



IAPD Report

CARMINE MANNA JR

CRD# 1626846

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

CARMINE MANNA JR (CRD# 1626846)

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 **08/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/08/2008
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	08/11/2008

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **34** 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
IA	RBC CAPITAL MARKETS CORPORATION	31194	WALNUT CREEK, CA	09/22/2005 - 08/21/2008
B	RBC CAPITAL MARKETS CORPORATION	31194	WALNUT CREEK, CA	03/09/2002 - 08/21/2008
B	SUTRO & CO. INCORPORATED	801	SAN FRANCISCO, CA	03/03/1994 - 03/09/2002

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	2



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 **34** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**
Main Address: 501 N BROADWAY
ST LOUIS, MO 63102
Firm ID#: 793

	Regulator	Registration	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/03/2026
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/03/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/03/2026
B	FINRA	General Securities Representative	Approved	08/08/2008
B	Investors' Exchange LLC	General Securities Representative	Approved	06/03/2026
B	NYSE American LLC	General Securities Representative	Approved	08/08/2008
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/03/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/03/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/08/2008
B	Nasdaq Stock Market	General Securities Representative	Approved	08/08/2008
B	New York Stock Exchange	General Securities Representative	Approved	08/08/2008
B	Alabama	Agent	Approved	10/04/2018
B	Alaska	Agent	Approved	08/28/2023



Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	06/13/2012
IA	Arizona	Investment Adviser Representative	Approved	01/04/2021
B	California	Agent	Approved	08/11/2008
IA	California	Investment Adviser Representative	Approved	08/11/2008
B	Colorado	Agent	Approved	09/04/2008
B	Connecticut	Agent	Approved	08/20/2026
B	Florida	Agent	Approved	08/23/2011
B	Georgia	Agent	Approved	11/15/2023
B	Hawaii	Agent	Approved	08/08/2008
B	Idaho	Agent	Approved	05/13/2019
B	Illinois	Agent	Approved	08/08/2008
B	Indiana	Agent	Approved	05/06/2025
B	Louisiana	Agent	Approved	08/02/2022
B	Maine	Agent	Approved	09/06/2023
B	Maryland	Agent	Approved	08/08/2008
B	Massachusetts	Agent	Approved	09/01/2011
B	Michigan	Agent	Approved	09/03/2008
B	Minnesota	Agent	Approved	08/08/2008
B	Missouri	Agent	Approved	08/08/2008



Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	08/08/2008
B	Nevada	Agent	Approved	08/08/2008
B	New Jersey	Agent	Approved	08/08/2008
B	New Mexico	Agent	Approved	11/04/2022
B	New York	Agent	Approved	08/08/2008
B	North Carolina	Agent	Approved	08/08/2008
B	Ohio	Agent	Approved	08/08/2008
B	Oregon	Agent	Approved	08/08/2008
B	Pennsylvania	Agent	Approved	11/08/2024
B	South Carolina	Agent	Approved	08/12/2008
B	Tennessee	Agent	Approved	02/06/2026
B	Texas	Agent	Approved	06/06/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	10/18/2017
B	Utah	Agent	Approved	05/05/2025
B	Virginia	Agent	Approved	02/24/2009
B	Washington	Agent	Approved	08/08/2008

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
500 YGNACIO VALLEY ROAD, SUITE 490
WALNUT CREEK, CA 94596

STIFEL, NICOLAUS & COMPANY, INCORPORATED
14850 NORTH SCOTTSDALE ROAD
SUITE 450
SCOTTSDALE, AZ 85254



Qualifications



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, 3 general industry/product exams, and 2 state securities law exams.

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
	Futures Managed Funds Examination (S31)	Series 31	12/11/2013
	General Securities Representative Examination (S7)	Series 7	02/21/1987

State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	09/20/2005
		Uniform Securities Agent State Law Examination (S63)	Series 63	03/18/1987

PROFESSIONAL DESIGNATIONS

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

No information reported.

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



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/22/2005 - 08/21/2008	RBC CAPITAL MARKETS CORPORATION	CRD# 31194	WALNUT CREEK, CA
B	03/09/2002 - 08/21/2008	RBC CAPITAL MARKETS CORPORATION	CRD# 31194	WALNUT CREEK, CA
B	03/03/1994 - 03/09/2002	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	02/26/1987 - 03/08/1994	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, 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
08/2008 - Present	STIFEL NICOLAUS	FINANCIAL ADVISOR	Y	WALNUT CREEK, 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. The Manna Family trust (rental property); 19475 Grayhawk Dr Scottsdale AZ 85255; rental property; owner; affiliation started 02/01/2013; 1.0 hour per year; not during securities trading hours; not investment-related.
2. Rotary Club of Scottsdale North; 8711 E. Pinnacle Peak Road, PMB 138, Scottsdale, AZ 85255; Service Club; Membership Chairperson; Liaison between new and prospective members and the club; 07/03/2023; 5 Hours per Month; Not during securities trading hours; Not Investment-Related



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	2

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: ILLINOIS SECURITIES DEPARTMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/24/1996

Docket/Case Number: 9600029

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: THE RESPONDENT'S SALESPERSON REGISTRATION IS SUBJECT TO REVOCATION DUE TO ENTRY OF DECISION BY THE NASD IN COMPLAINT #C01940013 WHICH SUSPENDED THE RESPONDENT FOR FIVE DAYS EFFECTING UNAUTHORIZED TRANSACTIONS IN A CUSTOMER ACCOUNT.

Current Status: Final

Resolution: Consent

Resolution Date: 07/24/1996

Sanctions Ordered: Censure
Suspension

**Other Sanctions Ordered:**

Sanction Details: NOTICE OF HEARING ISSUED APRIL 19, 1996 HEARING SET JUNE 5, 1996. CONSENT ORDER OF SUSPENSION AND CENSURE ISSUED JULY 24, 1996. THE RESPONDENTS REGISTRATION AS AN ILLINOIS SALESPERSON IS HEREBY SUSPENDED EFFECTIVE CONCURRENT WITH HIS SUSPENSION BY THE NASD FROM JANUARY 15, 1996 THROUGH JANUARY 19, 1996. THE RESPONDENT IS HEREBY CENSURED.

Regulator Statement CONTACT: 217-785-4940

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Reporting Source: Firm

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/24/1996

Docket/Case Number: 9600029

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 07/24/1996

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details:

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Reporting Source: Individual

Regulatory Action Initiated By: ILLINOIS SECURITIES DEPARTMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/24/1996

Docket/Case Number: 9600029



Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s): STOCKS

Allegations: MR. MANNA'S SALESPERSON REGISTRATION WAS SUBJECT TO REVOCATION DUE TO ENTRY OF DECISION BY THE NASD IN COMPLAINT #C01940013 WHICH SUSPENDED THE RESPONDENT FOR FIVE DAYS FOR EFFECTING UNAUTHORIZED TRANSACTIONS IN A CUSTOMER'S ACCOUNT.

Current Status: Final

Resolution: Consent

Resolution Date: 07/24/1996

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details: ON JULY 24, 1996, MR. MANNA ENTERED INTO A CONSENT ORDER WHEREBY HE WAS CENSURED AND SUSPENDED FOR A PERIOD OF FIVE DAYS EFFECTIVE CONCURRENTLY WITH HIS SUSPENSION BY THE NASD FROM JANUARY 15, 1996 THROUGH JANUARY 19, 1996. MR. MANNA ALSO AGREED TO PARTICIPATE IN A PROGRAM OF ENHANCED SUPERVISION WITH RESPECT TO CLIENTS DOMICILED WITHIN THE STATE OF ILLINOIS.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/27/1994

Docket/Case Number: C01940013

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 11/10/1995



Sanctions Ordered:
Censure
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement
COMPLAINT NO. C01940013 FILED APRIL 27, 1994 AGAINST RESPONDENT CARMINE MANNA, JR. ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 2 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MANNA EFFECTED THE PURCHASE OF SHARES OF STOCK IN THE ACCOUNTS OF TWO PUBLIC CUSTOMERS WITHOUT THEIR PRIOR KNOWLEDGE AND CONSENT.

DECISION RENDERED SEPTEMBER 26, 1995 WHEREIN RESPONDENT MANNA WAS CENSURED, FINED \$5,000, AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR FIVE BUSINESS DAYS. THE \$5,000 FINE WILL BE OFFSET BY THE \$23,008.81 THAT MANNA PAID TO HIS MEMBER FIRM TO COMPENSATE FOR ITS PAYMENTS TO TWO CUSTOMERS. IN ADDITION, RESPONDENT MANNA IS ASSESSED COSTS OF \$749.60. THE COMMITTEE FOUND THAT RESPONDENT MANNA EXERCISED DISCRETION IN ONE OF THE CUSTOMER'S ACCOUNTS AND THAT HE FAILED TO OBTAIN WRITTEN AUTHORITY FROM THE CUSTOMER AND APPROVAL OF HIS MEMBER FIRM. IF NO FURTHER ACTION, DECISION IS FINAL NOVEMBER 10, 1995.

NOVEMBER 10, 1995 - DECISION IS FINAL.

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS JANUARY 15, 1996 AND WILL CONCLUDE JANUARY 19, 1996.
*****\$749.60 PAID ON 12/18/95, INVOICE #95-01-781*****

Reporting Source: Firm
Regulatory Action Initiated By: NASD DISTRICT #1 Business Conduct Committee

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/27/1994

Docket/Case Number: C01940013

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: Alleged: Violation of Article II, Sections 1&2 of the Associations Rules of Fair Practice.

Current Status: Final



Resolution: Decision

Resolution Date: 11/10/1995

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: N/a

Firm Statement Contact: Lisa Waters(212)526-8604

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/27/1994

Docket/Case Number: C01940013

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: RESPONDENT WAS CHARGED WITH VIOLATIONS OF ARTICLE III, SECTION I AND 2 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE IN THAT HE ALLEGEDLY EFFECTED THE PURCHASE OF SHARE OF MICRON TECHNOLOGY INC IN THE ACCOUNTS OF TWO CUSTOMERS ON FEB 18, 1992 WITHOUT PRIOR KNOWLEDGE AND CONSENT OF THE CUSTOMERS.

Current Status: Final

Resolution: Decision

Resolution Date: 11/10/1995

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: RESPONDENT WAS CENSURED, FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR 5 BUSINESS DAYS, BEGINNING ON A DATE TO BE SET BY THE PRESIDENT OF THE ASSOCIATION. THE \$5,000 WILL BE OFFSET BY THE \$23,008.81 WHICH MANNA PAID TO LEHMAN BROTHERS FOR ITS PAYMENT TO THE TWO CUSTOMERS. MANNA WAS ALSO ASSESSED COSTS OF THE PROCEEDING IN THE AMOUNT OF \$749.60.



Broker Statement

Not Provided



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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED THE OVERPURCHASE OF 1,000 SHARES OF ELJER AND THE ALLEGED UNAUTHORIZED PURCHASE OF 1,000 SHARES OF MICRON TECHNOLOGY. LOSSES NOT SPECIFIED BUT BELIEVED TO BE IN EXCESS OF \$10,000.00

Product Type:

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 06/01/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$14,368.13

Individual Contribution Amount:

Broker Statement THIS MATTER WAS SETTLED FOR \$14,368.13 EC PAID ENTIRE AMOUNT OF THE SETTLEMENT.
Not Provided

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED UNAUTHORIZED PRUCHASE OF 1500 SHARES OF MICRON TECHNOLOGY ALLEGED DAMAGES \$10,875.00

Product Type:

Alleged Damages: \$10,875.00

Customer Complaint Information

Date Complaint Received: 03/24/1992

Complaint Pending? No



Status:	Settled
Status Date:	
Settlement Amount:	\$10,875.00
Individual Contribution Amount:	\$10,875.00
Broker Statement	CUSTOMER REIMBURSED FOR FULL VALUE OF THE PURCHASE. TRADE CANCELLED. FC WILL CONTRIBUTE \$10,875.00, WHICH IS THE TOTAL AMOUNT OF THE SETTLEMENT. CUSTOMER WROTE A LETTER OF COMPLAINT REGARDING AN UNAUTHORIZED TRADE IN MICRON. FC ADMITTED TO HAVING DONE SO INTENDING TO GIVE THE CUSTOMER A PROFITABLE TRADE. CUSTOMER HAS BEEN MADE WHOLE AND THE FC WILL CONTRIBUTE THE ENTIRE AMOUNT OF THE SETTLEMENT. FC OFFICIALLY REPRIMANDED.



End of Report

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