



IAPD Report

DAVID PATRICK LUETKEMEYER

CRD# 1854563

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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

DAVID PATRICK LUETKEMEYER (CRD# 1854563)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/06/2022
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/06/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	SPRINGFIELD, MO	05/13/2010 - 05/12/2022
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	SPRINGFIELD, MO	05/13/2010 - 05/12/2022
B	MORGAN STANLEY SMITH BARNEY	149777	SPRINGFIELD, MO	06/01/2009 - 05/25/2010

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
Criminal	1
Customer Dispute	4



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 **28** 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	General Securities Representative	Approved	05/06/2022
B	Alabama	Agent	Approved	01/06/2026
B	Alaska	Agent	Approved	06/03/2022
B	Arizona	Agent	Approved	01/16/2026
B	Arkansas	Agent	Approved	05/06/2022
B	California	Agent	Approved	05/09/2022
B	Colorado	Agent	Approved	01/09/2026
B	District of Columbia	Agent	Approved	01/08/2026
B	Florida	Agent	Approved	05/09/2022
B	Georgia	Agent	Approved	05/09/2022
B	Illinois	Agent	Approved	05/13/2022
B	Indiana	Agent	Approved	01/06/2026
B	Kansas	Agent	Approved	05/06/2022



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	01/08/2026
B Maryland	Agent	Approved	01/16/2026
B Michigan	Agent	Approved	01/08/2026
B Missouri	Agent	Approved	06/03/2022
IA Missouri	Investment Adviser Representative	Approved	06/03/2022
B Montana	Agent	Approved	01/16/2024
B Nebraska	Agent	Approved	01/06/2026
B Nevada	Agent	Approved	05/06/2022
B New Mexico	Agent	Approved	01/08/2026
B New York	Agent	Approved	01/13/2026
B North Carolina	Agent	Approved	01/09/2026
B Ohio	Agent	Approved	01/07/2026
B Oklahoma	Agent	Approved	01/07/2026
B South Carolina	Agent	Approved	01/12/2026
B Tennessee	Agent	Approved	01/09/2026
B Texas	Agent	Approved	05/06/2022
IA Texas	Investment Adviser Representative	Restricted Approval	05/06/2022
B Virginia	Agent	Approved	03/27/2023



Qualifications

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

2870 S Ingram Mill Rd
Ste D1
Springfield, MO 65804

AMERIPRISE FINANCIAL SERVICES, LLC

Springfield, MO



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	05/17/2007
General Securities Representative Examination (S7)	Series 7	09/17/1988

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	03/08/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/13/2010 - 05/12/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SPRINGFIELD, MO
IA	05/13/2010 - 05/12/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SPRINGFIELD, MO
B	06/01/2009 - 05/25/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SPRINGFIELD, MO
IA	06/01/2009 - 05/25/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SPRINGFIELD, MO
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SPRINGFIELD, MO
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SPRINGFIELD, MO
IA	11/21/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	SPRINGFIELD, MO
B	11/21/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	SPRINGFIELD, MO
IA	11/01/1999 - 11/28/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	SPRINGFIELD, MO
B	10/25/1999 - 11/28/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SPRINGFIELD, MO
B	07/18/1995 - 09/09/1999	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO
B	08/29/1991 - 07/10/1995	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	09/20/1988 - 08/23/1991	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	09/20/1988 - 08/23/1991	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
05/2022 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Springfield, MO, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SPRINGFIELD, MO, United States
05/2010 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SPRINGFIELD, MO, 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.

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
Criminal	1
Customer Dispute	4

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CAMDEN COUNTY COURT, CAMDENTON, MISSOURI
Charge Date:	03/29/1989
Charge Details:	CLASS D FELONY (BAD CHECK CHARGE) 1 COUNT, NOT GUILTY
Felony?	Yes
Current Status:	Final
Status Date:	10/25/1989
Disposition Details:	DISMISSED THE CHARGES. WE DID SO BY MEANS OF "NOLLE PROSEQUI" - THE WAY CRIMINAL CHARGES ARE DISMISSED IN MISSOURI.
Broker Statement	AS THE RESULT OF A CHAPTER 11 FILING, THE BUSINESS WAS CLOSED. ONE CHECK DID NOT CLEAR. I CONTACTED THE COMPANY AND MADE PAYMENT AS DISCUSSED. PROSECUTING ATTORNEY FILED CHARGES EVEN THOUGH CHECK WAS PAID. EXPLAINED TO JUDGE AND DISMISSED.



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 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MSSB

Allegations: CLIENT ALLEGES MISREPRESENTATION WITH RESPECT TO PURCHASE OF EXG ON 2/22/2007

Product Type: Other: Closed End Funds

Alleged Damages: \$11,133.00

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: 08/31/2016

Complaint Pending? No

Status: Denied

Status Date: 01/25/2017

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MSSB

Allegations: CLIENT ALLEGES MISREPRESENTATION WITH RESPECT TO PURCHASE OF EXG ON 2/22/2007

Product Type: Other: CLOSED END FUNDS

Alleged Damages: \$11,133.00

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: 08/31/2016

Complaint Pending? No

Status: Denied

Status Date: 01/25/2017

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER ALLEGES FA FAILED TO FOLLOW INSTRUCTIONS AND MISREPRESENTED FACTS ON EXCHANGING FUNDS.

Product Type: Mutual Fund

Alleged Damages: \$6,046.66

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: 04/08/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 01/10/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS MATTER ARISES OUT OF TRANSACTIONS UNDERTAKEN AT A PRIOR OR PREVIOUS FIRM. WELLS FARGO ADVISORS HAS NO RECORDS OR INFORMATION RELATING TO THE ISSUES REPRESENTED IN THIS REPORT. THE MATTER IS CONSIDERED CLOSED.

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT CLAIMS HE WAS INFORMED HIS ANNUITY WOULD EARN 8% FOR ONE YEAR, GUARANTEED. CLIENT ALSO CLAIMS HE UNDERSTOOD THE RATE MIGHT REDUCE IN SUBSEQUENT YEARS BUT THE



ORIGINAL \$400,000 INVESTMENT WOULD NOT BE REDUCED. CLIENT STATES HE RECEIVED A CALL FROM THE NEW INVESTMENT REP INDICATING HE HAD TO DCA HIS \$400,000 INTO THE VARIOUS MUTUAL FUNDS WITHIN A SIX OR TWELVE MONTH PERIOD. CLIENT STATES HE ASKED ABOUT WITHDRAWING THE MONEY AND WAS INFORMED HE WOULD INCUR A 6% PENALTY BUT THAT HE COULD WITHDRAW \$57,151.09 WITHOUT PENALTIES BUT WOULD HAVE TO REPORT THE INCOME. CLIENT CLAIMS HE WAS THEN INFORMED AS A RESULT OF THE WITHDRAWALS HE WOULD INCUR A \$5,715.00 PENALTY FROM THE IRS. CLIENT CLAIMS HE BELIEVES THE TERMS OF THE INVESTMENT HAVE CHANGED AND HE WAS NOT INFORMED OF IRS PENALTIES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,715.00

Customer Complaint Information

Date Complaint Received: 08/14/2001

Complaint Pending? No

Status: Denied

Status Date: 10/05/2001

Settlement Amount:

Individual Contribution Amount:

Firm Statement

CLIENT PURCHASED ANNUITY WITH IR, DAVID LUETKEMEYER; THE ANNUITY WAS ESTABLISHED AS A 101 ACCOUNT WHICH DID NOT REQUIRE THE FUNDS BE MOVED TO SUB-ACCOUNTS IN ANY SPECIFIC TIME FRAME. THE ANNUITY PD 8.25% FOR THE FIRST YEAR AND COULD DROP AFTER THAT. THE CLIENT TRANSFERRED ACCOUNT TO MERRILL LYNCH WHEN LUETKEMEYER WENT THERE AFTER LEAVING EDJ, HOWEVER, THE ANNUITY COULD NOT BE MOVED; THE NEW IR, BRAD HEEREN; STATED THE CLIENT CONTACTED HIM REQUESTING INFORMATION ON THE VARIOUS SUB-ACCOUNTS AVAILABLE. HEEREN STATED HE OFFERED TO DISCUSS THE OPTIONS AVAILABLE HOWEVER THE CLIENT DECLINED AND ASKED FOR THE INFO TO BE PROVIDED. ON 4/4/00 THE CLIENT CONTACTED HEEREN AND REQUESTED \$225,000 BE ALLOCATED TO THE OPPENHEIMER CAP. APPR, GOLDMAN SACHS CAPITAL GROWTH AND MFS EMERGING GROWTH FOR \$75,000 EACH. HEEREN INFORMED THE CLIENT THESE WERE ALL GROWTH FUNDS AND BECAUSE HE HAD TRANSFERRED HIS ACCOUNT OUT COULD NOT DETERMINE IF THIS WOULD BE SUITABLE AND SUGGESTED A PORTFOLIO REVIEW, HOWEVER, THE CLIENT REQUESTED THE CHANGES. IN MAY 2000 HEEREN



WAS INFORMED THE 8.25% WAS ABOUT TO CHANGE TO WHAT HE RECALLS WAS 4%, THIS WAS CONVEYED TO THE CLIENT AS WELL AS OPTIONS AS THE RATE WAS UNACCEPTABLE TO THE CLIENT. THE CLIENT ELECTED TO ESTABLISH A 12-MONTH DCA WITH THE REMAINING FUNDS AND THE VANKAMPEN EMERGING GROWTH FUND WAS SUGGESTED AND VERIFIED THE CLIENTS OBJECTIVE AS STILL BEING GROWTH WITH THESE FUNDS; CLIENT VERIFIED THIS AND REQUESTED THE 12MO DCA BE ESTABLISHED; THE CLIENT THEN CONTACTED HEEREN ASKING IF THESE MONIES COULD BE WITHDRAWN WITHOUT PENALTY. HEEREN STATED HE REVIEWED THE CDSC CHARGES AND 10% PENALTY FOR EARLY WITHDRAWAL. THE CLIENT INSTRUCTED HEEREN TO REQUEST THE DISTRIBUTION FOR THE MAXIMUM AMOUNT HE COULD TAKE WITHOUT A CDSC CHARGE. THIS IS ALSO CONVEYED IN THE ANNUITY CONTRACT PROVIDED TO THE CLIENT AND WHICH THE CLIENT ACKNOWLEDGES RECEIPT OF ON 5/13/99. CLAIM DENIED

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT CLAIMS HE WAS INFORMED HIS ANNUITY WOULD EARN 8% FOR ONE YEAR, GUARANTEED. CLIENT ALSO CLAIMS HE UNDERSTOOD THE RATE MIGHT REDUCE IN SUBSEQUENT YEARS BUT THE ORIGINAL \$400,000 INVESTMENT WOULD NOT BE REDUCED. CLIENT STATES HE RECEIVED A CALL FROM THE NEW INVESTMENT REP INDICATING HE HAD TO DCA HIS \$400,000 INTO THE VARIOUS MUTUAL FUNDS WITHIN A SIX OR TWELVE MONTH PERIOD.

Product Type: Annuity(ies) - Variable
Alleged Damages: \$5,715.00

Customer Complaint Information

Date Complaint Received: 08/14/2001
Complaint Pending? No
Status: Denied
Status Date: 10/05/2001
Settlement Amount:
Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Individual

**Employing firm when activities occurred which led to the complaint:**

SECURITIES AMERICA -- HEIM & YOUNG FINANCIAL SERVICES

Allegations:

LOSS OF \$12,000.00. UNSUITABILITY, FRAUD, NEGLIGENCE, BREACH OF FIDUCIARY DUTIES. EARLY 1994. [CUSTOMER'S] INVESTED SOME \$80,000 IN MUTUAL FUNDS WITH A FRONT SALES CHARGE WITH MARKET DOWNTURN AND SALES CHARGE COMBINED TO SHOW A NEGATIVE RETURN OF 10% - 12% -- THEY GOT SCARED, WOULD NOT LISTEN TO REASON, PULLED OUT FOR A LOSS.

Product Type:

Mutual Fund(s)

Alleged Damages:

\$12,000.00

Customer Complaint Information**Date Complaint Received:**

07/25/1994

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

07/25/1994

Settlement Amount:**Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

AMERICAN ARBITRATION ASSOCIATION; 57 E 169 0060 95

Date Notice/Process Served:

07/25/1994

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

11/01/1995

Monetary Compensation Amount:

\$12,000.00

Individual Contribution Amount:

\$3,000.00

Broker Statement

UNDECIDED
BEFORE SEEKING ARBITRATION, THE [CUSTOMERS] NOTIFIED THE COMMISSIONER OF SECURITIES, STATE OF MISSOURI, AFTER REVIEWING THE COMPLETE FILE AND A STATEMENT FROM ME THE FILE WAS OFFICIALLY CLOSED AND A LETTER MAILED TO THE [CUSTOMERS] ON OCTOBER 20, 1994.



End of Report

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