IAPD Report

MARIO GUISEPPE DIDOMENICO

CRD# 1827168

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

MARIO GUISEPPE DIDOMENICO (CRD# 1827168)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SIEBERT ADVISORNXT, LLC.	CRD# 288572	11/21/2017
B	MURIEL SIEBERT & CO., LLC	CRD# 5376	02/01/2018

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **32** 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	STOCKCROSS FINANCIAL SERVICES, INC.	6670	JERSEY CITY, NJ	10/16/2017 - 01/02/2020
IA	STOCKCROSS FINANCIAL SERVICES	6670	JERSEY CITY, NJ	10/17/2017 - 12/31/2017
IA	CETERA INVESTMENT ADVISERS LLC	105644	Ridgewood, NY	10/27/2015 - 10/24/2017

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

Employment 1 of 2

Firm Name: **MURIEL SIEBERT & CO., LLC**

Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282

Firm ID#: 5376

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	02/01/2018
B	FINRA	General Securities Representative	Approved	02/01/2018
B	NYSE American LLC	General Securities Principal	Approved	02/01/2018
B	NYSE American LLC	General Securities Representative	Approved	02/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	02/01/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	02/01/2018
B	New York Stock Exchange	General Securities Principal	Approved	02/01/2018
B	New York Stock Exchange	General Securities Representative	Approved	02/01/2018
B	Alabama	Agent	Approved	11/12/2025
B	Arizona	Agent	Approved	06/23/2022
B	California	Agent	Approved	02/02/2018
B	Colorado	Agent	Approved	01/25/2023
B	Connecticut	Agent	Approved	03/28/2019

Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	02/05/2018
B	Georgia	Agent	Approved	09/27/2018
B	Hawaii	Agent	Approved	10/13/2023
B	Idaho	Agent	Approved	02/12/2018
B	Illinois	Agent	Approved	09/25/2023
B	Indiana	Agent	Approved	05/13/2024
B	Maine	Agent	Approved	04/01/2026
B	Maryland	Agent	Approved	04/09/2020
B	Massachusetts	Agent	Approved	04/02/2018
B	Michigan	Agent	Approved	04/09/2024
B	Montana	Agent	Approved	05/13/2024
B	Nebraska	Agent	Approved	03/16/2018
B	Nevada	Agent	Approved	10/15/2025
B	New Jersey	Agent	Approved	03/01/2018
B	New York	Agent	Approved	03/01/2018
B	North Carolina	Agent	Approved	05/21/2018
B	Ohio	Agent	Approved	01/31/2025
B	Oklahoma	Agent	Approved	01/18/2023
B	Pennsylvania	Agent	Approved	07/27/2021

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	10/22/2025
B	Texas	Agent	Approved	03/15/2018
B	Utah	Agent	Approved	11/07/2023
B	Virginia	Agent	Approved	04/08/2019
B	Washington	Agent	Approved	03/20/2023

Branch Office Locations

300 Vesey Street
Suite 501
New York, NY 10282

Employment 2 of 2

Firm Name: **SIEBERT ADVISORNXT, LLC.**

Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282

Firm ID#: 288572

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	11/13/2025
IA	Arizona	Investment Adviser Representative	Approved	02/28/2018
IA	California	Investment Adviser Representative	Approved	11/22/2017
IA	Colorado	Investment Adviser Representative	Approved	09/29/2020
IA	Connecticut	Investment Adviser Representative	Approved	07/24/2018
IA	Florida	Investment Adviser Representative	Approved	12/14/2017
IA	Georgia	Investment Adviser Representative	Approved	09/28/2018

Qualifications

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	12/02/2020
IA	Indiana	Investment Adviser Representative	Approved	10/23/2023
IA	Maine	Investment Adviser Representative	Approved	03/10/2023
IA	Maryland	Investment Adviser Representative	Approved	07/12/2021
IA	Massachusetts	Investment Adviser Representative	Approved	06/19/2018
IA	Michigan	Investment Adviser Representative	Approved	04/12/2024
IA	Montana	Investment Adviser Representative	Approved	12/01/2020
IA	Nebraska	Investment Adviser Representative	Approved	09/04/2020
IA	Nevada	Investment Adviser Representative	Approved	10/15/2025
IA	New Hampshire	Investment Adviser Representative	Approved	06/11/2020
IA	New Jersey	Investment Adviser Representative	Approved	11/21/2017
IA	New York	Investment Adviser Representative	Approved	08/27/2021
IA	North Carolina	Investment Adviser Representative	Approved	06/14/2018
IA	Ohio	Investment Adviser Representative	Approved	12/01/2020
IA	Oklahoma	Investment Adviser Representative	Approved	01/18/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	10/21/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	06/21/2019
IA	Utah	Investment Adviser Representative	Approved	11/07/2023

Qualifications

	Regulator	Registration	Status	Date
IA	Vermont	Investment Adviser Representative	Approved	12/03/2019
IA	Virginia	Investment Adviser Representative	Approved	04/08/2019
IA	Wisconsin	Investment Adviser Representative	Approved	03/16/2018

Branch Office Locations

SIEBERT ADVISORNXT, LLC.
15 exchange place
jersey city, NJ 07302

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	12/31/1998

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	10/28/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/13/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/18/1993

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	10/16/2017 - 01/02/2020	STOCKCROSS FINANCIAL SERVICES, INC.	CRD# 6670	JERSEY CITY, NJ
IA	10/17/2017 - 12/31/2017	STOCKCROSS FINANCIAL SERVICES	CRD# 6670	JERSEY CITY, NJ
IA	10/27/2015 - 10/24/2017	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	Ridgewood, NY
B	09/08/2015 - 10/24/2017	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	Ridgewood, NY
IA	03/04/2011 - 11/13/2015	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	RIDGEWOOD, NY
B	03/17/2011 - 09/29/2015	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	RIDGEWOOD, NY
B	05/27/2008 - 03/04/2011	LPL FINANCIAL LLC	CRD# 6413	MIDDLE VILLAGE, NY
IA	05/27/2008 - 03/04/2011	LPL FINANCIAL LLC	CRD# 6413	MIDDLE VILLAGE, NY
IA	06/03/2003 - 05/27/2008	IFMG SECURITIES, INC.	CRD# 14416	LONG ISLAND CITY, NY
B	09/23/2002 - 05/27/2008	IFMG SECURITIES, INC.	CRD# 14416	LONG ISLAND CITY, NY
B	07/16/2002 - 09/12/2002	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	DETROIT, MI
B	09/17/1997 - 05/16/2002	J.B. OXFORD & COMPANY	CRD# 14343	SHERMAN OAKS, CA
B	06/25/1997 - 09/20/1997	SHAMUS GROUP, INC.	CRD# 5036	
B	10/09/1996 - 06/16/1997	THE BOSTON GROUP	CRD# 37652	LOS ANGELES, CA
B	01/26/1996 - 10/01/1996	J.B. OXFORD & COMPANY	CRD# 14343	SHERMAN OAKS, CA
B	05/26/1995 - 12/21/1995	INVESTORS ASSOCIATES, INC.	CRD# 958	HACKENSACK, NJ
B	12/08/1994 - 05/05/1995	GILFORD SECURITIES INCORPORATED	CRD# 8076	NEW YORK, NY

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	09/20/1994 - 12/13/1994	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
B	06/27/1994 - 08/18/1994	MAIDSTONE FINANCIAL, INC.	CRD# 31804	NEW YORK, NY
B	10/29/1993 - 05/20/1994	AMERICORP SECURITIES, INC.	CRD# 30405	NEW YORK, 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
01/2018 - Present	MURIEL SIEBERT & CO., INC.	REGISTERED REP.	Y	JERSEY CITY, NY, United States
10/2017 - 12/2019	StockCross Financial Services	Registered Rep.	Y	Jersey City, NJ, United States
09/2015 - 10/2017	SUMMIT BROKERAGE SERVICES INC	REG REP	Y	NEW YORK, 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.

1) DiDomenico Associates, LLC - Non-investment-related consulting starting June 1, 2024. Zero to five hours per week consulting service.
2) Name of Business: Siebert AdvisorNxt, LLC
Investment Related: Yes
Location: Same location as Muriel Siebert, & Co., LLC
Nature of business: Investment Advisory Firm
Position, Title or Relationship: Dual employee. Investment Advisor Representative
Approximate number of hours: Full time. Time split 50/50 between Muriel Siebert & Co., LLC and Siebert AdvisorNxt, LLC, subject to monthly
change
Compensation at both entities paid by same parent company, Siebert Financial Corporation as both are under common ownership and control of
parent company.

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	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:	KANSAS SECURITIES COMMISSIONER
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	NOTICE OF INTENT TO INVOKE SANCTIONS
Date Initiated:	01/07/1999
Docket/Case Number:	99E068
Employing firm when activity occurred which led to the regulatory action:	BOSTON GROUP
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	CUSTOMER KEVIN PHEIFER ALLEGED UNSUITABLE RECOMMENDATIONS, UNAUTHORIZED PURCHASE AND FAILURE TO EXECUTE A SALE PURSUANT TO CUSTOMER'S INSTRUCTIONS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	07/02/1999
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $5,000.00
Other Sanctions Ordered:	

Sanction Details:	RESTITUTION OF $6,904.69 WAS MADE TO CUSTOMER.
Regulator Statement	DIDOMENICO RECOMMENDED AND SOLD A STOCK TO CUSTOMER KEVIN PFEIFER THAT WAS NOT SUITABLE FOR THE ACCOUNT. HE MADE AN UNAUTHORIZED PURCHASE FOR HIS ACCOUNT AND FAILED TO EXECUTE A SALE OF STOCK PURSUANT TO THE CUSTOMER'S INSTRUCTIONS.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF KANSAS
Sanction(s) Sought:	Restitution
Other Sanction(s) Sought:	MONETARY / FINE
Date Initiated:	01/07/1999
Docket/Case Number:	99E068
Employing firm when activity occurred which led to the regulatory action:	BOSTON GROUP
Product Type:	Other
Other Product Type(s):	STOCK
Allegations:	PREVIOUSLY REVIEWED BY NASD DISTRCT 10 (EXAM NO. E10973804) AND FILED WITHOUT ACTION. STATE OF KANSAS ALLEGES THAT REP. DIDOMENCIO SOLICITED CUSTOMER [CUSTOMER] TO INVEST IN TWO SPECULATIVE SECURITIES, CHICAGO PIZZA AND GASGAL COMMUNICATIONS, IN NOVEMBER 1996, AND THAT [CUSTOMER]WAS UNSUITABLE FOR THESE PURCHASES.
Current Status:	Final
Resolution:	Consent
Resolution Date:	07/02/1999
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	RESTITUTION OF $6,904.69 WAS MADE TO CUSTOMER. PREVIOUSLY REVIEWED BY NASD DISTRICT 10 (EXAM NO. E10973804) AND FILED WITHOUT ACTION.
Broker Statement	DIDOMENICO RECOMMENDED A SOLD A STOCK TO CUSTOMER [CUSTOMER] THAT WAS NOT SUITABLE FOR THE ACCOUNT. HE MADE AN UNAUTHORIZED PURCHASE FOR HIS ACCOUNT AND FAILED TO EXECUTE A SALE OF STOCK PURSUANT TO THE CUSTOMER'S INSTRUCTIONS. PREVIOUSLY REVIEWED BY NASD DISTRICT 10 (EXAM NO. E10973804) AND FILED WITHOUT ACTION. 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:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. Turner & Company, LLC
Allegations:	Claimants alleged suitability issues which Mr. DiDomenico strongly states were discussed and fully covered. The claimants were fully informed of the nature of the investment. Mr. DiDomenico settled with the claimants because it was much less expensive than paying the legal fees to proceed in having this matter decided on the merits in the arbitration process.
Product Type:	Other: Real Estate Investment Trust (REIT)
Alleged Damages:	$14,999.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-01896
Date Notice/Process Served:	08/14/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/29/2020
Monetary Compensation Amount:	$14,999.00
Individual Contribution Amount:	$14,999.00
Broker Statement	Claimants alleged suitability issues which Mr. DiDomenico strongly states were discussed and fully covered. The claimants were fully informed of the nature of the investment. Mr. DiDomenico settled with the claimants because it was much less expensive than paying the legal fees to proceed in having this matter decided on the merits in the arbitration process.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	IFMG SECURITIES, INC. AND LPL FINANCIAL CORPORATION
Allegations:	CUSTOMERS ALLEGE THAT RECOMMENDATION OF MUNICIPAL BOND FUND IN DECEMBER 2007 WAS UNSUITABLE, RESULTING IN LOSSES.

Product Type:	Mutual Fund
Alleged Damages:	$142,097.00
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:	03/03/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/03/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-00428
Date Notice/Process Served:	03/03/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/18/2009
Monetary Compensation Amount:	$92,000.00
Individual Contribution Amount:	$7,500.00

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JB OXFORD
Allegations:	DATE 1/1999 TO 03/2000- CUSTOMER UNHAPPY BECAUSE MUTUAL FUNDS PURCHASED DROPPED IN VALUE
Product Type:	Mutual Fund(s)
Alleged Damages:	$905,000.00

Customer Complaint Information

Date Complaint Received:	12/15/2005
Complaint Pending?	No
Status:	Settled

Status Date:	01/08/2007
Settlement Amount:	$56,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	0505787, NASD
Date Notice/Process Served:	12/15/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/08/2007
Monetary Compensation Amount:	$56,000.00
Individual Contribution Amount:	$0.00

End of Report

This page is intentionally left blank.