IAPD Report

JOHN ALBERT NOBILE

CRD# 1722346

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

JOHN ALBERT NOBILE (CRD# 1722346)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/12/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KOVACK SECURITIES INC.	CRD# 44848	09/09/2011
IA	KOVACK ADVISORS, INC.	CRD# 140808	09/05/2017

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **23** 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	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL	10/03/2003 - 09/09/2011
B	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, NY	12/11/1996 - 10/16/2003
B	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	06/28/1994 - 11/11/1996

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
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 **23** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KOVACK SECURITIES INC.**

Main Address: 6451 N. FEDERAL HWY.
SUITE 1201
FT. LAUDERDALE, FL 33308

Firm ID#: 44848

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/09/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	09/09/2011
B	Arizona	Agent	Approved	09/09/2011
B	California	Agent	Approved	09/09/2011
B	Colorado	Agent	Approved	09/09/2011
B	Connecticut	Agent	Approved	09/09/2011
B	Delaware	Agent	Approved	02/03/2019
B	District of Columbia	Agent	Approved	09/18/2024
B	Florida	Agent	Approved	09/09/2011
B	Georgia	Agent	Approved	01/13/2023
B	Kansas	Agent	Approved	09/09/2011
B	Massachusetts	Agent	Approved	09/09/2011
B	Michigan	Agent	Approved	09/09/2011

Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	12/15/2017
B	New Jersey	Agent	Approved	09/09/2011
B	New Mexico	Agent	Approved	09/09/2011
B	New York	Agent	Approved	09/09/2011
B	North Carolina	Agent	Approved	12/04/2013
B	Pennsylvania	Agent	Approved	09/09/2011
B	South Carolina	Agent	Approved	04/21/2016
B	Texas	Agent	Approved	09/09/2011
B	Utah	Agent	Approved	01/02/2018
B	Virgin Islands	Agent	Approved	02/06/2012
B	Virginia	Agent	Approved	09/09/2011
B	Wyoming	Agent	Approved	01/09/2019

Branch Office Locations

RK ADVISORS
2255 Glades Road
Suite 324A
Boca Raton, FL 33431

Employment 2 of 2

Firm Name:	**KOVACK ADVISORS, INC.**
Main Address:	6451 N. FEDERAL HWY SUITE 1201 FT. LAUDERDALE, FL 33308
Firm ID#:	140808

Qualifications

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/05/2017

Branch Office Locations

KOVACK ADVISORS, INC.
2255 GLADES ROAD
SUITE 319 A
Boca Raton, FL 33431

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
B	General Securities Principal Examination (S24)	Series 24	05/09/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/19/1987

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/17/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/07/1987

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
B	10/03/2003 - 09/09/2011	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
B	12/11/1996 - 10/16/2003	CONTINENTAL BROKER-DEALER CORP.	CRD# 14048	CARLE PLACE, NY
B	06/28/1994 - 11/11/1996	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	10/01/1991 - 06/13/1994	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	04/02/1990 - 09/30/1991	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	01/22/1990 - 04/09/1990	FAHNESTOCK & CO., INC.	CRD# 249	NEW YORK, NY
B	05/20/1988 - 02/21/1990	J. T. MORAN & CO., INC.	CRD# 15655	
B	09/22/1987 - 05/21/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	

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
09/2011 - Present	KOVACK SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	FT. LAUDERDALE, 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.

1) DELRAY FINANCIAL GROUP, LLC-EST. 5/4/11-(DBA) PRESIDENT/OWNER- 2255 GLADES ROAD, STE. 319A-BOCA RATON, FL- SECURITIES AND FIXED INCOME.- 80% OF TIME. COMPENSATED BY COMMISSION.
2) FIXED INSURANCE - 2255 GLADES ROAD, STE. 319A-BOCA RATON, FL; LIFE AND HEALTH INSURANCE; NON INVESTMENT RELATED; INSURANCE AGENT; SELLING INSURANCE; 20% OF TIME SPENT.
3) MARKETING OF SPORTS NUTRITION & SUPPLEMENTS - 1805 COPLEY PLACE, DELRAY BEACH, FL 33445; NON-INVESTMENT RELATED; OWNER; PLACING AD LINKS FOR PRODUCTS ON MY WEBSITE FOR SUPPLEMENTS; 10% OF 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
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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/21/2013
Docket/Case Number:	2012030487401
Employing firm when activity occurred which led to the regulatory action:	KOVACK SECURITIES, INC.
Product Type:	CD Promissory Note Other: UNSPECIFIED SECURITIES
Allegations:	FINRA RULE 2010, NASD RULE 2210(B)(1)(A), 2210(D)(1)(A), 2210(D)(1)(B), 2711(H)(13), AND INTERPRETATIVE MATERIAL 2210-1: NOBILE, WHILE ASSOCIATED WITH A MEMBER FIRM, SENT ON A NEAR DAILY BASIS A TARGETED EMAIL BLAST COMMUNICATION, TO RETAIL CUSTOMERS AND POTENTIAL CUSTOMERS, WHICH WERE BUSINESS-RELATED WRITTEN COMMUNICATIONS THAT CONSTITUTED CORRESPONDENCE AND SALES LITERATURE, AND INCLUDED THIRD-PARTY RESEARCH AND RECOMMENDATIONS TO PURCHASE AND SELL SECURITIES (WRITTEN COMMUNICATIONS). NOBILE DID NOT HAVE PRIOR APPROVAL BY A REGISTERED PRINCIPAL OF HIS FIRM BEFORE HE DISTRIBUTED HIS WRITTEN COMMUNICATIONS. CERTAIN OF NOBILE'S WRITTEN COMMUNICATIONS FAILED TO COMPLY WITH THE REQUIREMENTS FOR DISSEMINATION AND USE OF THIRD-PARTY RESEARCH REPORTS BY NOT HAVING APPROVAL OF THE THIRD-

	PARTY RESEARCH BY SIGNATURE OR INITIAL OF A FIRM REGISTERED PRINCIPAL. NOBILE'S WRITTEN COMMUNICATIONS PRESENTED OVERSIMPLIFIED CLAIMS WHICH OMITTED MATERIAL INFORMATION. CERTAIN OF NOBILE'S WRITTEN COMMUNICATIONS ON INVESTING IN SHARES OF STOCK FAILED TO DISCLOSE, WHERE APPLICABLE UNDER INTERPRETATIVE MATERIAL 2210-1(6), THAT: AT THE TIME THE SALES LITERATURE WAS PUBLISHED, THE MEMBER WAS MAKING A MARKET IN THE SECURITIES BEING RECOMMENDED, OR IN THE UNDERLYING SECURITY IF THE RECOMMENDED SECURITY IS AN OPTION OR SECURITY FUTURE, OR THAT THE MEMBER OR ASSOCIATED PERSONS WILL SELL TO OR BUY FROM CUSTOMERS ON A PRINCIPAL BASIS; THAT THE MEMBER AND/OR ITS OFFICERS OR PARTNERS HAVE A FINANCIAL INTEREST IN ANY OF THE SECURITIES OF THE ISSUER WHOSE SECURITIES ARE RECOMMENDED, AND THE NATURE OF THE FINANCIAL INTEREST (INCLUDING, WITHOUT LIMITATION, WHETHER IT CONSISTS OF ANY OPTION, RIGHT, WARRANT, FUTURE, LONG OR SHORT POSITION), UNLESS THE EXTENT OF THE FINANCIAL INTEREST IS NOMINAL; AND THAT THE MEMBER WAS MANAGER OR CO-MANAGER OF A PUBLIC OFFERING OF ANY SECURITIES OF THE RECOMMENDED ISSUER WITHIN THE PAST TWELVE MONTHS. CERTAIN OF NOBILE'S WRITTEN COMMUNICATIONS, AMONG OTHERS, FAILED TO PROVIDE A SOUND BASIS FOR EVALUATING THE FACTS. CERTAIN OF NOBILE'S WRITTEN COMMUNICATIONS, AMONG OTHERS, CONTAINED EXAGGERATED, UNWARRANTED OR MISLEADING STATEMENTS OR CLAIMS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/21/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	11/18/2013

End Date:	12/02/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/30/2013
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, NOBILE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED $10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM NOVEMBER 18, 2013, THROUGH DECEMBER 2, 2013. FINE PAID IN FULL 10/30/13.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	10/21/2013
Docket/Case Number:	2012030487401
Employing firm when activity occurred which led to the regulatory action:	KOVACK SECURITIES, INC.
Product Type:	No Product
Allegations:	VIOLATIONS OF FINRA RULE 2210, NASD RULES 2210 AND 2711, AND NASD IM 2210-1 ARE ALLEGED.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/21/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension

Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	TEN BUSINESS DAYS
Start Date:	11/18/2013
End Date:	12/02/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	PAYMENT OF FULL AMOUNT
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	IN 2012 FINRA CONDUCTED ITS ROUTINE AUDIT OF MY BROKER DEALER, AND IN THE PROCESS ALSO PERFORMED REGIONAL BRANCH OFFICE AUDITS OF WHICH MY OFFICE WAS INCLUDED. AFTER AN EXTENSIVE EXAM REVIEW OF ALL RELEVANT INDUSTRY BOOKS AND RECORDS REQUIREMENTS, FINRA DETERMINED THAT SOME OF THE E-MAILS WHICH I SENT DID NOT HAVE THE FIRM'S APPROVAL. AT THE TIME, I BELIEVED THESE COMMUNICATIONS WERE SIMPLY PROVIDING VARIOUS INVESTMENT OPPORTUNITIES FOR GENERAL INFORMATIONAL PURPOSES ONLY. THERE WAS NEVER ANY INTENT TO VIOLATE FINRA COMMUNICATION RULES IN PARTICULAR RULE 2210. AT THE CONCLUSION OF ITS EXAM, FINRA REQUESTED THAT I AGREE WITH AN ACCEPTANCE, WAIVER & CONSENT (AWC). IN THE INTEREST OF TIME SO THAT I COULD CONTINUE SERVICING MY CLIENT'S NEEDS WITHOUT DISTRACTION AND ON THE ADVICE OF COUNSEL IN ORDER TO AVOID THE EXTREMELY HIGH LEGAL COSTS TO DISPUTE FINRA, I AGREED TO THE AWC. AS A MATTER OF CLARIFICATION THE AWC RECOGNIZES THAT I AM NOT ADMITTING TO THE ALLEGATIONS AND THAT I AM FREE TO DISPUTE THESE ALLEGATIONS IN ANY PROCEEDING IN WHICH FINRA IS NOT A PARTY. ADDITIONALLY, SOME OF THE LANGUAGE CONTAINED IN THE AWC WAS NOT APPLICABLE TO ITS FINDINGS. THERE IS REFERENCE TO MARKET MAKING WHICH THE FIRM DOES NOT ENGAGE IN. FINALLY, IT IS IMPORTANT TO NOTE THAT NEITHER THE FIRM NOR I HAD ANY FINANCIAL INTEREST IN ANY OF THE SECURITIES THAT WERE REFERRED IN THE E-MAIL COMMUNICATIONS.

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:	CONTINENTAL BROKER DEALER CORP
Allegations:	ALLEGATIONS OF POOR PERFORMANCE, ACTIVITY DATE 02/24/1998
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$6,000.00

Customer Complaint Information

Date Complaint Received:	07/24/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/17/2001
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CONTINENTAL BROKER DEALER CORP
Allegations:	ALLEGATIONS OF UNAUTHORIZED TRADING; ACTIVITY DATE 02/03/03
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$13,910.00

Customer Complaint Information

Date Complaint Received:	06/03/2003
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/19/2003
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CONTINENTAL BROKER DEALER CORP
Allegations:	UNAUTHORIZED TRADING; ACTIVITY DATE 02/03/03
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$13,910.00

Customer Complaint Information

Date Complaint Received:	06/03/2003
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/19/2003
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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