



IAPD Report

JEFFERY DALE CHADDOCK

CRD# 1837499

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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

JEFFERY DALE CHADDOCK (CRD# 1837499)

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 **12/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/22/1988
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/06/1999

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** 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	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	08/22/1988 - 07/03/2006
B	PRUCO SECURITIES CORPORATION	5685	MINNEAPOLIS, MN	07/26/1988 - 09/16/1988
B	THE PRUDENTIAL INSURANCE COMPANY OF 680 AMERICA		MINNEAPOLIS, MN	07/26/1988 - 09/16/1988

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
Customer Dispute	5



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

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	08/22/1988
B	FINRA	General Securities Representative	Approved	12/12/2001
B	Alabama	Agent	Approved	02/23/2013
B	Alaska	Agent	Approved	01/28/2014
B	Arizona	Agent	Approved	12/04/2003
B	Arkansas	Agent	Approved	01/22/2013
B	California	Agent	Approved	10/28/2004
IA	California	Investment Adviser Representative	Approved	01/21/2025
B	Colorado	Agent	Approved	03/09/1998
B	Connecticut	Agent	Approved	08/03/2001
B	Delaware	Agent	Approved	07/24/2014
B	District of Columbia	Agent	Approved	06/21/2013
B	Florida	Agent	Approved	04/23/1998



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	04/19/2006
B Hawaii	Agent	Approved	03/02/2021
B Idaho	Agent	Approved	12/15/2014
B Illinois	Agent	Approved	03/06/1998
B Indiana	Agent	Approved	01/23/2001
B Iowa	Agent	Approved	11/05/2007
B Kansas	Agent	Approved	07/14/2014
B Kentucky	Agent	Approved	08/31/1999
B Louisiana	Agent	Approved	11/04/2010
B Maine	Agent	Approved	01/19/2017
B Maryland	Agent	Approved	09/04/2003
B Massachusetts	Agent	Approved	11/22/1999
B Michigan	Agent	Approved	03/05/1998
B Minnesota	Agent	Approved	05/04/1999
B Mississippi	Agent	Approved	03/25/2010
B Missouri	Agent	Approved	01/23/2003
B Montana	Agent	Approved	08/03/2021
B Nebraska	Agent	Approved	10/09/2018
B Nevada	Agent	Approved	07/23/2013



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	09/25/2018
B New Jersey	Agent	Approved	11/13/2006
B New Mexico	Agent	Approved	01/15/2013
B New York	Agent	Approved	04/03/2002
B North Carolina	Agent	Approved	05/22/2000
B Ohio	Agent	Approved	08/22/1988
IA Ohio	Investment Adviser Representative	Approved	10/06/1999
B Oklahoma	Agent	Approved	04/10/2013
B Oregon	Agent	Approved	03/22/2012
B Pennsylvania	Agent	Approved	10/26/1998
B Puerto Rico	Agent	Approved	09/23/2021
B Rhode Island	Agent	Approved	08/15/2014
B South Carolina	Agent	Approved	07/06/2000
B Tennessee	Agent	Approved	08/21/2009
B Texas	Agent	Approved	04/03/2002
IA Texas	Investment Adviser Representative	Restricted Approval	09/28/2006
B Utah	Agent	Approved	09/22/2021
B Vermont	Agent	Approved	01/25/2013



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	10/09/2002
B Washington	Agent	Approved	02/22/2010
B West Virginia	Agent	Approved	08/06/1991
B Wisconsin	Agent	Approved	07/15/2008
B Wyoming	Agent	Approved	05/14/2013

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
92 N COURT STREET
ATHENS, OH 45701

AMERIPRISE FINANCIAL SERVICES, LLC
571 S 3rd St
Columbus, OH 43215

AMERIPRISE FINANCIAL SERVICES, LLC
168 W Main St
Lancaster, OH 43130

AMERIPRISE FINANCIAL SERVICES, LLC
Columbus, OH

AMERIPRISE FINANCIAL SERVICES, LLC
8008 N HIGH ST
COLUMBUS, OH 43235



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, 3 general industry/product exams, and 1 state securities law exam.

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	12/11/2001
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/25/1988

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/22/1991
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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
B	08/22/1988 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	07/26/1988 - 09/16/1988	PRUCO SECURITIES CORPORATION	CRD# 5685	
B	07/26/1988 - 09/16/1988	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	

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
03/2020 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Gahanna, OH, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Gahanna, OH, 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.

Real Estate Ownership; Single Family; 30 Utah Place Athens, OH 45701, ; Not Investment-Related; 08/20/2015 / Commercial; 8008 North High Street, , Columbus, OH, 43235; Not Investment-Related; 02/02/2022 / Commercial; 571 S. Third Street Columbus, OH 43215 Commercial property that I, ; Not Investment-Related; 09/30/2017. Business Ownership; CEO; checking account opened to participate in Ameriprise GDC program through Employshare - allows us to pay GDC compensation to AFA's; 81 Mill Street, , Gahanna, OH, 43230; Investment-Related; 07/19/2013; 60 hours per month; 60 during trading hours / President - oversee the running of the property ; Per our CPA's recommendation, Zenner House LLC owns the 30 Utah Place now. It will rent to Chaddock Enterprises LLC use of the space at a monthly rate of \$10k. Chaddock Enterprises LLC can then lease space to community as a venue option in that area. Chaddock Enterprises LLC will also utilize the space for meetings/employee outings and client events.; 30 Utah Place, , Athens, OH, 45701; Not Investment-Related; 12/01/2016; 1 to 9 hours per month; 1 to 9 during trading hours / A mortgage was needed for the purchase of the property. It is currently through Telhio Credit Union; used for tax purposes to title real estate ownership - property will be owned by LLC and lease to Chaddock Enterprises LLC for office space; 571 S Third Street, , Columbus, OH, 43215; Investment-Related; 09/29/2017; 1 to 9 hours per month; 0 during trading hours / Owner; Created an LLC for tax/liability purposes; 571 S 3rd St, , Columbus, OH, 43215; Not Investment-Related; 07/14/2014; 60 hours per month; 40 to 59 during trading hours / A bank loan will be acquired for the purchase of the building from Telhio Credit Union; Used for managing property; 8008 N High Street, , Columbus, OH, 43235; Investment-Related; 12/08/2021; 1 to 9 hours per month; 0 during trading hours / CEO - source clients and consulting; Consulting; 571 S Third St, , Columbus, OH, 43215; Not Investment-Related; 03/07/2014; 10 to 19 hours per month; 1 to 9 during trading hours / Owner; This is a design company --- room and furniture layout and design to create a perfect space to live or work in. ; 1632 S Ocean Blvd, , Palm Beach, FL, 33480; Not Investment-Related; 03/27/2024; 1 to 9 hours per month; 0 during trading hours / Co-owner; Manage Ameriprise Business; 8008 N High St, , Columbus, OH, 43235; Investment-Related; 11/07/2024; 60 hours per month; 40 to 59 during trading hours. Board of Directors; Chaddock; Jeffery; Member Advancement Committee; 480 E Broad Street, , Columbus,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

OH, 43215; Not Investment-Related; 06/19/2020; 1 to 9 hours per month; 0 during trading hours / Chaddock; Jeffery D; emeriti - no longer attend meetings; athens, oh 45701, ; Not Investment-Related; 05/14/2015; 1 to 9 hours per month; 0 during trading hours / Chaddock; Jeffery D; Board Member; PO Box 456; Not Investment-Related; 02/15/2014; 1 to 9 hours per month; 1 to 9 during trading hours / Chaddock; Jeffery D; trustee; Lin Hall, Ohio University Athens, OH 45701, ; Not Investment-Related; 06/01/2015; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; Publish a book through Achieving WOW ONE LLC; plan to publish a book written by me with regards to growing your business through low cost, high impact marketing ideas - 5/14/15 UPDATE: book is in editing now and should have a publish date soon - name of book is called THE MARTINI EFFECT - no website yet, but will be creating one as part of achieving wow llc (see notes in business ownership tab); 81 Mill St. Ste 100Gahanna, OH 43230, ; 10/01/2014; 0 during trading hours; 1 to 9 hours per month / Passion Works Fundraising Committee; Co-chairing fundraising campaign for Passion Works, a non-profit supporting individuals with special needs. ; 30 Utah Place , , Athens, OH, 45701; Not Investment-Related; 08/01/2024; 1 to 9 during trading hours; 10 to 19 hours per month.



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
Customer Dispute	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC
Allegations:	THE CLIENT ALLEGED I MADE UNAUTHORIZED TRANSACTIONS RESULTING IN INVESTMENT LOSSES OF \$50,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$50,000.00

Customer Complaint Information

Date Complaint Received:	08/01/2005
Complaint Pending?	No
Status:	Denied
Status Date:	09/13/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE FIRM FOUND THE CLIENT FULLY AUTHORIZED RACH TRANSACTION PLACED WITHIN HER ACCOUNTS.
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Disclosure 2 of 5

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGES THAT I FAILED TO DISCLOSE THE FEES RELATED TO THE B-SHARE AND ANNUITY INVESTMENTS INCLUDING FINANCIAL PLANNING FEES. THE CLIENT HAS REQUESTED REIMBURSEMENT OF ALL FEES AND A WAIVER OF SURRENDER CHARGES

Product Type: Mutual Fund(s)

Other Product Type(s): MUTUAL FUND B SHARES, WEALTH MANAGEMENT SERVICES, ANNUITIES

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/27/2004

Complaint Pending? No

Status: Denied

Status Date: 08/08/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND THAT I PROVIDED APPROPRIATE DISCLOSURE OF FEES FOR B-SHARE, ANNUITY INVESTMENTS, AND FINANCIAL PLANNING FEES. THE CLIENT WAS PROVIDED AN EXPLANATION AND SUPPORTING DOCUMENTATION.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: CLAIMANT ALLEGES SHE IS AN UNSOPHISTICATED INVESTOR WITH LITTLE RISK TOLERANCE. CLAIMANT ALLEGES THAT IN SEPTEMBER 2000 HER ADVISOR AND AEFA WRONGFULLY ADVISED HER AND RECOMMENDED UNSUITABLE, RISKY INVESTMENTS THAT RESULTED IN LARGE LOSSES. CLAIMANT REQUESTS \$97884.00 IN DAMAGES.

Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITY CONTRACT, BROKERAGE ACCOUNT

Alleged Damages: \$97,884.00

Customer Complaint Information

Date Complaint Received: 09/16/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/12/2003

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION CASE NO.:03-06664

Date Notice/Process Served: 09/12/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/09/2004

Monetary Compensation Amount: \$55,000.00

Individual Contribution Amount: \$0.00

Broker Statement AEFA SETTLED THIS MATTER FOR \$55,000 TO AVOID THE COSTS ASSOCIATED WITH ARBITRATION. I WAS DISMISSED FROM THE CASE AND CONTRIBUTED NOTHING TO THE SETTLEMENT.

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS INC

Allegations: CLAIMANT ALLEGES THAT BASED ON THE ADVICE AND REPRESENTATIONS MADE BY ME, SHE ELECTED TO CHOOSE A \$400,000.00 LUMP SUM SETTLEMENT FROM HER HUSBAND IN ABOUT MAY 2000 AS A RESULT OF THE DISSOLUTIN OF THEIR MARRIAGE RATHER THAN BEING PAID THE SETTLEMENT IN MONTHLY INSTALLMENTS ALONG WITH INTEREST OF 8%. SHE CLAIMS I USED DISCRETIONARY AUTORITY AND INVESTED THE MONEY IN UNSUITABLE AND RESKY INVESTMENTS, CAUSING HRE MARKET LOSSES EXCEEDING \$133,000.00. CLAIMANT REQUESTED \$133,000.00 PLUS \$450.000 IN PUNITIVE DAMAGES. AEFA AND I ADEMENTLY DENY CLAIMANTS CLAIMS AND INTEND TO VIGOROUSLY DEFEND THIS MATTER.

Product Type: Mutual Fund(s)

Other Product Type(s): BROKERAGE ACCOUNT, ANNUITY

Alleged Damages: \$133,000.00

Customer Complaint Information

Date Complaint Received: 09/12/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/12/2002

Settlement Amount:

Individual Contribution Amount:

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION FILE NO 02-05085

Date Notice/Process Served: 09/12/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/18/2003

Monetary Compensation Amount: \$85,000.00

Individual Contribution Amount: \$0.00

Broker Statement AEFA SETTLED THIS MATTER FOR \$85000.00 IN ORDER TO AVOID THE COSTS ASSOCIATED WITH ARBITRATION/LITIGATION. I WAS DISMISSED FROM THE CASE AS PART OF THE SETTLEMENT AND I CONTRIBUTED NOTHING TO THE SETTLEMENT AMOUNT.

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: CLAIMANT ALLEGES THAT SHE IS AN UNSOPHISTICATED INVESTOR WHOSE OBJECTIVE WAS TO INVEST CONSERVATIVELY WITH LOW RISK. SHE CLAIMS AEFA AND HER ADVISOR WRONGFULLY RECOMMENDED HIGHLY SPECULATIVE INVESTMENTS AND, AS A RESULT, SHE LOST MORE THAN \$150000.00. CLAIMANT REQUESTS \$150000.00 AND PUNITIVE DAMAGES OF NO LESS THAN \$500000.00.

Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITIES, IMA (INVESTMENT MANAGMENT ACCOUNT)

Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received: 02/07/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/07/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION
NASD-DR CASE NO.: 02-00504

Date Notice/Process Served: 02/07/2002



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/16/2003
Monetary Compensation Amount:	\$84,575.00
Individual Contribution Amount:	\$0.00
Broker Statement	IN ORDER TO AVOID THE COSTS ASSOCIATED WITH ARBITRATING THIS MATTER, AEFA SETTLED WITH THE CLIENT FOR \$84575.00. I WAS DISMISSED FROM THE CASE AND CONTRIBUTED NOTHING TO THE SETTLEMENT.



End of Report

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