



IAPD Report

DAVID CHRIS RICE

CRD# 1855792

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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 CHRIS RICE (CRD# 1855792)

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 **12/03/2009**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE HELIX FINANCIAL GROUP	CRD# 147803	03/09/2009

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL	07/16/2001 - 08/04/2004
B	FOX & COMPANY INVESTMENTS INC.	18517	SCOTTSDALE, AZ	06/22/1999 - 07/17/2001
B	GKN SECURITIES CORP.	19415	NEW YORK, NY	08/19/1997 - 02/09/1998

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
Criminal	1
Customer Dispute	3
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **THE HELIX FINANCIAL GROUP**
Main Address: 4425 PLANO PARKWAY
SUITE 804
CARROLLTRON, TX 75010
Firm ID#: 147803

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/09/2009

Branch Office Locations

THE HELIX FINANCIAL GROUP
4425 PLANO PARKWAY
SUITE 804
CARROLLTRON, TX 75010




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	09/28/1992

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	07/16/1988

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/22/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/09/1988

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	07/16/2001 - 08/04/2004	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	06/22/1999 - 07/17/2001	FOX & COMPANY INVESTMENTS INC.	CRD# 18517	SCOTTSDALE, AZ
B	08/19/1997 - 02/09/1998	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
B	06/11/1996 - 11/12/1997	TUSCANY EQUITY MANAGEMENT CORPORATION	CRD# 20016	DEERFIELD BEACH, FL
B	06/25/1997 - 08/06/1997	GLOBAL STRATEGIES GROUP, INC.	CRD# 27414	NEW YORK, NY
B	03/15/1996 - 06/25/1996	THE AGEAN GROUP, INC	CRD# 30835	BOCA RATON, FL
B	04/19/1994 - 03/19/1996	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	06/24/1992 - 03/09/1994	TAMARON INVESTMENTS, INC.	CRD# 14929	ENGLEWOOD, CO
B	10/18/1988 - 06/25/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	08/18/1988 - 10/22/1988	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	

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
03/2007 - Present	THE HELIX FINANCIAL GROUP, LLC	PRESIDENT	Y	IRVING, TX, United States
07/2004 - Present	SELF-EMPLOYED	INSURANCE SALES	Y	IRVING, TX, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

THE HELIX FINANCIAL GROUP ALSO SELLS INSURANCE PRODUCTS AND HAS DONE SO SINCE ITS INCEPTION IN MARCH, 2007.



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
Criminal	1
Customer Dispute	3
Termination	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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD N/K/A FINRA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/08/2007
Docket/Case Number:	E062004031301
Employing firm when activity occurred which led to the regulatory action:	GUNNALLEN FINANCIAL, INC.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF SECURITIES
Allegations:	NASD RULES 2110 AND 2510 - RICE EFFECTED DISCRETIONARY TRANSACTIONS IN THE ACCOUNTS OF PUBLIC CUSTOMERS AND NEVER REDUCED HIS USE OF DISCRETION TO WRITING AND HIS MEMBER FIRM NEVER ACCEPTED THE ACCOUNTS AS DISCRETIONARY.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement



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: 10/18/2007

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

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RICE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE WAS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM NOVEMBER 5, 2007, THROUGH DECEMBER 17, 2007.

.....

Reporting Source: Individual

Regulatory Action Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 03/08/2007

Docket/Case Number: [E062004031301](#)

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

Product Type: Other

Other Product Type(s):

Allegations: FAILURE TO HAVE ORAL DISCRETIONARY AUTHORITY OVER CLIENT'S ACCOUNT REDUCED TO WRITING.

Current Status: Final

Resolution: Settled

Resolution Date: 10/18/2007

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

Other Sanctions Ordered:

Sanction Details: SUSPENSION FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR A PERIOD OF THIRTY (30) DAYS.

Broker Statement FAILURE TO HAVE ORAL DISCRETIONARY AUTHORITY OVER CLIENT'S ACCOUNT REDUCED TO WRITING.



Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

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

Date Initiated: 08/03/1992
Docket/Case Number: C9B920013

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

Product Type:
Other Product Type(s):

Allegations:
Current Status: Final
Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/18/1993
Sanctions Ordered: Censure
 Monetary/Fine \$1,000.00

Other Sanctions Ordered:
Sanction Details:

Regulator Statement COMPLAINT NO. C9B920013 (DISTRICT NO. 9) FILED AUGUST 3, 1992 AGAINST RESPONDENT DAVID C. RICE ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT RICE EFFECTED FOUR UNAUTHORIZED TRANSACTIONS IN THE ACCOUNT OF PUBLIC CUSTOMERS.

DECISION RENDERED MARCH 18, 1993 WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT RICE WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$1,000. THE COMMITTEE AGREED TO DISMISS THE ALLEGATION OF UNAUTHORIZED TRANSACTIONS SINCE THE CUSTOMER FAILED TO TESTIFY AND SINCE RESPONDENT RICE ADMITTED THAT HE DID NOT HAVE THE CUSTOMER'S DISCRETIONARY POWER REDUCED TO WRITING. THEREFORE, THE COMPLAINT IS AMENDED TO ALLEGE THAT RESPONDENT RICE EFFECTED FOUR SECURITIES TRANSACTIONS WITHOUT THE CUSTOMER'S ORAL DISCRETIONARY POWER REDUCED TO WRITING, IN VIOLATION OF SECTION 15(b) OF THE RULES OF FAIR PRACTICE.
 \$1,000.00 PAID ON 4/2/93 INVOICE #93-9B-238

Reporting Source: Firm
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.



Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/03/1992

Docket/Case Number: C9B920013

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/18/1993

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:

Reporting Source: Individual

Regulatory Action Initiated By: DISTRICT BUSINESS CONDUCT COMMITTEE DISTRICT9

Sanction(s) Sought: Censure

Date Initiated: 08/03/1992

Docket/Case Number: C9B920013

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

Product Type: Penny Stock

Allegations: THAT FOUR (4) TRADES WERE EFFECTED THE ACCOUNT OF [CUSTOMER] WHILE HE WAS AWAY IN TURKEY WITHOUT HAVING WRITTEN AUTHORITY TO FACILITATE THE TRADES.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 03/18/1993



Sanctions Ordered: Censure

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING I CONSENTED TO A CENSURE AND A \$1000.00 FINE FOR FAILING TO REDUCE TO WRITING ORAL DISCRETIONARY AUTHORITY GIVEN BY CLIENT.



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:	NASD 91014279CF ARREST NO CS 910559
Charge Date:	07/24/1991
Charge Details:	POSSESSION OF COCAINE POSSESSION OF PARAPHERNALIA
Felony?	Yes
Current Status:	Final
Status Date:	08/13/1991
Disposition Details:	ALL CHARGES WERE DISMISSED
Broker Statement	Not Provided



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: GUNNALLEN FINANCIAL INC.
Allegations: CLIENT ALLEGES UAT
Product Type: Equity - OTC
Alleged Damages: \$90,000.00

Customer Complaint Information

Date Complaint Received: 01/24/2005
Complaint Pending? No
Status: Settled
Status Date: 03/10/2005
Settlement Amount: \$30,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: FOX & COMPANY INVESTMENTS INC
Allegations: CHURNING - UNAUTHORIZED TRADING - UNSUITABLE TRADES - MISREPRESENTATION - FAILING TO SUPERVISE -
Product Type: Equity - OTC
Other Product Type(s): MUTUAL FUNDS
Alleged Damages: \$49,866.95

Customer Complaint Information

Date Complaint Received: 01/21/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 01/21/2003
Settlement Amount:
Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 0207154

Date Notice/Process Served: 01/21/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/08/2004

Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount: \$13,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GUNNALLEN FINANCIAL

Allegations: NEGLIGENCE, BREACH OF FIDUCIARY DUTIES, MISREPRESENTATION, OMISSIONS, FAILURE TO SUPERVISE.

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$49,866.95

Customer Complaint Information

Date Complaint Received: 12/09/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/09/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 02-07154

Date Notice/Process Served: 12/09/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/08/2004

Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount: \$13,000.00

**Disclosure 3 of 3**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: TAMARON INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGED MISREPRESENTATION IN THE PURCHASE OF STATORDYNE CORP IN THE AMOUNT OF HIS INVESTMENT LESS ITS MRKT VALUE WHICH WAS APPROX \$24,000.00

Product Type:

Alleged Damages: \$24,000.00

Customer Complaint Information

Date Complaint Received: 02/07/1994

Complaint Pending? No

Status: Settled

Status Date: 03/24/1994

Settlement Amount: \$11,655.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLEMENT WITH CUSTOMER FOR \$11,655 BY THE FIRM
Not Provided

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TAMARON INVESTMENTS, INC.

Allegations: UNSUITABLE RECOMMENDATION IN THE PURCHASE OF STATOSDYNE CORP, A NEW ISSUE, AGAINST MYSELF AND TAMARON INVESTMENTS, THE LEAD UNDERWRITER OF THE IPO.

Product Type: Penny Stock(s)

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 02/07/1994

Complaint Pending? No

Status: Settled

Status Date: 05/01/1994

Settlement Amount: \$11,655.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED BY TAMARON INVESTMENTS ON MAY 1, 1994 FOR THEIR BEHALF. I WAS NOT INVOLVED IN THE SETTLEMENT AND THERE WAS NO WRONGDOING FOUND ON MY PART. TAMARON PAID 11,655.00 TO MR



POWERS WITHOUT ADMITTING OR DENYING ANY WRONGDOING.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Individual
Firm Name: AIBC INVESTMENT SERVICES CORP
Termination Type: Voluntary Resignation
Termination Date: 07/27/1998
Allegations: THAT I WROTE A CHECK TO THE FIRM THAT WAS RETURNED INSUFFICIENT FUNDS.
Product Type: No Product

Other Product Types:

Broker Statement AIBC SIGNED A CONTRACT WHERE THEY WERE TO PAY ME A \$21,000 BONUS IN JUNE, JULY & AUGUST OF 1998. THE JUNE CHECK TO ME BOUNCED AND WHEN THEY FAILED TO MAKE GOOD IN JULY, I RESIGNED MY POSITION WITH THE FIRM. I AM LEGALLY PURSUING THEM FOR MY MONEY, BUT THEY ARE NOW OUT OF BUSINESS.

Disclosure 2 of 2

Reporting Source: Individual
Firm Name: GKN SECURITIES CORP.
Termination Type: Discharged
Termination Date: 01/22/1998
Allegations: Not Provided
ALLEGED THAT I USED A CLIENT'S ACCOUNT TO TRADE OPTIONS FOR MYSELF

Product Type:

Other Product Types:

Broker Statement TERMINATED JAN 30, 1998.
GKN SECURITIES ALLEGED THAT I USED A CLIENTS ACCOUNT TO TRADE OPTIONS FOR MYSELF. GKN CONTACTED THE CLIENT,
AND THE CLIENT INFORMED THEM THAT ALL TRADES WERE HIS OWN, AND ALL MONEY DEPOSITED INTO HIS ACCOUNT BELONGED TO HIM



End of Report

This page is intentionally left blank.