



IAPD Report

CHARLES JOSEPH LAROCCO JR

CRD# 1736777

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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

CHARLES JOSEPH LAROCCO JR (CRD# 1736777)

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 **07/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	CADARET GRANT & CO INC	10641	Penfield, NY	05/04/2021 - 07/10/2025
B	CADARET, GRANT & CO., INC.	10641	Penfield, NY	04/12/2004 - 07/10/2025
B	MCDONALD INVESTMENTS INC.	566	CLEVELAND, OH	05/14/1999 - 04/01/2004

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
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 **22** 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	07/10/2025
B	Alabama	Agent	Approved	07/10/2025
B	Arizona	Agent	Approved	07/10/2025
B	California	Agent	Approved	07/10/2025
B	Connecticut	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	07/11/2025
IA	Florida	Investment Adviser Representative	Approved	07/11/2025
B	Maine	Agent	Approved	07/10/2025
B	Maryland	Agent	Approved	07/10/2025
B	Massachusetts	Agent	Approved	07/10/2025
B	Nevada	Agent	Approved	07/10/2025
B	New Hampshire	Agent	Approved	07/10/2025
B	New Jersey	Agent	Approved	07/10/2025



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	07/10/2025
IA New York	Investment Adviser Representative	Approved	07/10/2025
B North Carolina	Agent	Approved	07/10/2025
B Ohio	Agent	Approved	07/10/2025
B Oklahoma	Agent	Approved	07/10/2025
B Pennsylvania	Agent	Approved	07/10/2025
B South Carolina	Agent	Approved	07/10/2025
B Texas	Agent	Approved	07/10/2025
B Utah	Agent	Approved	07/10/2025
B Vermont	Agent	Approved	07/10/2025
B Virginia	Agent	Approved	07/10/2025
B Wisconsin	Agent	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
2081 SE OCEAN BLVD #303
STUART, FL 34996

LPL FINANCIAL LLC
441 PENBROOKE DR SUITE 5
PENFIELD, NY 14526



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, 2 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
General Securities Representative Examination (S7)	Series 7	10/17/1987

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	03/26/2024
Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/04/2021 - 07/10/2025	CADARET GRANT & CO INC	CRD# 10641	Penfield, NY
B	04/12/2004 - 07/10/2025	CADARET, GRANT & CO., INC.	CRD# 10641	Penfield, NY
B	05/14/1999 - 04/01/2004	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	05/02/1995 - 05/14/1999	KEY INVESTMENTS INC.	CRD# 15873	CLEVELAND, OH
B	05/01/1995 - 05/02/1995	M&T SECURITIES, INC.	CRD# 17358	BALTIMORE, MD
B	11/11/1992 - 05/01/1995	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	04/13/1992 - 11/13/1992	PMG SECURITIES CORPORATION	CRD# 27107	ELGIN, IL
B	06/11/1990 - 08/22/1991	MONY SECURITIES CORP.	CRD# 4386	NEW YORK, NY
B	06/11/1990 - 10/15/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	NEW YORK, NY
B	09/27/1989 - 04/25/1990	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	09/27/1989 - 04/25/1990	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	03/29/1989 - 08/22/1989	PRINCETON FINANCIAL GROUP, INC.	CRD# 14597	
B	10/21/1987 - 02/28/1989	POWER SECURITIES CORPORATION	CRD# 15527	

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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Penfield, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2016 - 07/2025	Cadaret, Grant & Co., Inc.	Reg. Rep.	Y	Stuart, FL, United States
01/2016 - 07/2025	Commonwealth Financial Group	Advisor	Y	Stuart, FL, United States
04/2004 - 07/2025	Cadaret, Grant & Co., Inc.	Reg. Rep.	Y	Penfield, NY, United States
04/2004 - 07/2025	Commonwealth Financial Group	Advisor	Y	Penfield, NY, 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.

- 07/2025 - Charles LaRocco - Non-Variable Insurance - Stuart, FL - INV REL - Start Date 11/03/1987 - 4hrs/mth | 4hrs during trading
- 07/2025 - Sandra Ocque Meadows Trust B Charles J LaRocco Jr. Trustee - Act in a Fiduciary Capacity - Stuart, FL - NOT INV REL - Start Date 04/06/2006 - 20hrs/mth | 20hrs during trading
- 07/2025 - CKENA5 HOLDINGS LLC - Real Estate Rental - Stuart, FL - INV REL - Start Date 04/04/2019 - 20hrs/mth | 0hrs during trading
- 07/2025 - CFG MONEY DOCS - Radio/ TV/ Podcast - Stuart, FL - INV REL - Start Date 03/13/2008 - 8hrs/mth | 0hrs during trading
- 07/2025 - Mony Doc Inc FL - Business Entity For Tax/Investment Purposes Only - Stuart, FL - NOT INV REL - Start Date 01/01/2024 - 40hrs/mth | 35hrs during trading
- 07/2025 - CFG The Money Docs - DBA for LPL Business (entity for LPL business) - Stuart, FL - INV REL - Start Date 01/01/2025 - 160hrs/mth | 140hrs during trading
- 07/2025 - Wesley Donald Meadows Trust B Charles J LaRocco Jr. Trustee - Act in a Fiduciary Capacity - Stuart, FL - NOT INV REL - Start Date 04/06/2006 - 20hrs/mth | 20hrs during trading



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
Criminal	1
Customer Dispute	3

Regulatory Event

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

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	10/24/1988
Docket/Case Number:	88-176
Employing firm when activity occurred which led to the regulatory action:	POWER SECURITIES
Product Type:	No Product
Other Product Type(s):	
Allegations:	PETIT LARCENY CONVICTION SECTION 8.E(1)(A) OF THE ILLINOIS SECURITIES LAW OF 1953, AS AMENDED.
Current Status:	Final
Resolution:	Order
Resolution Date:	12/22/1988
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	N/A



Sanction Details:	N/A
Regulator Statement	<p>A NOTICE OF HEARING WAS ISSUED AGAINST RESPONDENT CHARLES JOSEPH LAROCCO, JR., SEEKING DENIAL OF SALESPERSON REGISTRATION BASED UPON A PETIT LARCENY CONVICTION SECTION 8.E(1)(A) OF THE ILLINOIS SECURITIES LAW OF 1953, AS AMENDED. DOCKET/CASE NO. 88-176, DATED OCTOBER 24, 1988.</p> <p>AN ORDER OF DENIAL WAS ENTERED DECEMBER 22, 1988, DENYING LAROCCO'S APPLICATION FOR SALESPERSON REGISTRATION IN ILLINOIS BASED UPON A CRIMINAL CONVICTION. AUTHORITY: SECTION 8E(1)(A) ILLINOIS REVISED STATUTES OF 1953, AS AMENDED. DOCKET/CASE NO. 88-176, DATED DECEMBER 22, 1988.</p> <p>.....</p>
Reporting Source:	Individual
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Denial
Date Initiated:	10/24/1988
Docket/Case Number:	88-176
Employing firm when activity occurred which led to the regulatory action:	POWER SECURITIES
Product Type:	No Product
Allegations:	Illinois denied my registration due to the criminal charge I had before I became a registered rep. This should have never happened because Power Securities stated to me that they had withdrawn my registration from Illinois (which they never did) thus I never attended the hearing and my licensed was denied. I was subsequently licensed in Illinois.
Current Status:	Final
Resolution:	Order
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:	12/22/1988
Sanctions Ordered:	Denial
Broker Statement	<p>My registration was denied in Illinois because Power Securities failed to withdraw my registration. This denial was based on a criminal conviction I had in 1987 (before I became a registered rep.) My denial had nothing to do with my investment practices as a registered rep. I WAS SUBSEQUENTLY LICENSED IN ILLINOIS.</p>



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
Formal Charges were brought in:	City Court
Name of Court:	City Court
Location of Court:	Rochester, New York
Docket/Case #:	#016510 - #01654D
Charge Date:	07/02/1987
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Grand Larceny - 3rd degree
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	10/15/1987
Charge was Amended or reduced to:	Reduced to misdemeanor petit larceny.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Pled Guilty to reduced charge.
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	10/15/1987
Disposition Date:	10/15/1987
Sentence/Penalty:	Received one year conditional discharge from the guilty plea 10/15/1987 to 10/15/1988.
Broker Statement	I PLEAD GUILTY TO A MISDEMEANOR. I WAS NEVER FORMALLY CHARGED WITH A FELONY AS THE GRAND JURY DID NOT ACT TO INDICT ME. ON OCTOBER 15TH, 1987 MY FINAL DISPOSITION WAS A CONDITIONAL DISCHARGE (ONE YEAR). I WAS NEVER INCARCERATED, NOR WAS I EVER PLACED ON PROBATION ANYTIME BEFORE OR AFTER MY DISPOSITION. *** COPY OF DISPOSITION (1324-13490) ATTACHED. Received State of New York Certificate of Relief from Disabilities on 10/30/2007.



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: Firm

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: SUITABILITY, FAILURE TO FOLLOW INSTRUCTIONS

Product Type: Equity - OTC

Alleged Damages: \$148,831.00

Customer Complaint Information

Date Complaint Received: 06/15/2004

Complaint Pending? No

Status: Settled

Status Date: 10/15/2004

Settlement Amount: \$25,063.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS

Allegations: SUITABILITY - ACCORDING TO MCDONALD INVESTMENTS. I HAVE NOT SEEN COMPLAINT.

Product Type: Equity-OTC

Alleged Damages: \$148,831.00

Alleged Damages Amount Explanation (if amount not exact): According to DRP filed by McDonald.

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: 06/15/2004

Complaint Pending? No



Status: Settled

Status Date: 10/15/2004

Settlement Amount: \$25,063.00

Individual Contribution Amount: \$0.00

Broker Statement I deny any and all allegations of wrongdoing in relation to this matter. The broker-dealer did not notify me, nor was I consulted in any way regarding this matter prior to settlement. I had left the broker-dealer months prior. I was never provided any information about this or any other complaint and believe it involved a different advisor. The broker-dealer did not request contribution nor did I contribute to the settlement payment.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: ALLEGES BREACH OF CONTRACT, FEDERAL SECURITIES FRAUD, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, BREACH OF NYSE AND NASD RULES AND NEGLIGENCE IN CONNECTION WITH HIS IRA ACCOUNT FROM 9/1999 - 9/2003.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$453,225.02

Customer Complaint Information

Date Complaint Received: 09/17/2004

Complaint Pending? No

Status: Settled

Status Date: 06/05/2006

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE 2004-015694

Date Notice/Process Served: 09/14/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/05/2006

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS

Allegations: UNKNOWN - WE HAVE YET TO RECEIVE A COPY OF THE STATEMENT OF CLAIM FROM MCDONALD INVESTMENTS NOR ANY OTHER SOURCE. FURTHER RESPONSE WILL BE MADE WHEN DOCUMENTATION IS OBTAINED. FORM U5 ALLEGES BREACH OF CONTRACT, FIDUCIARY DUTY, NYSE, NASD RULES.

Product Type: Other: product unknown

Alleged Damages: \$453,225.02

Alleged Damages Amount Explanation (if amount not exact): According to DRP filed by McDonald.

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/15/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 2004-015694

Date Notice/Process Served: 09/14/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/05/2006

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement I deny any and all allegations of wrongdoing in relation to this matter. The broker-dealer did not notify me, nor was I consulted in any way regarding this matter prior to settlement. I had left the broker-dealer months prior. I was never provided any information about this or any other complaint. The broker-dealer did not request contribution nor did I contribute to the settlement payment.



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MCDONALD INVESTMENTS INC.
Allegations:	CUSTOMER ALLEGED THAT UNSUITABLE INVESTMENTS WERE PURCHASED FOR CUSTOMER'S ACCOUNT.
Product Type:	Other: product type unknown
Alleged Damages:	\$562,936.14
Alleged Damages Amount Explanation (if amount not exact):	Information taken from DRP filed by McDonald.
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:	03/07/2003
Complaint Pending?	No
Status:	Settled
Status Date:	10/22/2003
Settlement Amount:	\$55,000.00
Individual Contribution Amount:	\$0.00

Broker Statement I deny any and all allegations of wrongdoing in relation to this matter. The broker-dealer did not notify me, nor was I consulted in any way regarding this matter prior to settlement. I had left the broker-dealer months prior. I was never provided any information about this or any other complaint. The broker-dealer did not request contribution nor did I contribute to the settlement payment.



End of Report

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