



IAPD Report

JOHN EDWARD SHRYACK

CRD# 1785131

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JOHN EDWARD SHRYACK (CRD# 1785131)

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 **01/15/2019**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	JS WEALTH INVESTMENT GROUP	CRD# 164184	08/10/2012

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	MILKIE/FERGUSON INVESTMENTS, INC.	17606	DALLAS, TX	08/17/2011 - 06/26/2012
B	MILKIE/FERGUSON INVESTMENTS, INC.	17606	DALLAS, TX	06/17/2008 - 06/26/2012
B	FOX & COMPANY INVESTMENTS INC.	18517	DALLAS, TX	12/12/1996 - 06/17/2008

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	4
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JS WEALTH INVESTMENT GROUP**
Main Address: DALLAS, TX
Firm ID#: 164184

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	08/10/2012

Branch Office Locations

JS WEALTH INVESTMENT GROUP
DALLAS, TX



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 2 principal/supervisory exams, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/14/1993
Registered Options Principal Examination (S4)	Series 4	06/05/1990

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	07/23/1996

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/2010
Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1989

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	08/17/2011 - 06/26/2012	MILKIE/FERGUSON INVESTMENTS, INC.	CRD# 17606	DALLAS, TX
B	06/17/2008 - 06/26/2012	MILKIE/FERGUSON INVESTMENTS, INC.	CRD# 17606	DALLAS, TX
B	12/12/1996 - 06/17/2008	FOX & COMPANY INVESTMENTS INC.	CRD# 18517	DALLAS, TX
B	09/21/1995 - 11/21/1996	BARRON CHASE SECURITIES, INC.	CRD# 18969	BOCA RATON, FL
B	02/17/1994 - 09/20/1995	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	06/21/1993 - 02/24/1994	REYNOLDS KENDRICK STRATTON, INC.	CRD# 10414	
B	04/19/1991 - 06/22/1993	CHELSEA STREET SECURITIES, INC.	CRD# 17548	
B	11/12/1990 - 04/23/1991	WHALE SECURITIES CO., L.P.	CRD# 13516	NEW YORK, NY
B	03/15/1989 - 11/12/1990	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	DENVER, CO
B	01/01/1988 - 02/08/1989	CRT GOVERNMENT SECURITIES, LTD.	CRD# 19774	

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
06/2012 - Present	JS WEALTH INVESTMENT GROUP	ADVISOR	Y	DALLAS, TX, United States



Registration & Employment History



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.

No information reported.



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	4
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 4

Reporting Source: Regulator

Regulatory Action Initiated By: TEXAS

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: NO OTHER SANCTIONS.

Date Initiated: 07/17/2008

Docket/Case Number: IC08-SUS-06

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

Product Type: Other

Other Product Type(s):

Allegations: ON OR ABOUT JANUARY 28, 1997, AND AS A CONDITION OF THE SECURITIES COMMISSIONER APPROVING JOHN EDWARD SHRYACK'S ("RESPONDENT") APPLICATION FOR REGISTRATION WITH FOX & COMPANY, RESPONDENT ENTERED INTO AN AGREEMENT, OR "UNDERTAKING", WITH THE SECURITIES COMMISSIONER. THE UNDERTAKING LISTED SPECIFIC RESTRICTIONS ON RESPONDENT'S ACTIVITIES, INCLUDING AN AGREEMENT BY THE RESPONDENT THAT HE WOULD "NOT ACT IN ANY SUPERVISORY CAPACITY". FROM DECEMBER 2005 TO OCTOBER 2006, RESPONDENT ACTED IN A SUPERVISORY CAPACITY FOR FOX & COMPANY AS THE BRANCH MANAGER OF A TEXAS BRANCH OFFICE OF FOX & COMPANY. RESPONDENT MISTAKENLY BELIEVED THE UNDERTAKING HAD EXPIRED. RESPONDENT'S ACTIVIITY AS A BRANCH MANAGER FOR FOX &



COMPANY FROM DECEMBER 2005 TO OCTOBER 2006 WAS A VIOLATION OF A PROVISION OF AN UNDERTAKING WITH THE SECURITIES COMMISSIONER.

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: 07/17/2008

Sanctions Ordered: Suspension

Other Sanctions Ordered: NO OTHER SANCTIONS FOLLOW.

Sanction Details: JOHN EDWARD SHRYACK WILL BE SUSPENDED FOR FIVE BUSINESS DAYS FROM THE DATE THE ORDER WAS SIGNED.

Reporting Source: Individual

Regulatory Action Initiated By: TEXAS

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: NO OTHER SANCTIONS

Date Initiated: 07/17/2008

Docket/Case Number: IC08-SUS-06

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

Product Type: Other

Other Product Type(s):

Allegations: ON OR ABOUT JANUARY 28, 1997, AND AS A CONDITION OF THE SECURITIES COMMISSIONER APPROVING JOHN EDWARD SHRYACKS (RESPONDENT) APPLICATION FOR REGISTRATION WITH FOX & COMPANY, RESPONDENT ENTERED INTO AN AGREEMENT OR "UNDERTAKING" WITH THE SECURITIES COMMISSIONER. THE UNDERTAKING LISTED SPECIFIC RESTRICTIONS ON RESPONDENTS ACTIVITIES, INCLUDING AN AGREEMENT BY THE RESPONDENT THAT HE WOULD "NOT ACT IN ANY SUPERVISORY CAPACITY". FROM DECEMBER 2005 TO OCTOBER 2006, RESPONDENT ACTED IN A SUPERVISORY CAPACITY FOR FOX & COMPANY AS THE BRANCH MANAGER OF A TEXAS BRANCH OFFICE OF FOX & COMPANY, RESPONDENT MISTAKENLY BELIEVED THE UNDERTAKING HAD EXPIRED. RESPONDENTS ACTIVITIES AS A BRANCH MANAGER FOR FOX & COMPANY FROM DECEMBER 2005 TO OCTOBER 2006 WAS A VIOLATION OF A PROVISION OF AN UNDERTAKING WITH THE SECURITIES COMMISSIONER.

Current Status: Final

Resolution: Order



Resolution Date: 07/17/2008
Sanctions Ordered: Suspension
Other Sanctions Ordered: NO OTHER SANCTIONS FOLLOW
Sanction Details: JOHN EDWARD SHRYACK WILL BE SUSPENDED FOR FIVE BUSINESS DAYS FROM THE DATE THE ORDER WAS SIGNED.

Disclosure 2 of 4

Reporting Source: Regulator
Regulatory Action Initiated By: INDIANA

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 05/06/1996
Docket/Case Number: 96-0014-OP

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

Product Type:
Other Product Type(s):

Allegations: ON MAY 6, 1996, THE INDIANA SECURITIES COMMISSIONER DENIED THE AGENT REGISTRATION OF SHRYACK. SHRYACK FAILED TO RESPOND TO THE DIVISION'S REQUEST FOR INFORMATION CONCERNING HIS DISCIPLINARY HISTORY.

Current Status: Final
Resolution: Decision
Resolution Date: 05/06/1996
Sanctions Ordered: Revocation/Expulsion/Denial
Other Sanctions Ordered:
Sanction Details: Not Provided
Regulator Statement CONTACT: KEITH E. GRINDSTAFF, 317/232-6681

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF INDIANA
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 05/06/1996
Docket/Case Number: 96-0014-OP



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

Product Type:

Other Product Type(s):

Allegations: THE INDIANA SECURITIES COMMISSIONER DENIED THE AGENT REGISTRATION OF SHRYACK. SHRYACK FAILED TO RESPOND TO THE DIVISIONS REQUEST FOR INFORMATION

Current Status: Final

Resolution: Decision

Resolution Date: 05/06/1996

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: SHRYACK CURRENTLY RESPONDING FOR INDIANA REGISTRATION

Disclosure 3 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/28/1995

Docket/Case Number: 95.270.DOS

Employing firm when activity occurred which led to the regulatory action: BARRON CHASE SECURITIES, INC.

Product Type:

Other Product Type(s):

Allegations: ON 12/28/95, THE STATE OF FLORIDA, DEPARTMENT OF BANKING AND FINANCE, ISSUED A NOTICE OF INTENT TO DENY JOHN E. SHRYACK APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON OF BARRON CHASE SECURITIES, INC.

Current Status: Final

Resolution: Order

Resolution Date: 05/31/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON 5/31/96, THE FLORIDA DEPARTMENT OF BANKING AND



FINANCE ISSUED A FINAL ORDER REGARDING RESPONDENT JOHN EDWARD SHRYACK, PURSUANT TO THE FINAL ORDER THE DEPARTMENT GRANTS WITHDRAWAL OF RESPONDENT SHRYACK'S APPLICATION AS AN ASSOCIATED PERSON WITH BARRON CHASE SECURITIES, INC., EFFECTIVE 1/3/96.

Regulator Statement CONTACT: PAMELA EPTING (904) 488-9530.

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF FLORIDA
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 12/28/1995
Docket/Case Number: 95.270.DOS
Employing firm when activity occurred which led to the regulatory action: BARRON CHASE SECURITIES, INC.
Product Type:
Other Product Type(s):
Allegations: REGISTRATION DENIED
Current Status: Final
Resolution: Order
Resolution Date: 05/31/1996
Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details: REGISTRATION WITHDRAWN
Broker Statement Not Provided

Disclosure 4 of 4

Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 12/06/1994
Docket/Case Number: CMS940122
Employing firm when activity occurred which led to the regulatory action:
Product Type: No Product

**Other Product Type(s):****Allegations:**

COMPLAINT ALLEGES VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 18 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE (RFP) BY SHRYACK AND MOORE IN THAT DURING THE PERIOD FROM 4/92 TO 9/93 THEY MADE MISSTATEMENTS AND OMISSIONS OF MATERIAL FACT PERTAINING TO CELLULAR TELEPHONE ENTERPRISE (CTEL) TO RETAIL CUSTOMERS IN ORDER TO INDUCE THEM TO PLACE PURCHASE ORDERS FOR CTEL AND COMMIT TO INVESTMENT DECISIONS. COMPLAINT ALLEGES VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 18 OF THE RFP BY SHRYACK AND MOORE. RESPONDENTS INDUCED CUSTOMERS PURCHASE CTEL BY USING HIGH PRESSURE TACTICS.

Current Status:

Final

Resolution:

Decision

Resolution Date:

06/28/1996

Sanctions Ordered:

Censure
Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:**Sanction Details:**

MSC IMPOSED THE FOLLOWING SANCTIONS AGAINST SHRYACK: A CENSURE; A FINE OF \$10,000; AND A ONE-WEEK SUSPENSION FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY.

Regulator Statement

[TOP] MARKET SURVEILLANCE COMMITTEE COMPLAINT #CMS940122. COMPLAINT NO. CMS940122 WAS FILED ON DECEMBER 6, 1994 BY THE MARKET SURVEILLANCE COMMITTEE (MSC) AGAINST JOHN EDWARD SHRYACK AND JENNIFER LYNN MOORE. COMPLAINT ALLEGES VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 18 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE (RFP) BY SHRYACK AND MOORE IN THAT DURING THE PERIOD FROM 4/92 TO 9/93 THEY MADE MISSTATEMENTS AND OMISSIONS OF MATERIAL FACT PERTAINING TO CELLULAR TELEPHONE ENTERPRISE (CTEL) TO RETAIL CUSTOMERS IN ORDER TO INDUCE THEM TO PLACE PURCHASE ORDERS FOR CTEL AND COMMIT TO INVESTMENT DECISIONS. COMPLAINT ALLEGES VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 18 OF THE RFP BY SHRYACK AND MOORE. RESPONDENTS INDUCED CUSTOMERS PURCHASE CTEL BY USING HIGH PRESSURE TACTICS. IN ITS DECISION RENDERED ON 4/25/96, MSC FOUND SHRYACK TO BE IN VIOLATION OF ARTICLE III, SECTION 1 OF THE RFP AS ALLEGED. MSC IMPOSED THE FOLLOWING SANCTIONS AGAINST SHRYACK: A CENSURE; A FINE OF \$10,000; AND A ONE-WEEK SUSPENSION FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY. FURTHER, SHRYACK MUST REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE BY TAKING AND PASSING THE SERIES 7 EXAMINATION, WITHIN 90 CALENDAR DAYS OF THE ISSUANCE OF THIS DECISION. IF SHRYACK FAILS TO COMPLETE AND PASS THE APPROPRIATE EXAMINATION WITHIN THAT TIME PERIOD, HE SHALL BE SUSPENDED FROM ACTING IN ANY CAPACITY UNTIL SUCH TIME AS HE COMPLETES AND PASSES SUCH EXAMINATION. SHRYACK IS ALSO ASSESSED THE COSTS OF PROCEEDINGS IN THE AMOUNT OF \$3,694.30. DECISION WILL BECOME FINAL ON 6/10/96. CHAIR AND VICE CHAIR RECOMMENDED THAT THE ONE-WEEK SUSPENSION BE CHANGED TO "A SUSPENSION FOR 5 BUSINESS DAYS. AN AMENDED DECISION WAS ISSUED ON 5/13/96. DECISION WILL BECOME FINAL ON 6/28/96.



SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS 8/19/96
AND WILL CONCLUDE 8/23/96. ***\$13,694.30 FULLY PAID AS OF
8/02/96, INVOICE #96-MS-458***

Reporting Source: Individual

Regulatory Action Initiated By: NASD -MARKET SURVEILLANCE COMMITTEE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/06/1994

Docket/Case Number: CMS940122

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

Product Type:

Other Product Type(s):

Allegations: ALLEGED VIOLATIONS OF THE RULES OF FAIR PRACTICE OF THE NASD.

Current Status: Final

Resolution: Decision

Resolution Date: 06/28/1996

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: \$10,000 FINE 5 DAY SUSPENSION

Broker Statement THE MARKET SURVEILLANCE COMMITTEE REJECTED THE CONTENTION THAT SHRYACK ACTED TO DEFRAUD CUSTOMERS. CASE CLOSED



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:

Allegations: ALLEGED MISREPRESENTATION

Product Type:

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 03/19/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$20,000.00

Individual Contribution Amount:

Firm Statement PENDING
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED MISREPRESENTATION - CUSTOMER PURCHASED \$2,000 OF THE LACROSS WISCONSIN TAX FREE BOND SIX MONTHS LATER THE BOND DEFAULTED. THE CUSTOMER WANTED HIS INVESTMENT RETURNED TO HIM.

Product Type:

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 03/19/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$20,000.00



Individual Contribution Amount:

Broker Statement THE FIRM SETTLED WITH THE CUSTOMER FOR \$20,000 THE ENTIRE AMOUNT OF THE CUSTOMERS INVESTMENT Not Provided

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED MISREPRESENTATION AND ALLEGED MATERIAL OMISSION(S) AND FACT(S)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/13/1995

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$20,575.97

Individual Contribution Amount:

Firm Statement SETTLED WITH CUSTOMER IN THE AMOUNT OF \$20,575.97 COSTS WERE ABSORBED BY THE FIRM. Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED MISREPRESENTATION AND ALLEGED MATERIAL OMISSION AND FACT. CUSTOMER PURCHASED \$20,000.00 OF THE LA CROSS WISCONSIN TAX FREE BOND. APPROXIMATELY SIX MONTHS LATER THE BOND DEFAULTED. THE CUSTOMER WANTED HIS INVESTMENT RETURNED PLUS INTEREST

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/13/1995

Complaint Pending? No

Status: Settled



Status Date:

Settlement Amount: \$20,575.97

Individual Contribution Amount:

Broker Statement SETTLED WITH THE CUSTOMER IN THE AMOUNT OF \$20,575.97. COSTS ABSORBED BY THE FIRM.
Not Provided

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED MISREPRESENTATION AND ALLEGED MATERIAL OMISSIONS OF FACT(S)

Product Type:

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 11/13/1995

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$10,000.00

Individual Contribution Amount:

Firm Statement PENDING
Not Provided

.....
Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED MISREPRESENTATION AND ALLEGED MATERIAL OMISSIONS OF FACT. CUSTOMER PURCHASED \$10,000.00 OF THE LA CROSS WISCONSIN TAX FREE BOND. APPROXIMATELY 6 MONTHS, LATTER THE BOND DEFAULTED. THE CUSTOMER WANTED HIS INVESTMENT RETURNED TO HIM

Product Type:

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 11/13/1995

Complaint Pending? No



Status: Settled

Status Date:

Settlement Amount: \$10,000.00

Individual Contribution Amount:

Broker Statement

THE FIRM SETTLED WITH THE CUSTOMER IN THE AMOUNT OF \$10,000 WHICH WAS THE CUSTOMERS ENTIRE INVESTMENT.
Not Provided



End of Report

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