User Guidance

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IAPD Report

MARK RICHARD LOFT

CRD# 1717679

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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

MARK RICHARD LOFT (CRD# 1717679)

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 **06/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/08/2024
IA	LPL FINANCIAL LLC	CRD# 6413	05/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	B. RILEY WEALTH ADVISORS, INC.	115927	Pepper Pike, OH	07/26/2022 - 05/09/2024
B	B. RILEY WEALTH MANAGEMENT	2543	Memphis, TN	08/20/2014 - 05/09/2024
IA	B RILEY WEALTH MANAGEMENT	2543	Pepper Pike, OH	08/20/2014 - 12/31/2022

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	1
Civil Event	1
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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/08/2024
B	Alabama	Agent	Approved	05/09/2024
B	Arkansas	Agent	Approved	05/08/2024
B	California	Agent	Approved	05/09/2024
B	Colorado	Agent	Approved	05/08/2024
B	Georgia	Agent	Approved	05/08/2024
B	Iowa	Agent	Approved	06/11/2026
B	Kentucky	Agent	Approved	05/08/2024
B	Michigan	Agent	Approved	05/08/2024
B	Mississippi	Agent	Approved	05/08/2024
B	Missouri	Agent	Approved	06/11/2026
B	Ohio	Agent	Approved	05/08/2024
IA	Ohio	Investment Adviser Representative	Approved	05/08/2024

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	05/09/2024
IA	Tennessee	Investment Adviser Representative	Approved	06/13/2024
B	Texas	Agent	Approved	05/08/2024
IA	Texas	Investment Adviser Representative	Approved	05/08/2024
B	Utah	Agent	Approved	09/29/2025

Branch Office Locations

LPL FINANCIAL LLC
PEPPER PIKE, OH

LPL FINANCIAL LLC
6815 POPLAR AVE STE 160
GERMANTOWN, TN 38138

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	08/13/1991
B	General Securities Representative Examination (S7)	Series 7	08/15/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/08/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/03/1987

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	07/26/2022 - 05/09/2024	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	Pepper Pike, OH
B	08/20/2014 - 05/09/2024	B. RILEY WEALTH MANAGEMENT	CRD# 2543	Memphis, TN
IA	08/20/2014 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	Pepper Pike, OH
IA	08/29/2006 - 09/02/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	MEMPHIS, TN
B	08/11/2006 - 09/02/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	MEMPHIS, TN
IA	04/08/2004 - 08/16/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	MEMPHIS, TN
B	09/11/1992 - 08/16/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	MEMPHIS, TN
B	08/31/1987 - 09/15/1992	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
05/2024 - Present	LPL FINANCIAL LLC	REGSITERED REPRESENTATIVE	Y	PEPPER PIKE, OH, United States
07/2022 - 04/2024	B. RILEY WEALTH ADVISORS, INC.	Investment Advisor	Y	Memphis, TN, United States
08/2014 - 04/2024	B. Riley Wealth Management	REGSITERED REPRESENTATIVE	Y	MEMPHIS, TN, 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) 05/2024 - Alia Wealth Partners - DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s) - 100hrs/month - 40% time spent

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	1
Civil Event	1
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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/30/1993
Docket/Case Number:	C05930079
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/06/1994
Sanctions Ordered:	Censure Monetary/Fine $17,500.00 Suspension
Other Sanctions Ordered:	

Sanction Details:

Regulator Statement

COMPLAINT NO. C05930079 FILED AUGUST 30, 1993 BY DISTRICT NO. 5 AGAINST MARK R. LOFT ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 2, 15(b), 18 AND 21 OF THE RULES OF FAIR PRACTICE IN THAT IN AN ATTEMPT TO CIRCUMVENT SALES CHARGES, RESPONDENT LOFT FALSIFIED PUBLIC CUSTOMERS' BIRTHDATES ON NEW ACCOUNT CARDS; KNOWINGLY PROVIDED FALSE AND MISLEADING INFORMATION IN CORRESPONDENCE SENT TO A PUBLIC CUSTOMER REGARDING THE CURRENT ANNUALIZED YIELD ON HIS PORTFOLIO; FAILED TO OBTAIN PRIOR APPROVAL FROM HIS MEMBER FIRM BEFORE TRANSMITTING THE WRITTEN INFORMATION TO THE PUBLIC CUSTOMER; RECOMMENDED AND ENGAGED IN PURCHASE AND SALE TRANSACTIONS IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT THE RECOMMENDATIONS AND RESULTANT TRANSACTIONS WERE SUITABLE FOR THE CUSTOMER ON THE BASIS OF HIS FINANCIAL SITUATION, INVESTMENT OBJECTIVES, AND NEEDS; AND, EXERCISED DISCRETION IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT HAVING OBTAINED PRIOR WRITTEN AUTHORIZATION FROM THE SUBJECT CUSTOMER AND PRIOR WRITTEN ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY BY HIS MEMBER FIRM.

ON JUNE 6, 1994, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT WAS ISSUED; THEREFORE, RESPONDENT LOFT IS CENSURED, FINED $17,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THREE WEEKS. THE COMMITTEE DISMISSED THE PORTION THE SECOND CAUSE OF COMPLAINT THAT ALLEGES VIOLATIONS OF SECTION 18 OF THE RULES OF FAIR PRACTICE IN THAT THEY DO NOT BELIEVE THAT RESPONDENT LOFT'S ACTIVITIES WERE FRAUDULENT.

NOTICE TO MEMBERS AUGUST 1994: THE SUSPENSION WILL COMMENCE AUGUST 15, 1994 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS SEPTEMBER 2, 1994.

$17,500.00 FULLY PAID AS OF 8/23/96, INVOICE #94-05-424

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. DBCC #5
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/30/1993
Docket/Case Number:	C05930079

Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	WHILE EMPLOYED WITH DEAN WITTER REYNOLDS, MR. LOFT IS ALLEGED TO HAVE FALSIFIED CUSTOMERS BIRTHDATES ON NEW ACCT. APPLICATION TO CIRCUMVENT THE SALES CAHRGES ASSOCIATED WITH LIQUIDATING MUTUAL FUNDS TO FACILITATE THE TRANSFER OF THE ACCOUNTS TO THE FC'S NEW FIRM. IT IS ALSO ALLEGED THAT MR. LOFT KNOWLINGLY PROVIDED FALSE AND MISLEADING INFORMATION IN CORRESPONDENCE SENT TO A CUSTOMER. ALSO,MR. LOFT IS ALLEGED TO HAVE ENGAGED IN EXCESSIVE AND UNSUITABLE TRANSACTIONS IN A CUSTOMERS ACCOUNTS AND USED DISCRETION WITHOUT WRITTEN AUTHORIZATION.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/06/1994
Sanctions Ordered:	Censure Monetary/Fine $17,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT MARK R. LOFT IS CENSURED, FINED IN THE AMOUNT OF $17,000.00 AND SUSPENDED FOR THREE WEEKS FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY, SAID SUSPENSION TO COMMENCE ON A DATE SET BY THE ASSOCIATION.
Broker Statement	Not Provided

Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	DEAN WITTER
Relief Sought:	
Other Relief Sought:	
Date Court Action Filed:	09/01/1992
Product Type:	
Other Product Types:	
Court Details:	101887-2
Employing firm when activity occurred which led to the action:	SALOMON SMITH BARNEY INC.
Allegations:	IN CONNECTION WITH MY LEAVING DEAN WITTER TO JOIN SMITH BARNEY, DEAN WITTER ALLEGED THAT I VIOLATED CERTAIN CONTRACTUAL, STATUTORY AND COMMON LAW DUTIES THAT I OWED TO IT AS MY FORMER EMPLOYER.
Current Status:	Final
Resolution:	Judgment Rendered
Resolution Date:	09/01/1992
Sanctions Ordered or Relief Granted:	
Other Sanctions:	
Sanction Details:	IN CONNECTION WITH THIS CIVIL LAWSUIT, DEAN WITTER OBTAINED AN EX-PARTE TEMPORARY RESTRAINING ORDER (TRO) ON 09-01-92 WHICH, INTER ALIA, ESSENTIALLY PRECLUDED ME FROM SOLICITING OR SERVICING MY CLIENTS. ON 09-08-92, THE TRO WAS MODIFIED IN MY FAVOR TO ALLOW ME TO SERVICE CERTAIN OF MY CLIENT ACCOUNTS PENDING THE COMMENCEMENT OF A NYSE ARBITRATION. ON 09-16-92, A PANEL OF NYSE ARBITRATORS DISSOLVED THE TRO IN ITS TOTALITY.
Broker Statement	THIS MATTER IS ESSENTIALLY A RECRUITMENT AND EMPLOYMENT-RELATED DISPUTE BETWEEN DEAN WITTER, MYSELF, AND MY

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:	Firm
Employing firm when activities occurred which led to the complaint:	DEAN WITTER REYNOLDS
Allegations:	ALLEGED THAT THE LIQUIDATION OF HER ACCOUNT IN ANTICIPATION OF A TRANSFER TO LOFT'S NEW FIRM, SMITH BARNEY WAS UNAUTHORIZED. DAMAGES ARE UNSPECIFIED.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	09/08/1992
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	New York Stock Exchange
Date Notice/Process Served:	
Arbitration Pending?	Yes
Firm Statement	NOT GIVEN SEE #9 UNDER DEAN WITTER COMPLAINT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DEAN WITTER REYNOLDS
Allegations:	ALLEGED UNAUTHORIZED LIQUIDATION OF A MUTUAL FUND; NO DAMAGES TO CLIENT.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	09/08/1992
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NEW YORK STOCK EXCHANGE
Date Notice/Process Served:	
Arbitration Pending?	Yes
Broker Statement	[BRANCH MANAGER], BRANCH MANAGER OF DEAN WITTER'S MEMPHIS OFFICE, ALLEGED THAT I LIQUIDATED SHARES OF CUSTOMER'S MUTUAL FUND WITHOUT HER APPROVAL. THE TRADE WAS, IN FACT, AUTHORIZED, BUT SHE LATER CHANGED HER MIND AND ASKED THAT THE SALE BE REVERSED. IT WAS - AT NO COST TO HER. [BRANCH MANAGER] LATER STATED IN A NYSE ARBITRATION THAT THE TRANSACTION WAS, INDEED, NOT UNAUTHORIZED. CUSTOMER HAS NO COMPLAINT AGAINST ME. SHE CONTINUES TO DO BUSINESS WITH ME.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	DEAN WITTER REYNOLDS, INC.
Allegations:	UNAUTHORIZED TRADING; MISREPRESENTATION; SUITABILITY; ACCOUNT RELATED-NEGLIGENCE
Product Type:	
Alleged Damages:	$72,400.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #92-03255
Date Notice/Process Served:	12/08/1992
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	11/10/1993
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $39,560.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN

DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FUL

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	DEAN WITTER REYNOLDS, INC.
Allegations:	SEE AMENDED U-5 PREVIOUSLY FILED 3/26/92
Product Type:	
Alleged Damages:	$72,400.00

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.; 92-03255
Date Notice/Process Served:	12/08/1992
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/10/1993
Monetary Compensation Amount:	$39,560.00
Individual Contribution Amount:	
Firm Statement	DWR AND LOFT JOINTLY AND SEVERALLY LIABLE TO CUSTOMER IN AMOUNT OF $39,560; CUSTOMER TO CONVEY OWNERSHIP INTEREST IN DW REALTY IV BACK TO DWR. NOT PROVIDED

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DEAN WITTER REYNOLDS, INC.
Allegations:	CHURNING, UNAUTHORIZED TRADING, LOSSES OF $34,400.
Product Type:	
Alleged Damages:	$72,400.00

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.; 92-03255
Date Notice/Process Served:	12/08/1992
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/10/1993
Monetary Compensation Amount:	$39,560.00
Individual Contribution Amount:	
Broker Statement	(1) NO RESPONSE FROM THE CUSTOMER AFTER BEING TOLD IN LETTER FORM THAT ALL ALLEGATIONS & CHARGES WERE BEING DENIED. (2) NO PENALTIES, JUDGEMENTS SUSPENSIONS, RESTRICTIONS, FINES, SETTLEMENTS, ETC. OF ANY KIND. Not Provided

End of Report

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