



## IAPD Report

# LEE JULIAN BLACKWELL

CRD# 1592007

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

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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

### LEE JULIAN BLACKWELL (CRD# 1592007)

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 **03/27/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	01/02/2001
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	01/02/2001

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	JWGENESIS FINANCIAL GROUP, INC	38166	BOCA RATON, FL	01/04/1999 - 01/02/2001
B	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO	05/16/1991 - 01/04/1999
B	THOMAS JAMES ASSOCIATES, INC.	15609	ROCHESTER, NY	04/15/1987 - 05/08/1991

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

### DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	3



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

### Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**  
Main Address: ONE NORTH JEFFERSON AVENUE  
MAIL CODE: H0004-05E  
ST. LOUIS, MO 63103-2205  
Firm ID#: 11025

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	01/02/2001
<b>B</b>	FINRA	General Securities Principal	Approved	07/21/2021
<b>B</b>	Alabama	Agent	Approved	01/26/2015
<b>B</b>	Alaska	Agent	Approved	09/27/2013
<b>B</b>	Arizona	Agent	Approved	05/06/2013
<b>B</b>	Arkansas	Agent	Approved	01/04/2006
<b>B</b>	California	Agent	Approved	01/02/2001
<b>B</b>	Colorado	Agent	Approved	01/02/2001
<b>B</b>	Connecticut	Agent	Approved	01/02/2001
<b>B</b>	Delaware	Agent	Approved	05/17/2017
<b>B</b>	District of Columbia	Agent	Approved	10/18/2013
<b>B</b>	Florida	Agent	Approved	01/02/2001
<b>IA</b>	Florida	Investment Adviser Representative	Approved	01/02/2001



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Georgia	Agent	Approved	01/02/2001
<b>B</b> Hawaii	Agent	Approved	06/09/2023
<b>B</b> Idaho	Agent	Approved	09/01/2020
<b>B</b> Illinois	Agent	Approved	01/02/2001
<b>B</b> Indiana	Agent	Approved	01/02/2001
<b>B</b> Iowa	Agent	Approved	01/13/2020
<b>B</b> Kansas	Agent	Approved	09/11/2010
<b>B</b> Kentucky	Agent	Approved	01/02/2001
<b>B</b> Louisiana	Agent	Approved	07/15/2005
<b>B</b> Maine	Agent	Approved	11/13/2008
<b>B</b> Maryland	Agent	Approved	08/01/2007
<b>B</b> Massachusetts	Agent	Approved	06/01/2004
<b>B</b> Michigan	Agent	Approved	01/02/2001
<b>B</b> Minnesota	Agent	Approved	05/21/2013
<b>B</b> Mississippi	Agent	Approved	02/04/2022
<b>B</b> Missouri	Agent	Approved	09/26/2013
<b>B</b> Montana	Agent	Approved	05/28/2019
<b>B</b> Nebraska	Agent	Approved	06/27/2017
<b>B</b> Nevada	Agent	Approved	09/25/2017



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Hampshire	Agent	Approved	03/04/2013
<b>B</b> New Jersey	Agent	Approved	01/02/2001
<b>B</b> New Mexico	Agent	Approved	06/25/2019
<b>B</b> New York	Agent	Approved	01/02/2001
<b>B</b> North Carolina	Agent	Approved	01/02/2001
<b>B</b> North Dakota	Agent	Approved	10/12/2020
<b>B</b> Ohio	Agent	Approved	11/16/2006
<b>B</b> Oklahoma	Agent	Approved	01/21/2015
<b>B</b> Oregon	Agent	Approved	05/25/2016
<b>B</b> Pennsylvania	Agent	Approved	01/02/2001
<b>B</b> Puerto Rico	Agent	Approved	12/22/2008
<b>B</b> Rhode Island	Agent	Approved	05/08/2008
<b>B</b> South Carolina	Agent	Approved	09/26/2013
<b>B</b> South Dakota	Agent	Approved	10/28/2020
<b>B</b> Tennessee	Agent	Approved	04/05/2012
<b>B</b> Texas	Agent	Approved	01/02/2001
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	08/25/2016
<b>B</b> Utah	Agent	Approved	11/09/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Vermont	Agent	Approved	02/17/2022
<b>B</b> Virginia	Agent	Approved	01/02/2001
<b>B</b> Washington	Agent	Approved	07/03/2017
<b>B</b> West Virginia	Agent	Approved	10/07/2013
<b>B</b> Wisconsin	Agent	Approved	09/26/2013
<b>B</b> Wyoming	Agent	Approved	09/26/2013

### Branch Office Locations

**WELLS FARGO ADVISORS**  
7575 DR. PHILLIPS BLVD  
STE 100  
ORLANDO, FL 32819



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/28/2020

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/15/1986

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/01/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1988

### 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	01/04/1999 - 01/02/2001	JWGENESIS FINANCIAL GROUP, INC	CRD# 38166	BOCA RATON, FL
B	05/16/1991 - 01/04/1999	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE
B	04/15/1987 - 05/08/1991	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	ROCHESTER, 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
05/2009 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	ORLANDO, FL, 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.

PINE CREEK PARTNERS LLC, INV RELATED, ORLANDO, FL, 100% OWNER, START: 4/14/2008, 2 HOURS PER MONTH/2 DURING TRADING, DUTIES: FINET PRACTICE| SOUTH SHORES OCEANSIDE CONDO ASSOCIATION; NOT INV. RELATED; MELBOURNE BEACH,FL; BOARD MEMBER; START DATE 01/01/2025; NUMBER OF HOURS PER MONTH 1; NUMBER OF HOURS DURING TRADING 0; ATTENDING MEETINGS TO DISCUSS BUILDING MAINTENANCE, BUDGET, AND FUTURE UPGRADING PLANS.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

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

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

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

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

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

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

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



## DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	3

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT\*See FAQ #1\*

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 04/19/1991

**Docket/Case Number:** 1223-S-2/90

**Employing firm when activity occurred which led to the regulatory action:** THOMAS JAMES ASSOCIATES, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** Not Provided

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 04/19/1991

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** ON APRIL 19, 1991, FLORIDA ENTERED INTO A STIPULATION AND CONSENT/FINAL ORDER WITH RESPONDENT BALCKWELL.



RESPONDENT AGREES TO REIMBURSE THE DEPARTMENT \$500 FOR EXPENSES INCURRED IN THIS MATTER. ANY FUTURE REGISTRATION WILL BE SUBJECT TO RESTRICTIONS OUTLINED IN A REGISTRATION AGREEMENT.

**Regulator Statement** Not Provided

**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF FLORIDA, DIVISION OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 04/19/1991

**Docket/Case Number:** 1223-S-2/90

**Employing firm when activity occurred which led to the regulatory action:** THOMAS JAMES ASSOCIATES, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** ALLEGED TRADING IN SECURITIES WITHOUT BEING REGISTERED IN FLORIDA

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 04/19/1991

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** BLACKWELL ENTERED INTO A STIPULATION AND CONSENT AGREEMENT WITH THE DIVISION WHICH COMPELS BLACKWELL TO COMPLY WITH THE CONDITIONS OF THE AGREEMENT. THE STIPULATION AND CONSENT ORDER EXPIRED ON 6/7/93 WITHOUT INCIDENT.

**Broker Statement** Not Provided

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT\*See FAQ #1\*

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/07/1991

**Docket/Case Number:** 91.156.DOS



**Employing firm when activity occurred which led to the regulatory action:** CHATFIELD DEAN & CO., INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** ON 6-7-91, THE STATE OF FLORIDA APPROVED SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON OF CHATFIELD DEAN & CO., INC. PURSUANT TO AN AGREEMENT.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 06/07/1991

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** THE TERMS OF THE AGREEMENT PROVIDE, BUT ARE NOT LIMITED TO, THE FOLLOWING: BLACKWELL AGREES NOT TO ACT IN ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL CAPACITY IN CONNECTION WITH HIS EMPLOYMENT IN THE SECURITIES INDUSTRY. SUCH CONDITIONS WILL REMAIN IN EFFECT THROUGHOUT THE REGISTRATION WITH THIS FIRM OR UNTIL RELIEF IS OTHERWISE SOUGHT AND GRANTED. CONTACT FLORIDA AGENT REGISTRATION SECTION FOR FURTHER INFORMATION.

**Regulator Statement** Not Provided

**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF FLORIDA - DIVISION OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/07/1991

**Docket/Case Number:** 91.156.DOS

**Employing firm when activity occurred which led to the regulatory action:** CHATFIELD DEAN & CO., INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** ALLEGED TRADING IN SECURITIES WITHOUT BEING REGISTERED IN FLORIDA

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 06/07/1991

**Sanctions Ordered:**

**Other Sanctions Ordered:**



**Sanction Details:**

BLACKWELL ENTERED INTO A STIPULATION & CONSENT AGREEMENT WITH FLORIDA WHICH COMPELS BLACKWELL TO COMPLY WITH THE CONDITIONS OF THE AGREEMENT

**Broker Statement**

SEE ATTACHED AGREEMENT.



## 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Wells Fargo Advisors Financial Network, LLC
<b>Allegations:</b>	Claimant alleges that FA made unsuitable recommendations and misrepresented the income benefits of an IRA account.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$38,833.81

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	16-02299
<b>Date Notice/Process Served:</b>	08/10/2016
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	11/17/2017
<b>Monetary Compensation Amount:</b>	\$25,000.00
<b>Individual Contribution Amount:</b>	\$12,500.00
<b>Broker Statement</b>	This account was inherited from a prior FA who sold the product. The matter was settled for \$25,000.00 without any admission of wrongdoing, solely to avoid the costs and expenses of continued litigation and to terminate the arbitration. The current FA only contributed to a portion of this settlement.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	CHATFIELD DEAN & CO., INC.
<b>Allegations:</b>	EXECUTIONS-INCORRECT QUANTITY; ACCOUNT RELATED-ERRORS-CHARGES
<b>Product Type:</b>	
<b>Alleged Damages:</b>	

### Arbitration Information



**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #97-01310

**Date Notice/Process Served:** 04/22/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/08/1997

**Disposition Detail:** CASE IS CLOSED, SETTLED  
\*\* CASE SETTLED \*\*

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CHATFIELD DEAN & CO., INC.

**Allegations:** EXECUTIONS- INCORRECT QUANTITY ACCOUNT RELATED ERRORS/CHARGES. [CUSTOMER'S] ARE ASKING THAT 20,000 SHARES OF KLOC BE SOLD AT \$1.35 AS ORIGINALLY INSTRUCTED.

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOC. OF SECURITIES DEALERS; 97-01310

**Date Notice/Process Served:** 04/22/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/08/1997

**Monetary Compensation Amount:** \$15,000.00

**Individual Contribution Amount:**

**Broker Statement** THE [CUSTOMER'S] WITHDREW ALL CLAIMS AGAINST BLACKWELL AND CHATFIELD DEAN AND SETTLED THIS MATTER FOR \$15,000. MY ASSISTANT TOOK THE CALL, I WAS OUT OF OFFICE



AT THE TIME OF THE OFFER. I DISAGREE WITH THE FINDINGS.

### Disclosure 3 of 3

**Reporting Source:** Regulator  
**Employing firm when activities occurred which led to the complaint:** CHATFIELD DEAN & CO., INC.  
**Allegations:** MISREPRESENTATION; OMISSION OF FACTS  
**Product Type:**  
**Alleged Damages:** \$125,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #95-03866](#)  
**Date Notice/Process Served:** 08/30/1995  
**Arbitration Pending?** No  
**Disposition:** Other  
**Disposition Date:** 12/31/1996  
**Disposition Detail:** AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$50,000.00 JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** CHATFIELD DEAN & CO., INC.  
**Allegations:** CLAIMANT ALLEGED THAT MISREPRESENTATION WERE MADE TO HIM REGARDING A PUBLIC OFFERING OF A COMPANY IN WHICH HE BOUGHT PRIVATE PLACEMENTS SHARES. CLAIMANT SOUGHT TO RECOVER HIS ORIGINAL INVESTMENT OF 125,000  
**Product Type:**  
**Alleged Damages:** \$125,000.00

### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:**  
**Settlement Amount:**



**Individual Contribution  
Amount:**

**Arbitration Information**

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

[National Association of Securities Dealers, Inc.; 95-03866](#)

**Date Notice/Process Served:** 08/30/1995

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 12/31/1996

**Monetary Compensation  
Amount:** \$50,000.00

**Individual Contribution  
Amount:**

**Broker Statement**

RESPONDENTS CHATFIELD DEAN & BLACKWELL ARE FOUND  
LIABLE, JOINTLY & SEVERALLY AND SHALL PAY TO CLAIMANT THE AMOUNT  
OF \$50,000.  
I STILL MAINTAIN THAT NO IMPROPRIETY WAS TAKEN BY  
ME IN THIS MATTER.



## End of Report

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