organizing club and area speaking contests.



## 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	1

### 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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	A. G. EDWARDS & SONS, INC.
<b>Allegations:</b>	CLIENT ALLEGES CHURNING, UNAUTHORIZED AND UNSUITABLE INVESTMENTS. HE SEEKS COMPENSATORY DAMAGES IN THE AMOUNT OF \$73,273.
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	EQUITIES AND OPTIONS
<b>Alleged Damages:</b>	\$73,273.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/15/1999
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	06/15/1999

#### Settlement Amount:

Individual Contribution Amount:

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NYSE ARBITRATION; 1999-007808
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**Date Notice/Process Served:** 06/15/1999  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 03/12/2002  
**Monetary Compensation Amount:** \$5,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** A.G. EDWARDS & SONS INC

**Allegations:** CLIENT ALLEGES CHURNING, UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS. HE SEEKS COMPENSATORY DAMAGES IN THE AMOUNT OF \$73,273.

**Product Type:** Equity Listed (Common & Preferred Stock)  
**Other Product Type(s):** OPTIONS  
**Alleged Damages:** \$73,273.00

**Customer Complaint Information**

**Date Complaint Received:** 05/28/1999  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 03/01/2002  
**Settlement Amount:** \$0.00  
**Individual Contribution Amount:** \$0.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NYSE; 1999-007808  
**Date Notice/Process Served:** 06/15/1999  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 03/12/2002  
**Monetary Compensation Amount:** \$5,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** NOT PROVIDED  
NOT PROVIDED



## End of Report

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