



## IAPD Report

# KATHERINE CANNON ZAMORA

CRD# 1830369

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

### KATHERINE CANNON ZAMORA (CRD# 1830369)

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 **10/21/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	B.B. GRAHAM & COMPANY, INC.	CRD# 41533	07/31/2008
<b>IA</b>	PER STIRLING CAPITAL MANAGEMENT, LLC	CRD# 151671	02/21/2013

### 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
<b>IA</b>	B.B. GRAHAM & COMPANY, INC.	41533	AUSTIN, TX	08/13/2008 - 12/24/2014
<b>IA</b>	NATIONS FINANCIAL GROUP, INC.	44181	AUSTIN, TX	10/30/2007 - 08/01/2008
<b>B</b>	NATIONS FINANCIAL GROUP, INC.	44181	AUSTIN, TX	10/25/2007 - 08/01/2008

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	2
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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **B.B. GRAHAM & COMPANY, INC.**

Main Address: 1700 W. KATELLA AVE.  
ORANGE, CA 92867

Firm ID#: 41533

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	07/31/2008
	FINRA	General Securities Principal	Approved	02/18/2009
	FINRA	Invest. Co and Variable Contracts	Approved	06/29/2009
	Arizona	Agent	Approved	12/05/2011
	California	Agent	Approved	08/11/2008
	Colorado	Agent	Approved	10/20/2011
	District of Columbia	Agent	Approved	10/16/2024
	Florida	Agent	Approved	08/25/2008
	Idaho	Agent	Approved	10/14/2011
	Kansas	Agent	Approved	10/08/2020
	Louisiana	Agent	Approved	10/31/2018
	Maine	Agent	Approved	10/08/2024
	Maryland	Agent	Approved	11/05/2020



## Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	11/01/2018
B	New Hampshire	Agent	Restricted Approval	01/19/2021
B	New Jersey	Agent	Approved	06/12/2014
B	New Mexico	Agent	Approved	09/06/2012
B	North Carolina	Agent	Approved	08/13/2008
B	Ohio	Agent	Approved	12/08/2011
B	Oregon	Agent	Approved	10/09/2024
B	South Dakota	Agent	Approved	10/22/2020
B	Tennessee	Agent	Approved	09/30/2020
B	Texas	Agent	Approved	07/31/2008
B	Virginia	Agent	Approved	06/28/2011
B	Washington	Agent	Approved	01/06/2012

## Branch Office Locations

**B.B. GRAHAM & COMPANY, INC.**  
4800 BEE CAVE DRIVE  
AUSTIN, TX 78746


**B.B. GRAHAM & COMPANY, INC.**  
4900 Spicewood Springs Road, Suite 300  
Austin, TX 78759

## Employment 2 of 2

Firm Name: **PER STIRLING CAPITAL MANAGEMENT, LLC**  
Main Address: 4800 BEE CAVES ROAD  
AUSTIN, TX 78746  
Firm ID#: 151671



## Qualifications

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Approved	02/21/2013

## Branch Office Locations

**PER STIRLING CAPITAL MANAGEMENT, LLC**  
4800 BEE CAVES ROAD  
AUSTIN, TX 78746



## 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, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination (S24)	Series 24	02/17/2009

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination (S31)	Series 31	07/11/2005
<b>B</b> General Securities Representative Examination (S7)	Series 7	02/17/2000
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/10/1997

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	10/03/2000
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	09/10/1997



### 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	08/13/2008 - 12/24/2014	B.B. GRAHAM & COMPANY, INC.	CRD# 41533	AUSTIN, TX
IA	10/30/2007 - 08/01/2008	NATIONS FINANCIAL GROUP, INC.	CRD# 44181	AUSTIN, TX
B	10/25/2007 - 08/01/2008	NATIONS FINANCIAL GROUP, INC.	CRD# 44181	AUSTIN, TX
IA	04/05/2005 - 11/02/2007	FIRST MIDAMERICA INVESTMENT CORPORATION	CRD# 104476	AUSTIN, TX
B	01/10/2005 - 11/02/2007	FIRST MIDAMERICA INVESTMENT CORPORATION	CRD# 104476	AUSTIN, TX
IA	10/25/2004 - 01/11/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	AUSTIN, TX
B	10/20/2004 - 01/11/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	08/27/2002 - 10/21/2004	QUICK & REILLY, INC.	CRD# 11217	AUSTIN, TX
B	11/14/1999 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
IA	12/12/2003 - 12/19/2003	MORGAN STANLEY	CRD# 7556	AUSTIN, TX
B	12/12/2003 - 12/19/2003	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	09/16/1997 - 05/18/1998	LUCIEN, STIRLING & GRAY FINANCIAL CORPORATION	CRD# 30554	AUSTIN, TX

### 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
02/2012 - Present	PER STIRLING CAPITAL MANAGEMENT, INC.	FINANCIAL ADVISOR	Y	AUSTIN, TX, United States
07/2008 - Present	B. B. GRAHAM & CO.	REGISTERED REPRESENTATIVE	Y	AUSTIN, TX, United States



## Registration & Employment History



### 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.

ADDITIONAL OUTSIDE BUSINESS ACTIVITIES APPROVED BY PER STIRLING CAPITAL MANAGEMENT:  
B.B. GRAHAM & COMPANY; INVESTMENT RELATED; ADDRESS: 44800 BEE CAVES ROAD, AUSTIN TX 78746, NATURE OF BUSINESS: BROKER DEALER, POSITION: REGISTERED REPRESENTATIVE, START DATE: 07/2008. HOURS: APPROX. 50% OF TIME/MONTH DURING TRADING HOURS.

ADDITIONAL OUTSIDE BUSINESS ACTIVITIES APPROVED BY B. B. GRAHAM & CO:  
PER STIRLING CAPITAL MANAGEMENT; INVESTMENT RELATED; ADDRESS: 4800 BEE CAVES ROAD, AUSTIN TX 78746; NATURE OF BUSINESS: REGISTERED INVESTMENT ADVISORY FIRM; POSITION: INVESTMENT ADVISOR REPRESENTATIVE/RECRUITER/HR; START DATE: 02/2012; DUTIES: ACTING AS FINANCIAL ADVISOR, ENGAGING IN RECRUITING ACTIVITIES TO BRING NEW ADVISORS AND SUPPORT STAFF ON BOARD, HUMAN RESOURCE ACTIVITIES INCLUDING OBTAINING HEALTH INSURANCE, QUOTES, ETC., AS WELL AS SOME OF THE MARKETING OF THE FIRM TO THE FINANCIAL SERVICES INDUSTRY. HOURS: APPROX. 50% OF TIME/MONTH DURING TRADING HOURS.



## 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	2
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 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	South Dakota
<b>Sanction(s) Sought:</b>	Denial
<b>Date Initiated:</b>	05/16/2019
<b>Docket/Case Number:</b>	File #3088
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	B.B. Graham & Company
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Failure to respond to the South Dakota Division of Insurance, Securities Regulation in regards to her registration application.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	05/16/2019



**Sanctions Ordered:** Denial

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** South Dakota

**Sanction(s) Sought:** Denial

**Date Initiated:** 05/16/2019

**Docket/Case Number:** File #3088

**Employing firm when activity occurred which led to the regulatory action:** B.B. Graham & Company

**Product Type:** No Product

**Allegations:** Failure to respond to the South Dakota Division of Insurance, Securities Regulation in regards to her registration application.

**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:** 07/19/2019

**Sanctions Ordered:** Denial

#### Disclosure 2 of 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** TEXAS

**Sanction(s) Sought:** Suspension

**Date Initiated:** 02/25/2013

**Docket/Case Number:** IC13-SUS-01

**URL for Regulatory Action:**

**Employing firm when activity occurred which led to the regulatory action:** B.B. GRAHAM & COMPANY, INC. AND PER STERLING CAPITAL MANAGEMENT, LLC.

**Product Type:** Promissory Note  
Real Estate Security

**Allegations:** 1. THE ADG NOTES CONSTITUTE "SECURITIES" AS THE TERM IS DEFINED BY SECTION 4.A OF THE TEXAS SECURITIES ACT. 2. RESPONDENT DID NOT HAVE A REASONABLE BASIS TO BELIEVE THAT THE ADG NOTES WERE



SUITABLE RECOMMENDATIONS TO ANY CLIENT BECAUSE RESPONDENT DID NOT UNDERSTAND SIGNIFICANT TERMS OF THE ADG NOTES. RESPONDENT'S RECOMMENDATIONS WITHOUT SUCH REASONABLE BASIS CONSTITUTE INEQUITABLE PRACTICES IN THE SALE OF SECURITIES. 3. RESPONDENT LACKED A REASONABLE BASIS TO BELIEVE THAT IT WAS A SUITABLE RECOMMENDATION FOR THE CLIENT TO INVEST 73% OF THE TRUST'S ASSETS IN ADG NOTES. RESPONDENT'S RECOMMENDATION TO THE CLIENT CONSTITUTES AN INEQUITABLE PRACTICE IN THE SALE OF SECURITIES. 4. PURSUANT TO SECTION 14. A(3) OF THE TEXAS SECURITIES ACT, THE AFOREMENTIONED INEQUITABLE PRACTICES IN THE SALE OF SECURITIES ARE BASES FOR THE SUSPENSION OF RESPONDENT'S REGISTRATIONS WITH THE SECURITIES COMMISSIONER. REFER TO ATTACHED DOCUMENT REGARDING ACTION TAKEN.

**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:** 02/25/2013

**Sanctions Ordered:** Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ALL CAPACITIES

**Duration:** 90 DAYS

**Start Date:** 02/25/2013

**End Date:** 05/26/2013

**Regulator Statement** N/A

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** TEXAS

**Sanction(s) Sought:** Suspension

**Date Initiated:** 02/25/2013

**Docket/Case Number:** IC13-SUS-01

**Employing firm when activity occurred which led to the regulatory action:** B.B. GRAHAM & COMPANY, INC AND PER STIRLING CAPITAL MANAGEMENT, LLC

**Product Type:** Promissory Note  
Real Estate Security

**Allegations:** 1. THE ADG NOTES CONSTITUTE "SECURITIES" AS THE TERM IS DEFINED BY SECTION 4.A OF THE TEXAS SECURITIES ACT. 2. RESPONDENT DID NOT



HAVE A REASONABLE BASIS TO BELIEVE THAT THE ADG NOTES WERE SUITABLE RECOMMENDATIONS TO ANY CLIENT BECAUSE RESPONDENT DID NOT UNDERSTAND SIGNIFICANT TERMS OF THE ADG NOTES. RESPONDENT'S RECOMMENDATIONS WITHOUT SUCH REASONABLE BASIS CONSTITUTE INEQUITABLE PRACTICES IN THE SALE OF SECURITIES. 3. RESPONDENT LACKED A REASONABLE BASIS TO BELIEVE THAT IT WAS A SUITABLE RECOMMENDATION FOR THE CLIENT TO INVEST 73% OF THE TRUST'S ASSETS IN ADG NOTES. RESPONDENT'S RECOMMENDATION TO THE CLIENT CONSTITUTES AN INEQUITABLE PRACTICE IN THE SALE OF SECURITIES. 4. PURSUANT TO SECTION 14.A(3) OF THE TEXAS SECURITIES ACT, THE AFOREMENTIONED INEQUITABLE PRACTICES IN THE SALE OF SECURITIES ARE BASES FOR THE SUSPENSION OF RESPONDENT'S REGISTRATIONS WITH THE SECURITIES COMMISSIONER. REFER TO ATTACHED DOCUMENT REGARDING ACTION TAKEN.

**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:** 02/25/2013

**Sanctions Ordered:** Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ALL CAPACITIES

**Duration:** 90 DAYS

**Start Date:** 02/25/2013

**End Date:** 05/26/2013



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST MIDAMERICA INVESTMENT CORP.
<b>Allegations:</b>	REGISTERED REP FAILED TO NOTIFY CLAIMANT WHEN THERE WERE SIGNS OF PROBLEMS COLLECTING THE MONEY BY THE INVESTORS
<b>Product Type:</b>	Promissory Note
<b>Alleged Damages:</b>	\$55,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	03/15/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	03/17/2014
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST MIDAMERICA INVESTMENT CORP.
<b>Allegations:</b>	CUSTOMER ALLEGES THAT MS. ZAMORA OFFERED AND SOLD PLAINTIFF SECURITIES BY MEANS OF UNTRUE STATEMENTS OF MATERIAL FACT AND OMITTING MATERIAL FACTS. ACTIVITIES LEADING TO THE ALLEGATIONS OCCURRED FROM DECEMBER 2006 UNTIL AUGUST 2009.
<b>Product Type:</b>	Promissory Note
<b>Alleged Damages:</b>	\$150,000.00

## Civil Litigation Information

<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	TRAVIS COUNTY COURTHOUSE



<b>Location of Court:</b>	AUSTIN, TX
<b>Docket/Case #:</b>	D-1-GN-10-004374
<b>Date Notice/Process Served:</b>	12/18/2010
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	08/20/2013
<b>Monetary Compensation Amount:</b>	\$20,000.00
<b>Individual Contribution Amount:</b>	\$20,000.00
<b>Broker Statement</b>	REP REACHED OUT OF COURT SETTLEMENT AGREEMENT WITH THE CLIENT



## End of Report

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