



IAPD Report

Robert Dwayne Williams

CRD# 1644431

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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

Robert Dwayne Williams (CRD# 1644431)

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 **11/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	03/24/1987
IA	EDWARD JONES	CRD# 250	03/02/2007

QUALIFICATIONS

This representative is currently registered in **4** 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
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No information reported.

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
Criminal	1
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 **24** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**
Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131
Firm ID#: 250

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/24/1987
B FINRA	General Securities Sales Supervisor	Approved	11/11/1997
B FINRA	General Securities Principal	Approved	12/22/2011
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B NYSE American LLC	General Securities Principal	Approved	12/22/2011
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Principal	Approved	12/22/2011
B New York Stock Exchange	General Securities Representative	Approved	03/24/1987
B New York Stock Exchange	General Securities Principal	Approved	12/22/2011
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	10/20/2020



Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	11/02/2001
B	Arkansas	Agent	Approved	12/08/2006
B	California	Agent	Approved	12/16/1993
B	Colorado	Agent	Approved	01/17/1996
B	Connecticut	Agent	Approved	02/18/1999
B	Florida	Agent	Approved	10/08/2001
B	Georgia	Agent	Approved	07/20/2001
B	Idaho	Agent	Approved	12/11/2006
B	Illinois	Agent	Approved	11/20/2002
B	Indiana	Agent	Approved	01/16/2024
B	Louisiana	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	11/17/2004
B	New Jersey	Agent	Approved	12/08/2006
B	New Mexico	Agent	Approved	07/17/1996
B	Ohio	Agent	Approved	01/05/2001
B	Oklahoma	Agent	Approved	03/03/1995
B	Tennessee	Agent	Approved	03/13/2018
B	Texas	Agent	Approved	07/08/1987
IA	Texas	Investment Adviser Representative	Approved	03/02/2007



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	10/07/2020
B Vermont	Agent	Approved	01/28/2019
B Virginia	Agent	Approved	02/01/2002
B Washington	Agent	Approved	08/29/2022
B Wisconsin	Agent	Approved	11/17/2004

Branch Office Locations

EDWARD JONES

515 W SOUTHLAKE BLVD STE 100
SOUTHLAKE, TX 76092



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 4 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Principal Examination (S24)	Series 24	12/21/2011
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/28/1997

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/21/1987

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	01/24/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1987

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:

No information reported.

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
11/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	IRVINE, 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.

PEE WEE FOOTBALL
BOARD MEMBER



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
Criminal	1
Customer Dispute	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual
Charge Date: 02/24/1985

Charge Details:

Felony?

Current Status: Final

Status Date: 04/25/1986

Broker Statement

ON FEBRUARY 24, 1985, WILLIAMS WAS CHARGED WITH "RECEIVING A TAKEN CREDIT CARD". WHILE IN COLLEGE, A GROUP OF FRIENDS HAD ACCESS TO SOME CREDIT CARDS THEY HAD ACQUIRED FROM ACQUAINTANCES OF THEIRS. THE NEXT EVENING THEY TRIED TO USE THE CARDS. WILLIAMS STATES THAT HE WAS THE ONLY ONE WHO DID NOT PURCHASE ANYTHING. SUBSEQUENTLY, HE WAS CHARGED WITH "RECEIVING" A TAKEN CREDIT CARD. THE CHARGES FOR WILLIAMS' FRIENDS WERE MORE SEVERE. HE WAS NOT CHARGED WITH TAKING THE CARD OR USING THE CARD. ON APRIL 25, 1986, THE CHARGE OF RECEIVING A TAKEN CREDIT CARD THAT WAS FILED ON FEBRUARY 28, 1985 WAS DISMISSED BECAUSE THE "DEFERRED SENTENCE EXPIRED". THE "ORDER DISMISSING CASE AND RECALLING WARRANT" FOR CRF- 85-1065 WAS ISSUED IN THE DISTRICT COURT IN AND FOR OKLAHOMA COUNTY, STATE OF OKLAHOMA.



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

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Edward Jones

Allegations: breach of contract; breach of fiduciary duty; and gross negligence.

Product Type: Insurance

Alleged Damages: \$174,567.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #12-02772](#)

Date Notice/Process Served: 07/30/2012

Arbitration Pending? No

Disposition: Award

Disposition Date: 10/10/2013

Disposition Detail: Respondent is jointly and severally liable for and shall pay to Claimant the sum of \$104,975.00 in compensatory damages.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: THE CLIENT HAS BEEN WITHDRAWING \$68,000.00 FROM HER SEP PLAN TO FUND A PROTECTIVE LIFE INSURANCE POLICY FOR HER GRANDSON, WHO HAS SPECIAL NEEDS. THE CLIENT MAKES A PREMIUM PAYMENT OF \$50,000.00 AND THE BALANCE OF THE \$18,000.00 IS USED TO PAY THE TAXES ON THIS WITHDRAWAL. THE PAYMENTS ARE REQUIRED FOR A PERIOD OF TEN YEARS. THE CLIENT ALLEGED THAT SHE ENCOUNTERED AN UNNECESSARY TAX LIABILITY IN 2010, BECAUSE HER SEP DISTRIBUTION WAS NOT MADE IN 2009 AS SHE REQUESTED. FROM AUGUST THROUGH DECEMBER 2009, THE CLIENT STATED THAT SHE MADE REPEATED REQUESTS VERBALLY AND IN WRITING TO HAVE THE SEP WITHDRAWAL TAKEN OUT TO MAKE THE PREMIUM PAYMENT. WHEN THE DISTRIBUTION WAS NOT MADE UNTIL 2010, THE CLIENT INCURRED TWO DISTRIBUTIONS FOR THE 2010 TAX YEAR. THIS CAUSED AN INCREASE IN HER TAX BRACKET FROM 28% TO 33%. ACCORDING TO HER CPA, THE CLIENT INCURRED ADDITIONAL TAXES OF \$8,823.00 FOR 2010
 ARBITRATION: CLAIMANT, WHO HOLDS A PHD IN COUNSELING AND ADMITS TO HAVING A THRIVING COUNSELING PRACTICE, CLAIMS THAT SHE



TRANSFERRED HER ACCOUNT TO MR. WILLIAMS IN 1998. SHE FURTHER CLAIMS THAT SHE PURCHASED A VARIABLE LIFE POLICY IN 2006 WHICH HAD A SCHEDULED PAYMENT OF POLICY PREMIUM TOTALING \$500,000 OVER 10 YEARS. THE CLAIMED PURPOSE OF THE POLICY WAS TO PROVIDE FOR THE NEEDS OF A DISABLED GRANDCHILD AFTER THE DEATH OF THE CLAIMANT. CLAIMANT SUBSEQUENTLY PAID THE POLICY PREMIUM BY WITHDRAWING FUNDS FROM HER SEP ACCOUNT TO WHICH SHE CLAIMS TO HAVE BEEN CONTRIBUTING \$45,000 PER YEAR. THE CLAIMANT FAILED TO MAKE HER REQUIRED PAYMENT IN 2009 AND IN 2010 MADE A DOUBLE PAYMENT INCURRING TAX PENALTIES OF APPROXIMATELY \$36,000. CLAIMANT CLAIMS THAT THE INVESTMENT WAS UNSUITABLE AND THE ACTIVITIES OF THE BROKER WERE NOT PROPERLY SUPERVISED. CLAIMANT CLAIMS TO HAVE SURRENDERED THE POLICY ON THE ADVICE OF HER NEW BROKER AT A DIFFERENT FIRM RESULTING IN INVESTMENT LOSSES OF \$104,975.

Product Type:	Insurance
Alleged Damages:	\$158,587.00
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT CLAIMED: \$158,587 PLUS PUNITIVE DAMAGES OF \$500,000, INTEREST, COSTS, ATTORNEY FEES, AN AWARD OF ATTORNEY FEES AND COSTS IN ADDITION TO DECLARATORY JUDGMENT.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/19/2011
Complaint Pending?	No
Status:	Denied
Status Date:	11/04/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: [12-02772](#)

Date Notice/Process Served: 09/04/2012

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/10/2013

Monetary Compensation Amount: \$104,975.00

Individual Contribution Amount: \$0.00



Broker Statement

THE FA AND THE REPRESENTATIVE FROM PROTECTIVE DISCUSSED THIS INSURANCE POLICY WITH THE CLIENT IN 2006. THE ILLUSTRATIONS PROPERLY DISCLOSED THE AMOUNT AND NUMBER OF PAYMENTS THAT WOULD BE MADE ON THE VUL POLICY. THE FA ADVISED THAT THE PREMIUMS COULD BE FUNDED FROM THE CLIENTS SEP IRA , IF THERE WERE NO OTHER FUNDS AVAILABLE. THE CLIENT AGREED WITH THIS STRATEGY AS SEVERAL PAYMENTS WERE DISTRIBUTED FROM HER SEP TO SATISFY THESE PREMIUM PAYMENTS. THIS INSURANCE CONTRACT WAS TO BE FOR THE BENEFIT OF THE CLIENT'S SPECIAL NEEDS GRANDSON, BUT WAS ALSO DESIGNED AS A RETIREMNT VEHICLE. ACCORDING TO THE ILLUSTRATION, THE CLIENT COULD WITHDRAW APPROXIMATELY \$60,000.00 PER YEAR COMMENCING AT AGE 75. THE CLIENT HAS MADE PAYMENTS ON THIS POLICY FOR THE PAST FIVE YEARS AND WAS WELL AWARE OF THE NUMBER OF PAYMENTS THAT HAD TO BE MADE ON THE POLICY. THE FA AND THE PROTECTIVE REPRESENTATIVE PROPERLY DISCLOSED THE COSTS AND WORKINGS OF THIS VUL CONTRACT. THE CLIENT'S CLAIM TO CANCEL THE CONTRACT AND TO RETURN ALL OF THE PREMIUM PAYMENTS WAS DENIED.

ARBITRATION AWARD - \$104,975.00 IN COMPENSATORY DAMAGES AWARDED JOINTLY AND SEVERALLY AGAINST EDWARD JONES AND MR. WILLIAMS; \$50,000.00 IN PUNITIVE DAMAGES, \$95,000.00 IN ATTORNEY'S FEES AND \$13,972.21 IN COSTS AWARDED AGAINST EDWARD JONES

Disclosure 2 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	EDWARD D. JONES & CO., LP
Allegations:	BREACH OF FIDUCIARY DUTY; NEGLIGENCE; FRAUD; CONSTRUCTIVE FRAUD;
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Alleged Damages:	\$46,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #03-01753
Date Notice/Process Served:	03/11/2003
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/12/2004
Disposition Detail:	SETTLED

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES



Allegations: CIVIL LITIGATION CASE DESCRIPTION: ALLEGATIONS OF BREACH OF FIDUCIARY DUTY, NEGLIGENCE, FAILURE TO SUPERVISE, FRAUD, AND CONSTRUCTIVE FRAUD IN PURCHASING AGGRESSIVE SECURITIES IN PLAINTIFF'S ACCOUNT, SUCH AS COMPAQ, WORLDCOM, LUCENT, AND AT&T BY USING MARGIN. (AMOUNT CLAIMED: \$46,000 COMPENSATORY PLUS UNSPECIFIED PUNITIVE DAMAGES, COSTS OF SUIT, AND ANY FURTHER RELIEF THE COURT DEEMS JUST AND PROPER). *****THIS DESCRIPTION ALSO APPLIES TO ARBITRATION FILED 3/4/03.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$46,000.00

Customer Complaint Information

Date Complaint Received: 10/22/2002

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date: 10/22/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD, CASE NO: 03-01753

Date Notice/Process Served: 03/04/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/13/2004

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: SUPERIOR COURT OF THE STATE OF CALIFORNIA, COUNTY OF ORANGE, CENTRAL JUSTICE CENTER CASE NO: 02CC16174

Date Notice/Process Served: 10/22/2002

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 04/17/2003

Broker Statement

CIVIL LITIGATION NOTE: STAYED PENDING ARBITRATION 2/6/03
*****CIVIL LITIGATION DISPOSITION: DISMISSED WITHOUT PREJUDICE AS TO DEFENDANT ROBERT WILLIAMS ON 4/17/03
*****PENDING ARBITRATION FILED 3/4/03*****ARBITRATION RESOLUTION: IR DISMISSED AS PART OF SETTLEMENT; EDWARD JONES SETTLED FOR \$25,000.

**Disclosure 3 of 3****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** EDWARD JONES**Allegations:** CLIENT STATES WHEN THE IR ASKED IF HE WAS INTERESTED IN PURCHASING CUST, HE REPLIED "YES, BUT LET'S TALK FIRST." SEVERAL DAYS LATER ON 9/8/99, THE CLIENT STATES THE IR LEFT A VOICE MAIL MESSAGE SAYING HE PURCHASED 5,000 SHARES OF CUST. CLIENT STATES HE DID NOT GIVE FINAL AUTHORIZATION FOR THE PURCHASE AND WISHES FOR THE TRADE TO BE RESCINDED. CLIENTS POSITION IS DOWN APPROXIMATELY \$19,000.**Product Type:** Equity - OTC**Alleged Damages:** \$19,000.00**Customer Complaint Information****Date Complaint Received:** 09/15/1999**Complaint Pending?** No**Status:** Denied**Status Date:** 09/29/1999**Settlement Amount:****Individual Contribution Amount:****Broker Statement** IR STATES CLIENT INITIALLY PLACED AN OPEN LIMIT ORDER TO PURCHASE 5,000 SHARES AT 32 7/8. IR STATES THEY AGREED TO RAISE THE PRICE OF THE OPEN ORDER TO 35 AS THE STOCK PRICE CONTINUED TO RISE. IR STATES HE CONFIRMED THAT THE CLIENT WISHED TO KEEP THE OPEN ORDER AT 35 ON 8/30. THE ORDER FILLED ON 9/8. CLAIM DENIED.



End of Report

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